

**Executive Planning Office
Department of Finance**

**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
January 24, 2007**

Table of Contents

Functional and Organizational Analysis of the Executive Planning Office	1-1
Sources of Information	1-1
Historical Context	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-2
Training	1-2
Assisting	1-2
Administering Internal Operations	1-2
Organizational Chart	1-4
Analysis of Record Keeping System and Records Appraisal of the Executive Planning Office	2-1
Agency Record Keeping System	2-1
Records Appraisal	2-1
Temporary Records	2-1
Permanent Records	2-1
Permanent Records List	2-3
Executive Planning Office Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Training	3-2
Assisting	3-2
Administering Internal Operations	3-3
Requirements and Recommendations for Implementing the Records Disposition Authority	3-4

Functional and Organizational Analysis of the Executive Planning Office

Sources of Information

Representatives of the Executive Planning Office, Department of Finance
Code of Alabama, 1975, Sections 41-4-80 to 41-4-96; 41-19-1 to 41-19-12
Alabama Government Manual (2002) page 42
Department of Finance Audit Reports
Alabama Administrative Code, Chapter 355-1-1
Executive Planning Office Website
Executive Planning Office Publications

Historical Context

The state's budgeting process operates under Code of Alabama, Sections 41-4-80 to 41-4-96, also known as the Fletcher Budget Act, which embodies the original budget authority. The Code of Alabama, Sections 41-19-1 to 41-19-12, also known as the Budget Management Act, expands the scope of the budget authority and financial management and requires the Department of Finance to assist the governor and state agencies in the preparation of program and financial plans, develop form and content of budget submission packages, review operations plans, and report quarterly to the governor and the legislature on the state's fiscal operations. In 2005, the state implemented a statewide strategic planning system, known as SMART (Specific, Measurable, Accountable, Responsive, and Transparent) Governing. To coordinate and facilitate activities associated with SMART Governing, a SMART Governing Office was established within the Department of Finance. The name of the office was changed to the Executive Planning Office in November 2006.

Agency Organization

The Executive Planning Office is a division of the Department of Finance and functions under the direction, supervision, and control of a director, who reports to the Finance Director. The office may employ as many personnel as may be necessary to carry out the duties of the office. To facilitate and assist in the SMART planning process, staff members of the office are assigned to various functional areas. The functions are categorized according to the primary mission or purposes of state agencies or entities. Currently, the major functional areas are economic development and transportation, education and culture, general government, health and human services, licenses and regulation, natural resources and environment, and protection of persons and property.

Agency Function and Subfunctions

The office assists in the SMART cycle, which is designed to “improve Alabama government by requiring organizational planning, linking plans to budget requests and appropriations, and creating meaningful performance measurements.” In the performance of its mandated functions, the office may engage in the following subfunctions:

- **Training.** The SMART office staff members are obligated to hold training sessions for all state agencies to train and communicate refinements in the SMART strategic planning process and to provide agencies with a forum to ask questions on SMART Governing. In addition, the office may provide informational training sessions on SMART Governing for members of the legislature and other government entities.

- **Assisting.** Staff members assist agencies in the preparation of each phase of the SMART Governing process. The SMART Governing process encompasses the following four phases: Plan, Budget Request, Operations Plan, and Quarterly Performance Reports. In the first phase, each state agency and institution of higher education develops a plan, which is an executive level summary plan, based on the agency’s mission and/or goals. The second phase is the budget request where agencies add annual funds requested for the planning year to their plan. In the third phase, the operations plan reflects a revised budget request with modifications to goals and/or objectives, if necessary funding was not appropriated. Quarterly performance reports conclude the phases of SMART Governing by comparing actual accomplishments to those planned. Based on the performance indicators and objectives identified previously, performance is reported by each agency after the end of every quarter. Information from these reports is used in the planning for future SMART cycles.

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

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, 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; 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 Executive Planning Office

Agency Record-Keeping System

The Executive Planning Office operates a hybrid system composed of a computer system and a paper record-keeping system. The SMART database consists of a Microsoft SQL Server 2000 database that contains all SMART Governing data submitted by state agencies. All state agencies enter information into the database and obtain reports via an internet web application.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Executive Planning Office: Temporary Records and Permanent Records.

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.

- **SMART Plan Review Files.** This series contains SMART Governing review forms completed by the planning analysts in order to give feedback to agencies regarding each phase of the SMART Governing process. Areas for review and comments on the form include all components of each phase and an overall comments/assessment. In addition, copies of agency SMART plan, budget request, operations plan, quarterly reports, and other related materials may be attached to the review form for reference. The office staff maintains these files for three (3) years for reference.

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

Training

- **Training Materials.** Staff members of the office conduct training sessions for all state agencies in order to train and communicate refinements in the SMART Governing process and to provide agencies with a forum to ask questions. In addition, the office may provide informational training sessions on SMART Governing for members of the legislature and other government entities. This series consists of materials created for various training sessions. Included are training plans, outlines/agendas, Power Point presentations, training handouts, and other related materials. (RDA page 3-2) **(Bibliographic Title: State Publications)**

Assisting

- **Meeting Agendas and Minutes of SMART Governing Committees/Groups.** To better plan, implement, and coordinate efforts with agency staff and the general public on the SMART Governing process, various committees and groups are organized. They may include SMART Executive Group, Steering Committee, Legislative Task Force, steering sub-committees, committee work groups, and other similar teams. This series contains information on proposed and executed proceedings of these committees/groups. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. This series provides important documentation of SMART Governing that may not be found elsewhere. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas and Minutes of SMART Budgeting Committees/Groups)**
- **SMART Governing Administrative Files (Electronic).** This series contains electronic SMART plans, budget requests, operation plans, and quarterly performance reports submitted by and approved for state agencies and institutions of higher education annually. This series should be preserved as the core documentation on the SMART Governing process. (RDA page 3-2) **(Bibliographic Title: Administrative Files of the SMART Program)**
- **SMART Governing Studies and Reports.** From time to time, staff members of this office study and prepare special reports that display summary analysis. Examples of these reports include: critical issues raised by state agencies, critical issues response summary, and critical issues response report. This series is useful as these studies/reports provide comprehensive analysis on the state from a planning and budgeting perspective. (RDA page 3-2) **(Bibliographic Title: State Publications)**
- **Executive Planning Office Procedures.** This series may contain internal procedural handbooks or other related materials designed to govern the operation of the SMART Governing process or work of employees. (RDA page 3-2) **(Bibliographic Title: State Publications)**

Administering Internal Operations

- **Website.** The agency has a website at www.smart.alabama.gov. Information on the website includes governor's priorities, an overview of the SMART Governing, SMART documents for all state agencies and institutions of higher education, contact data, agency web applications and instructions, library, and FAQ's. The website should be preserved as it serves as an important medium for communication with the public.(RDA page 3-3) **(Bibliographic Title: Website)**

Permanent Records List Executive Planning Office

Training

1. Training Materials

Assisting

1. Meeting Agendas, Minutes, and Packets of SMART Governing Committees/Groups
2. SMART Governing Administrative Files (Electronic)
3. SMART Governing Studies and Reports
4. Executive Planning Office Procedures

Administering Internal Operations

1. Website

Executive Planning Office 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 Executive Planning Office, Department of Finance. The RDA lists records created and maintained by the Executive Planning Office in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Executive Planning Office to implement records destruction.

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

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Executive Planning Office records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include:

(1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Executive Planning Office 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.

■ **Training**

TRAINING MATERIALS

Disposition: PERMANENT RECORD.

Training Administrative Files (Lists of Attendees, Sign-in Sheets, Evaluations/Feedback of Training Completed by Participants, Correspondence, etc.)

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

■ **Assisting**

MEETING AGENDAS AND MINUTES OF SMART GOVERNING COMMITTEES/GROUPS

Disposition: PERMANENT RECORD.

SMART GOVERNING ADMINISTRATIVE FILES (ELECTRONIC)

Disposition: PERMANENT RECORD.

SMART GOVERNING STUDIES AND REPORTS

Disposition: PERMANENT RECORD.

EXECUTIVE PLANNING OFFICE PROCEDURES

Disposition: PERMANENT RECORD.

SMART Plan Review Files

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

SMART Governing Routine Files (memos, agency questions and feedback, surveys, and other routine administrative records)

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

Office Staff Assignment Tracking Database
Disposition: Temporary Record. Retain for useful life.

■ **Administering Internal Operations***

WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

Office Staff Meeting Files

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

Routine Correspondence

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

Telephone Call Records

Disposition: Temporary Record. Retain for useful life.

Mailing/Contact Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

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

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

Copy of RDA

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

System Documentation (hardware/software manuals and diskettes, warranties)

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

***Original copies of Executive Planning Office's financial transactions, personnel, and property management records are maintained by other divisions of the Finance Department. Therefore, duplicate copies of these records maintained by the Executive Planning Office are not subject to retention requirement.**

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

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 Executive Planning Office (hereafter referred to as the office) as stipulated in this document.

One condition of this authorization is that the office submit an annual Records Disposition Authority Implementation Report on office records management activities, including documentation of records destruction, to the State Records Commission in January of each year. In addition, the office should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The office 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 office, 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 office's approved RDA.
- Permanent records in the office'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 office-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 office 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 office 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 office and inspect records destruction documentation. Government Records Division archivists are available to instruct the office staff in RDA implementation and otherwise assist the office in implementing its records management program.

The State Records Commission adopted this records disposition authority on January 24, 2007.

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

Date

Receipt acknowledged.

Ann Elizabeth McGowin, Director
Executive Planning Office
Department of Finance

Date

Jim Main, Director
Department of Finance

Date