

Executive Director's Manual

Table of Contents:

Audits

Board Meetings

Board Member Nomination Committee

Board Member (New/Orientation)

Broadcast emails

Budgeting

Contracts

Enforcement / Investigations

Financial

Licensing

Personnel

Publications

Purchasing

Property

Records Destruction Authority

Rule Making

Purchasing

Travel

Notes from Prior Executive Director: Contacts

Board Operation

NCARB/Region 3

Complaints

Board Publications & Documents

Internal Controls

Agency Operation & Finances

Travel & Board Member/Director's Fees

Audits

Ethics

Created in 2015 by Cyndy McKim for the purpose of Executive Director Succession Plan.
Outline and Tickler File provided without supporting documents due to being Alabama specific.
Revised 12/27/22.

January

Financial

- Reconcile December Financial Reports

Operations

- Quarterly Performance Report due for October-December through STAARs Performance Budgeting. (Look at, "Quarterly Report" in Database to get data). File a copy of report in, "STAARs QPR" Binder.
- Information of Spring Regional Meeting will arrive. Forward to Board Members and set deadline for receipt of out of state travel requests
- Legislative Session begins soon. Monitor first readings and gauge interest in legislation that affects certain areas of practice and State government (track legislation at www.legislation.state.al.us).
- File Legislative Authorization Letter for next session with Ethics Commission.
- File Exemption for personal use of vehicle for the new Fiscal Year (typically Staff and Member from Montgomery).
- File Annual RDA with Department of Archives and History: due by January 15.

Website

- Review for Needed Changes

Board Business

- Finalize Board Meeting Agenda with Chair
- Prepare Board Packets
- Request Code for Parking Deck (Event Code)

Licensing

- Send Late License Renewal Notices/Broadcast e-mail

Personnel

- End of Probationary Appraisal for Licensing Agent

February

Financial

- Reconcile January Financial Reports

Operations

- Monitor Legislation and discuss bills as appropriate with counsel and board
- License List to Dept. of Revenue – they should send an e-mail reminder with instructions and there is a binder for this.

Website

- Review for Needed Changes

Board Business

- Mail Board Packets
- Prepare Minutes after Board Meeting
- Put in Director's Fees
- Ensure Travel has been submitted for upcoming NCARB Meeting (Regional Summit)

Licensing

- Send Late License Renewal Notices/Broadcast e-mail (Look at T:/DOCS/ROUTINE, as a guide for the renewal and late notices)

March

Financial

- Reconcile February Financial Reports
- Put in Director's Fees and other travel reimbursement after regional meeting

Operations

- Continue to monitor legislation and discuss bills as appropriate with counsel and Board Members

Website

- Review for Needed Changes

Board Business

- Regional Meeting held this month; become familiar with information that is going to be discussed; advise board in advance if possible

Licensing

- Send final late renewal reminder to licensees (Closes March 31st)
- Coordinate COA renewal with Alabama Interactive and OIT
- Post renewal notice, instructions, and form on website
- Mail and e-mail COA renewal notices to all active COA's

Newsletter

- Prepare April Newsletter

April

Financial

- Reconcile March Financial Reports

Operations

- Quarterly Performance Report due for January – March through the Executive Budget Office (EBO)
- Complete National Census Bureau Survey. Information requested is typically number of employees and amount of corresponding salaries for one payroll per year.
- Staff to send Lapsed Letters on April 1st
- Mail Continuing Education Audit Letters by Random Sample Generated through access Database
- Information about NCARB's Annual Meeting arrives. Forward to Board Members and Set Deadline for receipt of out-of-state travel requests. Coordinate with Governor's Office if needed. Advise NCARB regarding funded delegates.
- Outreach at Auburn and Tuskegee held; attend meetings; take business cards; pamphlets and answer questions.

Website

- Review for Needed Changes

Board Business

- Prepare Agenda for May Board Meeting
- Pay NCARB for Board Members' Registration Fees for Annual Meeting

Licensing

- Launch COA Renewals
- Send Reminder Reminders

May

Financial

- Reconcile April Financial Reports

Operations

- Complete Insurance Certifications and submit to the division of risk management by June 1st
- Address Continuing Education Disallowances discovered as a result of the continuing education audits. Review Disallowances. If you think Board Member made an error or you disagree based on the regulations, call and/or e-mail the board member to discuss. Samples of letters to Architects can be found in T:/DOCS/CEH/DISALLOWANCES

Website

- Review for Needed Changes

Board Business

- Mail Board Packets
- Request Parking Deck/Event Code
- Prepare Minutes after Board Meeting
- Ensure All Board Members have received travel approval for NCARB Annual Meeting
- NCARB Committee Appointments are Received for Board Members or MBE Who are appointed to serve on NCARB Committees
- Put in Director's Fee
- Post Board Member Term Expiration on SOS by May 5th

June

Financial

- Reconcile May Financial Reports

Operations

- Info may arrive on Alabama's Annual AIA Meeting. Prepare a report for the Board Chair to present at the meeting and provide a hard copy to the AIA Executive Director

Website

- Review for Needed Changes

Board Business

- NCARB annual meeting report arrives. The Report may contain information of interest related to current or future board initiatives or other intriguing topics. The annual board meeting is a good time to inquire further related to those items if attending.
- Put in Director's Fee after Annual Meeting
- Post any upcoming vacant seats on SOS website
- Board Nomination Committee Letter mailed by June 30th

July

Financial

- Reconcile June Financial Reports
- Project Expenditures for Revenues and Expenses through the End of the Fiscal Year and Prepare Report (T:/Spreadsheets/ExpensesThruYearend)

Operations

- Quarterly Performance Report Due for April-June through the Executive Budget Office (EBO) Look at Deposit Receipts to Get Figures)
- Quarterly Performance Report Due for Next Fiscal Year – file in STAARs (Look at previous year)
- Operations Plan for Next Fiscal Year Due July 31st

Website

- Review for Needed Changes

Board Business

- Remind Board Members about Submitting Travel Documents for Reimbursement
- Prepare Agenda for August Board Meeting
- Request Parking Deck/Event Code
- Prepare Board Book to Mail and/or Deliver by July 21st
- Put in Director's Fee after Annual Meeting

Personnel

- Annual Review for Licensing Agent

August

Financial

- Reconcile July Financial Reports
- Project Expenditures for Revenues and Expenses through the End of the Fiscal Year and Prepare Report (T:/Spreadsheets/ExpensesThruYearend)
- Prepare for End of Fiscal Year, noting deadlines for budget revisions, purchasing, receipts, and expenditures.

Website

- Review for Needed Changes

Board Business

- Board Meeting Follow-up
- Put in Director's Fees

September

Financial

- Reconcile August Financial Reports
- End of Year – Prepare and observe all deadlines
- Set Up Purchase Orders for Upcoming Fiscal Year
- Prepare Encumbrance Journal Voucher for Year End
- Set Up New Incoming Chair Signatures for Vouchers (T:Docs/State/Financial/Authorized Signatures & Chair Memo)

Operations

- Run in Asset Works The Examiners Listing Report and Send out Property Inventory Letter to State Auditor on September 30
- Conduct Internal Property Audit in Preparation for Property Inventory Letter due September 30; Use Operational Unit Report on Asset Works and Have Employees Sign Person Responsible For Inventory In Their Control.

Website

- Review for Needed Changes

Board Business

- Notify NCARB/SCNCARB and update BOA website of new Chair and Vice Chair as Appropriate
- Board Packets Mailed by September 15th

October

Financial

- Reconcile September Financial Reports
- Purchase Orders for New Year
- Verify with Comptroller Longevity Memorandums (verifying number of months of service for calculation of longevity payments).
- CAFR (Combined Annual Financial Report)
- Prepare Budget Requests for Next Year

Operations

- QPR
- Prepare for Renewals
- Personal Property Business Return from Montgomery County Appraisal Dept. BOA is exempt from filing since it is a State Agency. However, the return must be mailed back to them with the notation "Government Agency" written on it.

Website

- Review for Needed Changes
- Update Roster
- Work with Alabama Interactive on preparing the on-line renewal application for launch end of October
- Order Renewal Postcards

Board Business

- Prepare Board Book to Mail for October Meeting
- Post any upcoming seats on SOS website as appropriate
- Send Board Member Nomination Committee Letters
- Post location of Board Member Nomination/Board Meeting on-line

November

Financial

- Reconcile October Financial Reports
- Observe Deadlines for 13th Accounting Period. Remind Board Members about any outstanding expense reports from the previous fiscal year.

Operations

- Complete Lease Questionnaire. Keep a copy on file.
- Determine staff vacations/time off during the holidays and plan accordingly to keep the office covered.

Website

- Review for Needed Changes
- Post meeting dates for next year on website and with SOS.

Board Business

- Prepare Minutes after Board Meeting
- Put in Director's Fee After Meeting

Licensing

- Launch Renewal November 1st: Mail postcards; broadcast email; and post online.

Newsletter

- Finalize Newsletter for December

December

Financial

- Reconcile November Financial Reports
- Reconcile Previous Year Close-Out Amounts

Operations

- Prepare Annual Report (Governor's Financial Report) for the Board Chair to sign as required by statute. Report is Found at T:/Spreadsheets/AnnualReport. This is also a cover letter for Transmission of the Report at T/Docs/State/Annual Report. Look at financial report AFIN-AP-005. Place a copy of report submitted (required to be submitted by January 1) in the Governor's Annual Report Binder (for auditors to review).

Website

- Review for Needed Changes
- Confirm Nomination Meeting Places and Publish on Web Site for Next Year

Board Business

- Update Information on SOS
- Post any upcoming vacant seats
- Post any nomination meetings on open meetings act for upcoming year
- Post any expiring seat terms on BOA calendar with reminder to post expiration at least 60 days in advance on SOS web site in the upcoming year.
- Set up next year's BOA Calendar with reminders for deadlines to submit conference room reservations, nominations deadline letters, deadlines to finalize board notebooks, staff birthdays, State Holidays, etc.

Licensing

- Send Broadcast e-mail renewal reminders to those who have not renewed and scheduled to expire on December 31st.