

**Department of Finance -
Printing and Publications Division**

**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
October 25, 2000**

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Functional and Organizational Analysis of the Department of Finance - Printing and Publications Division

Sources of Information

Representatives of the Printing and Publications Division

Stan Holt, Facility Supervisor

Pat Lott, Accountant Clerk II

Kathy Pendley, Administrative Support Assistant II

Michelle Alexander, Administrative Support Assistant II

Tina Salyer, System Administrator

Code of Alabama 1975, Sections 41-4-240 through 41-4-243.

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

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

Alabama Government Manual (1998)

Audit Report of the Department of Finance

Printing and Publications Division Annual Report (1996)

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

Historical Context

Legislative Act 73-1286 created the Printing and Publications Division, within the Department of Finance, in 1973. The division began operations in May 1976 when personnel and equipment were consolidated / transferred from various state agencies.

Division Organization

The division director is appointed by the finance director with the approval of the governor. Currently, the division's main office, located at Chisholm Street in Montgomery, consists of the following sections: customer relations and support services, maintenance and administrative support, shipping and receiving, pre-press, press, and post-press. In addition, the division operates a Quick Copy Center located at the Gordon Persons Building. An organizational chart is attached.

Division Function and Subfunctions

The mandated function of the Printing and Publications Division is to coordinate and control all printing and publication related activities of state government. The division is one of the agencies primarily involved in carrying out the Administrative Support Operations function of Alabama

government. In the performance of its mandated function, the Printing and Publications Division may engage in the following subfunctions:

- **Printing and Binding.** The Code of Alabama, Section 41-4-241 (4) mandates the division to “centralize printing order schedules to enable such work to be performed at the lowest possible cost.” Staff members of the division provide graphic design, layout, printing and binding services for state agencies that do not have their own printing operations.
- **Reviewing and Approving.** The division director is empowered, under the authority of the Code of Alabama, Section 41-4-241 (3) and (7), to review and authorize all requests for the purchase/leasing of printing/photographic equipment and supplies by state agencies. When a written request for printing/photographic equipment and supplies is received, the division chief is responsible for determining whether a justifiable cause exists for such a purchase or lease and for notifying the agency about the decision.
- **Administering Internal Operations.** A significant portion of the division’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the division including:

Managing the division: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, publicizing and providing information, managing records, and managing information systems and technology.

Managing finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package, 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 division’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 include recruiting and hiring eligible individuals to fill positions within the division; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining. Records created under this subheading are generally maintained by the personnel office of the Department of Finance.

Managing properties, facilities, and resources: Activities include 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 security for property owned by the division; insuring property; and assigning, inspecting and maintaining division property, including vehicles.

Completed: August 2000

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Department of Finance - Printing and Publication Division

Division Record Keeping System

The division currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Staff members create and maintain most of the division's records in paper form.

Computer Systems: Currently the division has a total of 14 Apple personal computers, 1 Apple server, 18 IBM personal computers, 2 NT servers, and 1 Unix server. Within the main office at Chisholm Street, staff members use a network which consists of ethernet, the statewide LAN, and T1 line. The Apple personal computers operate on OS 7.5 and above, the IBM personal computers operate on Windows 95, the NT servers on 4.0 and the Unix server is a proprietary server for Logic.

The Apple personal computers support the following applications/software: QuarkXPress, PageMaker, PhotoShop, Illustrator, Streamline, In Design, PressWise, Acrobat, Freehand, Microsoft Office, Word Perfect, MacTrak, White Knight, Preflight, Omni Page, Suitcase, and Norton Utilities. The IBM personal computers support Microsoft Office, Logic (a time and material tracking program) and the LOGIC/LGFS Interface Module or LLI (a custom module utilizing ACCESS for estimating, billing, and interfacing accounting information). The division has five staff members with e-mail/internet access.

The division currently uses floppy disks for backing up all existing work and artwork. The NT servers and the Unix server are backed up daily on data tapes and stored on-site.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Printing and Publication Division: 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. Some of the temporary records created by the division are discussed below:

- **Printing Service Request Files.** The division is responsible for performing printing services as requested by state agencies through the submission of a printing service request form. Information on the form includes date received, requested completion date, order number, department/division name, fund and program code, printing instructions, shipping address, and production notes. After the order is accepted by the division, the requesting agency receives

the golden copy for reference. When the order is completed, the green copy of the form is forwarded to the agency along with printed materials. The white and pink copies are retained by the division, along with a sample of the printed material and the printing service job ticket, for reference. The files should be maintained only until they have been audited.

- **Printing Negative Plates and Materials.** In order to produce printed materials or publications, the division creates and maintains negatives/plates of materials for several state agencies for future use. This series consists of camera-ready copies, negatives, plates, and other items created during the process of printing. They should be kept until superseded or no longer useful.

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

Printing and Binding:

Permanent records documenting this subfunction are found in the Division Weekly Meeting Minutes and Annual Reports as described in the Administering Internal Operations subfunction.

Reviewing and Approving:

Permanent records documenting this subfunction are found in the Division Weekly Meeting Minutes and Annual Reports as described in the Administering Internal Operations subfunction.

Administering Internal Operations:

- **Division Weekly Meeting Minutes.** The division director holds weekly meetings with all section supervisors. Meeting agendas usually include section operation/activity reports, new policies or instructions, and other related subjects. This series captures the meeting proceedings and should be kept as a permanent record.

III. Records No Longer Created. The following records were created by the division over time, but are no longer created in the same format.

A. Permanent Records.

Administering Internal Operations:

- **Annual Reports.** The division published and submitted to the director of the Department of Finance an annual report on the operations and administration of the division. Information on the report includes accomplishments and costs, major improvements, equipment acquisition

and capital outlay plans, financial statements, and comparative statistics. The division stopped the publication after 1996. (RDA: page 3-3) (**Bibliographic Title: Annual Reports**)

Completed: August 2000

Permanent Records List
Department of Finance - Printing and Publications Division

Administering Internal Operations:

- *1. Division Weekly Meeting Minutes
- 2. Annual Reports

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

Department of Finance - Printing and Publications Division 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 Printing and Publications Division, Department of Finance. The RDA lists records created and maintained by the Printing and Publications Division 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 division 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 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 Printing and Publications Division records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for record 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 record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the division 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 department 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 Printing and Publications Division and lists the groups of records created and/or maintained by the division as a result of activities and transactions performed in carrying out these subfunctions. The division may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Printing and Binding**

Printing Service Request Files

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

Printing Negatives and Plates

Disposition: Temporary Record. Retain until superseded or no longer useful.

■ **Reviewing and Approving**

Request for the Purchase / Leasing of Printing/Photographic Equipment and Supply Files

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

■ **Administering Internal Operations**

Managing the Agency:

DIVISION WEEKLY MEETING MINUTES

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

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.

Records documenting the implementation of the division'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 division 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, and 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)

Managing Human Resources:

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.

Division Personnel Files
Disposition: Temporary Record. Retain until separation of the employee from the department

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) (division 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. Return cards to the department's property manager.

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

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.

Motor Pool Vehicle Use Records
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.

Approval of Records Disposition Authority

By signing this agreement the Printing and Publications Division acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Printing and Publications Division will designate a managerial position as the division records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the division, 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 October of each year, and ensuring the regular implementation of the division's approved RDA.
- Permanent records in the Printing and Publications Division'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 division-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 division 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 division 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 Printing and Publications Division 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 division and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the division in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Henry Mabry, Director
Department of Finance

By: _____ Date: _____
Gerald W. Wilson, Director
Department of Finance – Printing and Publications Division

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