

Farmers Market Authority

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of Farmers Market Authority

Sources of Information

Representative of the Farmers Market Authority
Code of Alabama 1975, Sections 2-5-1 through 2-5-17; 2-5-30 through 2-5-39
Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)
Farmers Market Authority Audit Report (October 1, 1998 through September 30, 2000)
Alabama Government Manual (1998)

Historical Context

The Farmers Market Authority was established in 1965 by the Legislature (Acts 1965, No. 672).

Agency Organization

The authority consists of nine members. The commissioner of the Department of Agriculture and Industries is an *ex officio* member. The other eight members are appointed by the governor and confirmed by the Senate, with at least one person from each congressional district. These appointed members must be directly connected with agriculture by virtue of devoting a majority of their business activities to the production, processing, or distribution of agricultural products. Each member serves a six-year term. The members of the authority select a chair and a vice-chair. A quorum consists of a majority of the members. The authority appoints an administrator and other necessary employees to handle the day-to-day office operations. An organizational chart is attached.

Agency Function and Subfunctions

The Farmers Market Authority establishes agricultural markets to prevent waste and to provide marketing facilities for agricultural commodities where farm products may be processed, graded, packaged, displayed, or exhibited in order to encourage the buying and selling of the commodities. The authority is one of the agencies primarily involved in carrying out the Economic Development function of Alabama government. In the performance of its mandated function, the Farmers Market Authority may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** Code of Alabama 1975, Section 2-5-10, specifies that the authority is empowered to make and promulgate rules and regulations that are necessary for the implementation of laws relating to farmers' markets. All rules and regulations must be posted for a period of 24 hours in each farmers market established by the

authority. This subfunction encompasses activities pertaining to the establishment and promulgation of rules and regulations by the authority for carrying out its duties and responsibilities.

- **Issuing Bonds.** The Farmers Market Authority is authorized, under the Code of Alabama 1975, Section 2-5-30 to 2-5-39, to issue bonds, not to exceed \$10 million dollars, for the purpose of acquiring, renovating, equipping and maintaining farmers' market facilities. Since its creation in 1965, the authority has not issued any bonds. The authority may issue bonds in the future if it deems necessary.
- **Establishing and Regulating .** The Farmers Market Authority procures the necessary market sites in the state for farmers' markets and establishes markets on these sites without having to secure a permit from the municipality in which the site may be located. Space or facilities at farmers' markets are leased to farmers for a term not exceeding 30 years. The authority is also empowered to make rules and regulations for the proper conduct of these markets, both wholesale and retail. The authority may provide experienced persons to act as graders and classifiers, and designate reasonable grades and classes to pay for the cost of acquiring and operating the markets.
- **Administering the Seniors Farmers Market Nutrition Pilot Program (SFMNPP).** The Seniors Farmers Market Nutrition Pilot Program (SFMNPP) was first funded in 2001 pursuant to the Commodity Credit Corporation Charter Act. As a recipient of the Seniors Farmers Market Nutrition Pilot Program (SFMNPP) grant from the United States Department of Agriculture, the Farmers Market Authority provides eligible senior citizens in the state with redeemable checks for use to purchase fresh fruits, vegetables, and herbs from Alabama farmers at farmers' markets, roadside stands, and other community supported agriculture programs. In addition to improving the diets of low-income seniors, this program assists in developing new or expanding existing farmers' markets which will benefit farmers and local communities. People who are approved for the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) are also eligible for checks for fresh produce provided by farmers enrolled in the SFMNPP. All administrative and financial responsibilities for WIC recipients are handled by the State Department of Public Health.
- **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

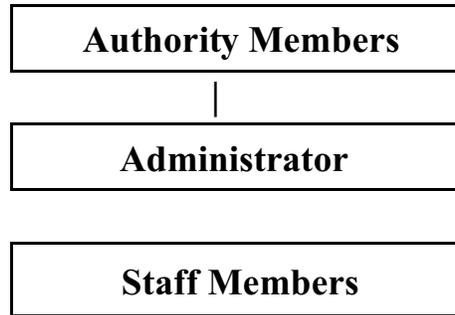
information systems and technology.

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, 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; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Farmers Market Authority



Analysis of Record Keeping System and Records Appraisal of the Farmers Market Authority

Agency Record Keeping System

The authority currently operates a hybrid record keeping system composed of paper and electronic records. The authority maintains a website at: <http://www.fma.state.al.us>.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Farmers Market Authority: 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. One of the temporary records created by the agency is discussed below:

- **Farmers Market/Agricultural Products Marketing Facility Lease/Sale Agreement Files.** The Farmers Market Authority establishes agricultural markets for farm produce and other agricultural products marketing facilities to facilitate the sale and exchange of farm products. In order to pay the costs incurred for providing the market facilities, the authority is authorized to enter into lease/sale contracts not exceeding thirty (30) years to persons who desire space or facilities, and the title to the facility is transferred to the lessee after the cost of the market facility is fully paid by the lessee under the lease/sale agreement. No interest is accrued or charged to a lessee. This series contains executed lease/sale agreements, architectural drawings/specifications for facilities, memoranda, correspondence, and other related documents. These documents form the legal basis for the business transactions between the authority and local marketing facilities. The authority must keep the agreement files at least until the cost is paid in full. An extra five (5) years of retention after the cost is paid in full would be sufficient for audit and reference needs.

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

Promulgating Rules and Regulations:

- **Meeting Minutes.** The Code of Alabama 1975, Section 2-5-3, specifies that the Farmers Market Authority meet at the call of the chairman. The meeting minutes document the authority's decisions relating to the promulgation of rules or regulations, the establishment and operation of farmers' markets, and other program activities. These records are the best

source of information about the functions of the authority. (RDA page 3-2) **(Bibliographic Title: Meeting Minutes)**

Issuing Bonds:

The authority currently creates no records under this subfunction.

Establishing and Regulating:

- **Alabama Horticultural Products Marketing Study Findings.** The Farmers Market Authority sponsored and conducted, in conjunction with the Alabama Agricultural Statistics Service, an Alabama Horticultural Products Marketing Study to determine how the authority can help Alabama farmers market their horticultural products. Specific objectives included (1) identify new market sites for Alabama produce; (2) establish relationships with produce buyers; (3) determine prospects for increasing horticultural production in Alabama; and (4) define some of the industry needs. The authority has compiled a pamphlet documenting the major findings. Other records may include narrative and/or statistical reports on the study. These records are the core documentation providing information on the authority's strategic planning process. (RDA page 3-3) **(Bibliographic Title: State Publications)**

Administering the Seniors Farmers Market Nutrition Pilot Program (SFMNPP):

- **Grant Project Proposals and Final Reports.** These files document the authority's efforts in applying for and implementing the federal government's Seniors Farmers Market Nutrition Program. They are the best documentation of a program that helps agriculture agencies, communities, farmers, and recipients become active partners in a common effort to support the local economy and improve the health of senior citizens.(RDA page 3-3) **(Bibliographic Title: Grant Project Proposals and Final Reports)**

Administering Internal Operations:

- **Informational and Promotional Materials.** These publications document the authority's efforts in communicating with the public regarding its programs and/or services. The authority currently publishes brochures and issues news releases from time to time. (RDA page 3-3) **(Bibliographic Title: Informational Publications)**

Permanent Records List Farmers Market Authority

Promulgating Rules and Regulations:

1. Meeting Minutes

Establishing and Regulating:

1. Alabama Horticultural Products Marketing Study Findings.

Administering the Seniors Farmers Market Nutrition Pilot Program (SFMNPP):

1. Grant Project Proposals and Final Reports.

Administering Internal Operations:

1. Informational and Promotional Materials

Farmers Market Authority 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 the staff of the Farmers Market Authority. The RDA lists records created and maintained by the Farmers Market Authority 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 authority 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 Farmers Market Authority'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 RDAs of other agencies.
- Certain records and record-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 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 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 Farmers Market Authority and lists the groups of records created and/or maintained by the authority as a result of activities and transactions performed in carrying out these subfunctions. The authority 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**

MEETING MINUTES

Disposition: PERMANENT RECORD.

■ **Issuing Bonds**

The authority currently creates no records under this subfunction. Once the authority has issued bonds, all records documenting this subfunction will be appraised and classified.

■ **Establishing and Regulating**

ALABAMA HORTICULTURAL PRODUCTS MARKETING STUDY FINDINGS

Disposition: PERMANENT RECORD.

Farmers Market/Agricultural Products Marketing Facility Lease/Sale Agreement Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the cost is paid in full.

Farmers Market/Agricultural Products Marketing Facility Visit and Monitoring Reports

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

■ **Administering the Seniors Farmers Market Nutrition Pilot Program (SFMNPP).**

GRANT PROJECT PROPOSALS AND FINAL REPORTS

Disposition: PERMANENT RECORD.

Seniors Farmers Market Nutrition Pilot Program Vendor Agreements

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

withdraws from participation.

Redeemed Seniors Farmers Market Nutrition Pilot Program Checks

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

Seniors Farmers Market Nutrition Pilot Program Financial Records

Disposition: Temporary Record. Retain 6 years after submission of the final federal expenditure report.

■ **Administering Internal Operations**

Managing the Agency:

INFORMATIONAL AND PROMOTIONAL MATERIALS

Disposition: PERMANENT RECORD.

Authority Membership Appointment Letters

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

Routine Correspondence

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 authority'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 agency and all permanent records have been migrated to 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, ledgers, and records of 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).

Audit Reports

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

Managing Human Resources:

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

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 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

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

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

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

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings)

Disposition: Temporary Record. Retain 3 years following decision.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

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

Records documenting sick leave donations

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

Employee Flexible Benefits Plan Files

Disposition: Temporary Record.

General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

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

Managing Properties, Facilities, and Resources:

Real Property Leasing/Renting Records

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

Semiannual Inventory Lists

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

Transfer of State Property Forms (SD-1) (Agency 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. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

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

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.

Approval of Records Disposition Authority

By signing this agreement the Farmers Market Authority acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Farmers Market Authority 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 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, submitting an annual report on records management activities to the State Records Commission in January of each year, and ensuring the regular implementation of the authority's approved RDA.
- Permanent records in the Farmers Market Authority'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 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 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 Farmers Market Authority 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 agency and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Don Wambles, Administrator
Farmers Market Authority

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