

Agricultural Center Board

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of the Agricultural Center Board

Sources of Information

Representatives of the Agricultural Center Board

Code of Alabama 1975, Sections 2-6-1 to 2-6-3; 2-6-20 to 2-6-86

Alabama Administrative Code, Chapter 105-X-1-.01 to 105-X-1-.09 (Standards and Criteria for Judging Fairs)

Agricultural Center Board Audit Report

Alabama Government Manual (2006) page 81

Agricultural Center Board Website

Agricultural Center Board Publications

Historical Context

The Agricultural Center Board (also known as the Garrett Coliseum) was established in 1945 by the Legislature (Acts 1945, No. 282, p.447). The Alabama Agricultural Center Corporation (the corporation), a public corporation, was created in October 1951 in order to issue \$1,250,000 in bonds to complete the construction and purchase the necessary equipment to operate the Garrett Coliseum. All persons initially and subsequently who fill the offices and positions of Governor, Finance Director, and Agricultural Commissioner are the officers of the corporation. The governor at that time transferred all state property and equipment, associated with the coliseum, to the corporation per the statutes. The corporation paid all outstanding bonds, deeded the property to the state and passed a resolution to dissolve itself in 1977.

Agency Organization

The Agricultural Center Board (hereafter referred to as the board) is comprised of five members. The Commissioner of Agriculture is a member *ex officio* and the Governor appoints the other four members. The four appointed members must be qualified electors and hold office concurrently with the Governor. A chairman is designated by the Governor. The board employs, subject to the merit system, persons who are necessary for the official and economical management and maintenance of the Garrett Coliseum. The persons employed include an executive director, assistant director, and six additional accounting, clerical and maintenance employees. The board also utilizes numerous part-time employees for such duties as parking lot attendants, box office workers, ushers, etc., as needed for various coliseum events.

Agency Function and Subfunctions

The mandated function of the board is to manage and control all structures, facilities, or coliseum

constructed by the Alabama Building Commission as an agricultural center for the purpose of housing livestock shows, agricultural and industrial displays, and other exhibits. It is one of the agencies responsible for performing the economic development and stewardship functions of Alabama government. In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with Code of Alabama, Section 2-6-1, the board is authorized to have the right to adopt such rules and regulations as may be necessary to carry out the purposes of the board.
- **Operating.** The board is responsible for leasing lands, structures, facilities, and equipment which are provided by the Alabama Building Commission for the board. The board is authorized to operate, manage, and control the livestock shows, agricultural and industrial displays, and other exhibits and events. In addition, the board may allocate certain legislative appropriations to counties and municipalities as an aid in constructing agricultural and industrial display facilities, livestock shows, and other exhibits. Finally, in order to determine award winners from fair participants, the board appoints the Special Awards Committee for Fairs. The committee consists of not more than five people.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

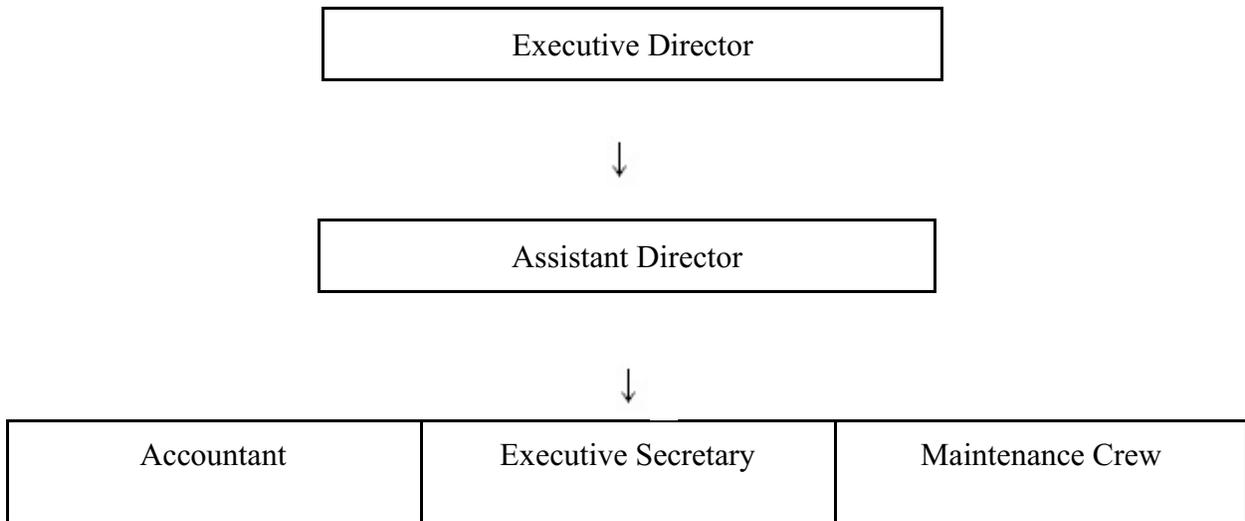
Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; 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); accountings for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; 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.

Agricultural Center Board



Record Keeping System and Records Appraisal of the Agricultural Center Board

Agency Record Keeping System

The Agricultural Center Board operates a hybrid 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 Agricultural Center Board : Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met.

- **State Agricultural Fair Award Administrative Files.** In accordance with its enabling legislation, the agency may allocate certain legislative appropriations to counties and municipalities as an aid in constructing agricultural and industrial display facilities, livestock shows, and other exhibits. This series consists of grading sheets and other supporting documents utilized by the Special Awards Committee for Fairs to determine merit awards for various agricultural fairs held each year across the state. The reference value of this series diminishes after 3 years.

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

Promulgating Rules and Regulations

- **Meeting Agendas, Minutes, and Packets of the Agricultural Center Board.** This series constitutes the core documentation of the activities of the agency's governing body. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Agricultural Center Board)**

Operating

- **Historical Documents of the Garrett Coliseum.** This series consists of historical documents and materials created by the agency for the Garrett Coliseum over years. It may include, but is not limited to, coliseum building plans and blueprints, construction photos, event posters/brochures, and other related materials. These documents should be preserved permanently. (RDA page 3-2) **(Bibliographic Title: Historical Documents of the Garrett Coliseum)**

Administering Internal Operations

- **Website.** The commission has a website at: www.garrett.alabama.gov. Subjects may include schedule of events, ticket information, directions to grounds, seating charts, hotels in area, and staff directory. The website should be preserved as it serves as an important medium for communication with the public. (RDA page 3-3) (**Bibliographic Title: Website**)
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “. . . All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.

Permanent Records List Agricultural Center Board

Promulgating Rules and Regulation

1. Meeting Agendas, Minutes, and Packets of the Agricultural Center Board

Operating

1. Historical Documents of the Garrett Coliseum

Administering Internal Operations

1. Website
2. Inventory Lists*

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

Agricultural Center 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 Agricultural Center Board. The RDA lists records created and maintained by the Agricultural Center 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 the Agricultural Center 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 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 Agricultural Center Board's 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 Agricultural Center Board 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.

** 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.

■ Promulgating Rules and Regulations

MEETING AGENDAS, MINUTES, AND PACKETS OF THE AGRICULTURAL CENTER BOARD **

Disposition: PERMANENT RECORD.

Board of Directors Appointment Files**

Disposition: Temporary Record. Retain 5 years after the term is expired.

Recordings of Meetings

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

■ Operating

HISTORICAL DOCUMENTS OF THE GARRETT COLISEUM

Disposition: PERMANENT RECORD.

State Agricultural Fair Award Administrative Files

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

Event Scheduling Books

Disposition: Temporary Record. Retain for useful life.

Event Rental Contracts

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

Event Financial Settlement Files

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

Architectural Studies for Renovation of the Garrett Coliseum

Disposition: Temporary Record. Retain for useful life.

■ **Administering Internal Operations**

Managing the Agency:

WEBSITE

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

Routine Correspondence

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

Administrative Subject/Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency'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 anywhere in the agency and all permanent records have been migrated to a new system.

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 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 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, and cancelled checks**

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

Records documenting requests for authorization by 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 end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

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

Contractual records established for the purpose of services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Agency Audit Reports

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

Board of Adjustment Files

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

Managing Human Resources:

Records documenting payroll (e.g. pre-payroll reports, payroll check registers, and other related reports or records)**

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 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes**

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

Records documenting employee hours worked, leave earned and leave taken**

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

Records of employee final leave status**

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting an employee's work history - generally maintained as a case file**

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Equal Employment Opportunity Complaint Files

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

Managing Properties, Facilities, and Resources:

INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 36-16-8[1]).

Letters of Transmittal

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

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after 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 records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

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

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 Agricultural Center Board (hereafter referred to as the agency) as stipulated in this document.

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

- The agency 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 agency, 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 agency’s approved RDA.
- Permanent records in the agency’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 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 agency 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 agency maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.
- 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 the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are

available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on January 28, 2009.

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

Date

Receipt acknowledged

William H. Johnson III, Executive Director
Agricultural Center Board

Date