

**Alabama Commercial Mobile Radio Service
Emergency Telephone Services Board
(Alabama Wireless 911 Board)**

**Functional Analysis
&
Records Disposition Authority**

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board

Sources of Information

Representatives of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board

Code of Alabama 1975, Section 11-98-6 through 11-98-11

Code of Alabama 1975, Section 41-20-1 through 41-20-16 (Sunset Law)

Code of Alabama 1975, Section 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Administrative Code, Chapter 225-1-1 through 225-1-5

Historical Context

The Alabama Commercial Mobile Radio Service Emergency Telephone Services Board, also called the Alabama Wireless 911 Board, was created by an act of the legislature in 1998 in response to an order of the Federal Communications Commission (FCC Docket No. 94-102) requiring wireless communication providers to carry all 911 emergency calls, not just those of their own customers, and to oversee the establishment and maintenance of Enhanced 911 (E-911) emergency service for wireless communication. E-911 is a service that provides the caller's physical location to the 911 operator either by automatically displaying the caller's 10-digit phone number or the exact physical location of the call.

Agency Organization

The Alabama Commercial Mobile Radio Service Emergency Telephone Services Board is made up of seven members. Five are appointed by the governor and consist of: two members recommended by the Emergency Communication Districts (ECDs), two members recommended by the Commercial Mobile Radio Service (CMRS) providers, and one member recommended by the state auditor. Of the remaining two members, one is appointed by the speaker of the House, and one is appointed by the lieutenant governor. The board employs an accountant and an attorney.

Agency Function and Subfunctions

The mandated function of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board (CMRS) is to administer the collection and distribution of the CMRS emergency telephone service charge for the purpose of establishing enhanced 911 service for wireless communication. The board is one of the agencies responsible for the Regulatory function of

Alabama government. In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975, Section 11-98-7b (7), authorizes the board to promulgate any rules, regulations, and procedures required to effect the establishment of and the disbursements from the Commercial Mobile Services Fund.
- **Collecting.** The Code of Alabama 1975, Section 11-98-7 through 11-98-8, authorizes the board to levy a Commercial Mobile Radio Service (CMRS) service charge on each CMRS connection that has a principal wireless service address (or billing address) in the state. The CMRS service charge rate is currently seventy cents (\$.70) per month and is set by the state legislature. The service charge is collected by the CMRS provider as part of the regular fee charged to the public for wireless communication service. The CMRS is entitled to deduct its expenses, not to exceed one percent of the gross amount, incurred by the collecting, handling, and processing of the fee each month. The CMRS provider is then required to send the remaining amount to the board to be placed into a special CMRS Fund.
- **Dispersing.** The Code of Alabama 1975, Section 11-98-7b (3), authorizes the board to distribute the money in the CMRS Fund for the purpose of establishing enhanced wireless 911 service. The disbursements are made as follows: 56 percent goes to the Emergency Communication Districts (ECDs) to cover the lease, purchase or maintenance of wireless enhanced emergency telephone equipment required for the handling of wireless emergency calls; 44 percent of the CMRS Fund is deposited in a separate account for each ECD to be used solely for the purpose of covering the actual cost to the CMRS providers for complying with the requirements for providing enhanced wireless 911 service. The ECDs and the CMRS providers are required to submit a remittance request to the board along with sworn invoices justifying any request for repayment of expenses. A majority vote of the board is required before any funds are released.
- **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 activities 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.

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, and 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.

Analysis of Record Keeping System and Records Appraisal of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board

Agency Record Keeping System

The Alabama Commercial Mobile Radio Service Emergency Telephone Services Board operates a hybrid record keeping system composed of paper and electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board: Temporary Records and Permanent Records.

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

- **Remittance Reports From Carriers.** This is an itemized list of the monthly charges the wireless service providers are collecting from their customers. These reports outline the collection of the CMRS Service Charge and what the wireless service providers are entitled to deduct for their expenses before sending the funds to be deposited in the CMRS Fund. Because these reports contain detailed proprietary information about the wireless service providers, their connections, and their customer base, the plans are restricted from public access as outlined in Code of Alabama 1975, Section 11-98-9.

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

Promulgating Rules and Regulations

- **Board Administrative Policies and Procedures.** These contain rules and regulations governing operating procedures for the board and provide instructions for completing the various forms and documents the board requires. Additions and deletions are reviewed by the board. This series documents the board's role in prescribing standards and procedures for its programs. (RDA page 3-2) (**Bibliographic Title: Policy and Procedure Manuals**)

- **Board Meeting Minutes.** The minutes of the board document actions of the board as voted on during the meetings. They document policy and rule making as well as procedural and organizational changes made within the board to accomplish board goals. (RDA page 3-2) **(Bibliographic Title: Meeting Minutes)**
- **Audited Year-End Statements.** The year end statement provides a detailed accounting of the money taken into the CMRS Fund and what has been remitted back to the carriers and the ECDs. This record serves as an annual report for the board. (RDA page 3-2) **(Bibliographic Title: Annual Financial Statement of the CMRS Fund Audited)**

Collecting

- **Receipt Summaries.** A cumulative monthly record of the total number of wireless communication customers in the state maintained as a running record throughout the current fiscal year. At the end of the fiscal year the summary is filed, along with a summary of the two previous fiscal years. The number of customers determines the amount of CMRS service charges collected into the CMRS Fund and therefore sets the level of disbursement for the year. (RDA page 3-2) **(Bibliographic Title: Monthly Report of Wireless Communication Customers)**

Dispersing

- **Master Agreements.** Every wireless carrier is required to sign an agreement that outlines how it uses the money it receives from the CMRS Fund and how it will implement the E-911 system in its area. These agreements summarize the information in the Carrier Cost Recovery Plan but do not contain the detailed proprietary information that would restrict their access. (RDA page 3-3) **(Bibliographic Title: Master Agreements Regarding E-911 Implementation)**

Administering Internal Operations

- **Administrative Correspondence.** This correspondence consists of letters to and from the board members. The files contain information on state agencies, projects, meetings, and non-state agencies. The board members set policies and procedures for the agency. The correspondence files document the activities and decisions of the board members and/or the board itself. (RDA page 3-3) **(Bibliographic Title: Administrative Correspondence)**
- **Informational and Promotional Materials.** These records are created to build public awareness about a variety of issues and board related activities. The publications are necessary to document what the board tells the public about its actions and how the board views itself. (RDA page 3-4) **(Bibliographic Title: Informational and Promotional Materials)**

Permanent Records List
Alabama Commercial Mobile Radio Service
Emergency Telephone Services Board

Promulgating Rules and Regulations

1. Board Administrative Policies and Procedures
2. Board Meeting Minutes
3. Audited Year-end Statements

Collecting

1. Receipt Summaries

Dispersing

1. Master Agreements

Administering Internal Operations

1. Administrative Correspondence
2. Informational and Promotional Materials

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

Alabama Commercial Mobile Radio Service Emergency Telephone Services Board 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 staff of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board. The RDA lists records created and maintained by the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for Alabama Commercial Mobile Radio Service Emergency Telephone Services Board 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 Alabama Commercial Mobile Radio Service Emergency Telephone Services Board's records. 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.
- 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 RDA's of other agencies.
- Certain records and records-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 require no action and do not document government activities; (3) stocks of blank stationary,

blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board 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

BOARD ADMINISTRATIVE POLICIES AND PROCEDURES

Disposition: PERMANENT RECORD.

BOARD MEETING MINUTES

Disposition: PERMANENT RECORD.

Recordings of Meeting Minutes

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

AUDITED YEAR-END STATEMENTS

Disposition: PERMANENT RECORD.

■ Collecting

RECEIPT SUMMARIES

Disposition: PERMANENT RECORD.

Remittance Reports from Carriers

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

Bank Statements and Escrow Accounts

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

■ **Dispersing**

MASTER AGREEMENTS

Disposition: PERMANENT RECORD.

Carrier Cost Recovery Plans

Disposition: Temporary Record. Retain 15 years.

External Audit Reports

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

Reimbursement Requests

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

Annual Cost Recovery Statements

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

Alabama Population Reports

Disposition: Temporary Record. Retain for useful life.

Monthly Distribution Reports

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

■ **Administering Internal Office Operations**

Managing the Agency:

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

Routine Correspondence

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

Monthly Financial Statements

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Board Appointment Letters

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

Official Bonds and Oaths

Disposition: Temporary Record. Retain for duration of office-holder's tenure.

Board Meeting Notices

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

INFORMATIONAL AND PROMOTIONAL MATERIALS

Disposition: PERMANENT RECORD.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices, annual reports to ADAH)

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

Copy of Approved RDA

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

Managing Finances:

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

Disposition: Temporary Record. Retain 3 years after 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, and ledgers, and records of funds deposited outside the state treasury, including bank statements, deposit slips, cancelled checks, etc.

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 and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after 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.

Audit Reports

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

Approval of Records Disposition Authority

By signing this agreement the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Commercial Mobile Radio Service Emergency Telephone Services Board will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, for coordinating the transfer and destruction of records, for ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, for submitting an annual report on records management activities to the State Records Commission in April of each year, and for ensuring the regular implementation of the commission's approved RDA.
- Permanent records in the Alabama Commercial Mobile Radio Service Emergency Telephone Services Board custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis-- for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. 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 board 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 board 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 Commercial Mobile Radio Service Emergency Telephone Services Board agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the commission and to inspect records destruction documentation. Government Records Division archivists are available to train the commission staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Lee Helms, Chairman
Alabama Commercial Mobile Radio Service Emergency Telephone Services Board

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