

# **Alabama Agricultural Museum Board**



## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
October 28, 2020**

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# Functional and Organizational Analysis of the Alabama Agricultural Museum Board

## Sources of Information

- Representatives of the Alabama Agricultural Museum Board
- Code of Alabama 1975 § 1-3-30, § 41-9-920 through § 41-9-929
- Alabama Acts 1992-541, 1993-893, and 2000-672
- Alabama Government Manual (2018)
- Landmark Park website ([www.landmarkparkdothan.com](http://www.landmarkparkdothan.com))
- Mitchell, Charles. "Agriculture in Alabama." *Encyclopedia of Alabama*, December 2, 2019, <http://www.encyclopediaofalabama.org/article/h-1396>.
- Crawford, Gary W. "Origins of Agriculture: North America." *Encyclopedia Britannica*, January 17, 2020, <https://www.britannica.com/topic/agriculture/North-America>.

## Historical Context

Agriculture has been central to the lives of the people of North America for millennia, with archaeological evidence indicating the cultivation of sunflower, squash, and other crops by at least 3000 BCE in the land which would one day become the southeastern United States.<sup>1</sup> From these ancient times to the present day, a wide variety of crops and livestock have thrived in the land we now refer to as Alabama.<sup>2</sup> The Alabama Legislature established the Alabama Agricultural Museum Board in 1993 to honor this state's rich agricultural history.

In 1976, the private, non-profit Dothan Landmark Foundation formed to preserve historical sites in the Wiregrass area. In 1978, the McFatter family donated fifty acres of land for the creation of the Landmarks Center for Natural Science and History, which in 1981 was renamed Landmark Park. Throughout the 1980s, several historic structures moved to Landmark Park, including Headland Presbyterian Church and the Watson Log Cabin, which was moved from Skipperville, Alabama. The Park continues to develop its historic and educational facilities.

In 1992, the Alabama Legislature passed a joint resolution designating Landmark Park "the official Agricultural Museum for the State of Alabama." The following year, Alabama Act 1993-893 created the Alabama Agricultural Museum Board to "recognize the important contribution of agriculture to our state and to preserve, exhibit, display, and interpret artifacts and other materials associated with it." The Board collaborates with the non-profit Landmark Park to preserve the state's agricultural history by assisting with the Park's agricultural programming. The state agency and non-profit work cooperatively to share agricultural history and educational programming with the Wiregrass region and beyond. In 1998, the Board broke ground for the Alabama Agricultural Museum and completed the first phase the following year.

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<sup>1</sup> Gary W. Crawford, "Origins of Agriculture: North America," *Encyclopedia Britannica*, January 17, 2020, <https://www.britannica.com/topic/agriculture/North-America>.

<sup>2</sup> Charles Mitchell, "Agriculture in Alabama," *Encyclopedia of Alabama*, December 2, 2019, <http://www.encyclopediaofalabama.org/article/h-1396>.

At the time of its establishment, the Board had nine members. With the passage of Alabama Act 2000-672, the Legislature added two seats on the Board for appointees of the President of Tuskegee University and the President of Alabama A&M University, bringing the number of Board members to eleven.

Due to state budget shortfalls, the Legislature eliminated all state funding for the Agricultural Museum for fiscal years 2012 and 2013. Continued donations and revenue permitted Landmark Park to continue operations and serve the community. State appropriations to the Alabama Agricultural Museum Board slowly increased in the following years. In 2020, the Agricultural Museum continues to provide agricultural education to the state, with between 30,000 and 40,000 people visiting Landmark Park and the Agricultural Museum every year. The Museum creates and shares new exhibits that illustrate Alabama's agricultural past.

## **Agency Organization**

Pursuant to the Code of Alabama 1975 § 41-9-922, the Board is composed of eleven members. The Governor appoints six members from a list of twenty potential candidates selected by the Dothan Landmark Foundation. The other five members are appointed by the following individuals: the President of Auburn University, the Director of the Alabama Department of Archives and History, the Commissioner of the Alabama Department of Agriculture and Industries, the President of Tuskegee University, and the President of Alabama A&M University. Board members serve four-year terms. The Board is statutorily required to convene at least once per year. As of October 2020, two staff members, including a curator, work for the Board.

## **Agency Function and Subfunctions**

The mandated function of the Alabama Agricultural Museum Board is to preserve and share Alabama's agricultural history by maintaining, exhibiting, displaying, and interpreting artifacts. As such, it is one of the agencies responsible for performing the Education function of Alabama government as described in the "Functional Analysis of Alabama Government."

In the performance of its mandated function, the Board may engage in the following subfunctions:

- **Preserving.** Pursuant to the Code of Alabama 1975 § 41-9-921, the Alabama Agricultural Museum Board works "to recognize the important contribution of agriculture to the state and to preserve, exhibit, display, and interpret artifacts and other materials associated with it." The Board collaborates with Landmark Park, which maintains agricultural artifacts, to accomplish these objectives, including exhibiting agricultural artifacts and educational programs.
- **Educating.** The Board works in coordination with Landmark Park to share the agricultural history of Alabama by making educational programming and exhibitions available to the general public. Staff and volunteers demonstrate historic farming

techniques using vintage agricultural implements at the Park's "living history" farmstead. These efforts constitute one branch of Landmark Park's educational programming, which also encompasses activities including, but not limited to, farm tours, live animal demonstrations, and historical re-enactments.

- **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 including:

**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, legislating (drafting, tracking), 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 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 include recruiting and hiring eligible individuals to fill positions within the agency; 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; investigating and disciplining.

**Managing Properties, Facilities, and Resources:** Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property.

# Records Appraisal of the Alabama Agricultural Museum Board

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

## 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. Some of the temporary records created by the Board are discussed below:

- **Exhibit Planning Files.** The Board may coordinate exhibits and other presentations as it fulfills its mission “to preserve, exhibit, display, and interpret artifacts and other materials associated with [agriculture].”<sup>3</sup> These files document the design, layout, and proposed content of exhibits and may include, but are not limited to, the following records: specifications, floor plans, artifact listings, blueprints, drafted text, and financial records. The scope of this series does not include files that represent the Board’s educational programming in its final form. The final representations are scheduled to be permanently retained and are further described below. Exhibit planning files are to be retained for five years after exhibit opening to ensure the availability of these files for exhibit analysis, report writing, or future exhibit planning.
- **Files of Financial Donations.** These records document monetary gifts to the Alabama Agricultural Museum Board that result from fundraising, memorials, tributes, and/or gifts from private individuals or corporations. Information in the records may include the names of donors, reasons for the donations and their acceptance or rejection, conditions or restrictions on the gifts, and correspondence with the donors and their families. Files are scheduled to be retained for seven years after the final expenditure of the funds. This retention ensures the availability of the files throughout the entire interval of expenditure.
- **Fundraising and Special Event Files – Generated Revenue and Sales Receipts.** These records document revenue generated by the Board through fundraising, sales, and/or other special events. Information included in this series may include, but is not limited to, event tickets, receipts, and other files documenting the income generated by the Board. Files in this series shall be retained for one year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm, or one year after the end of the fiscal year the audit covers, whichever is later. The length of the retention ensures that files are available for audit.
- **Register of Administrative Rules.** According to the Code of Alabama 1975 § 41-22-6 through § 41-22-7, agencies must compile and maintain “an official register of regulations which shall be compiled, indexed, published in loose-leaf form, and kept up

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<sup>3</sup> Code of Alabama 1975 § 41-9-921

to date...” This “official register of regulations” is known as “The Agricultural Museum Board Code” and must be made available upon request to all persons. Since the register must be updated on an ongoing basis, it is to be retained until superseded.

- **Administrative Rule Change Working Files.** The Alabama Administrative Procedure Act (Code of Alabama 1975 § 41-22-1 through § 41-22-27) details the steps which an agency must follow when updating its administrative rules. Working files are produced in the course of proposal, adoption, amendment, and/or repeal of administrative rules. Records in this series may include, but are not limited to, the following: received public comments, economic impact statements, and business impact analyses. A retention of one year after adoption, amendment, repeal, or rejection of an administrative rule permits review by staff when considering similar rules.

## Permanent Records

The Archives Division has appraised the following records as permanent.

### Preserving

- **Deeds of Gift or Accession Records.** Landmark Park maintains ownership of the items and artifacts displayed in the Agricultural Museum. The records that document the ownership of these items belong to Landmark Park. These records describe items added to, or removed from, the Park’s permanent collection. Besides providing a description, these records document the reasons for accessioning or deaccessioning each item. They are useful in proving ownership for legal or insurance purposes. **(Bibliographic Title: Not Applicable) (Maintained by Landmark Park)**
- **Collections Management Policies.** Landmark Park maintains ownership of the items and artifacts displayed in the Agricultural Museum. The records that document the collection belong to Landmark Park. These records provide ongoing documentation of the Park’s collection goals, acquisition policies, and accessioning/deaccessioning procedures. They may include policy statements, procedures manuals, and memoranda or correspondence relating to agency collection policies. The records provide essential documentation of the Park’s development and changes in its collection policies and goals. **(Bibliographic Title: Not Applicable) (Maintained by Landmark Park)**
- **Collection Inventories.** Landmark Park maintains ownership of the items and artifacts displayed in the Agricultural Museum. The records that document the ownership of these items belong to Landmark Park. These records document periodic inventories of all items in the Park’s collection. They contain item descriptions, acquisition information, and item locations and provide proof of ownership of collection items. **(Bibliographic Title: Not Applicable) (Maintained by Landmark Park)**
- **Memoranda of Understanding and Artifact Loan Agreements.** These documents are original signed copies of Memoranda of Understanding (MOU) received and maintained by the agency to document loan agreements between the Board and Landmark Park or

other organizations. The Board receives agricultural and other historical artifacts on loan for museum exhibitions, and the records in this series document the terms of these agreements. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Agricultural Museum Board)**

- **Audiovisual Materials Documenting Agricultural History - Oral History Recordings and Transcripts.** This series consists of recordings and/or written transcriptions of recordings made by the Board and/or its designees. Formats for this series may include, but are not limited to, reel to reel, audio or video cassette, digital audio tapes (DAT), and digital audio or video files. This collection constitutes core documentation of Alabama's agricultural history as recounted by current/former farmers, ranchers, and other agricultural workers. Oral histories may be produced through collaboration with local historical societies, institutes of higher education (such as Troy University), or other partner agencies. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Agricultural Museum Board)**
- **Audiovisual Materials Documenting Agricultural History – Final Edited Audiovisual Materials.** This series consists of photographic images, moving film images, still video images, and sound recordings made by the Board and/or its designees. Formats for this series may include, but are not limited to, photographic negatives, color transparencies, digital photographs, reel to reels, cassettes, digital audio tapes (DAT), and digital audio files. The scope of the series includes final audiovisual materials, of good quality, which are suitable for public display and/or availability. Final audiovisual materials may be cropped, “cut,” enhanced, or otherwise edited. The scope of the series does not include raw or poor-quality audiovisual material which lacks ongoing historic value. This collection constitutes core documentation of Alabama's agriculture history. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Agricultural Museum Board)**

## **Educating**

- **Representative Files of Exhibits and Other Presentations – Representative Selection of Exhibit Photographs and Text.** The Board may coordinate exhibits and other presentations as it fulfills its mission “to preserve, exhibit, display, and interpret artifacts and other materials associated with [agriculture].”<sup>4</sup> This series consists of text, photographic images, moving film images, still video images, sound recordings, and other files that capture the outreach efforts, content, and design. The scope of the series is limited to materials which the Board deems to be representative of its educational programming. The Board may consult the Alabama Department of Archives and History and/or local historical societies as needed when identifying representative materials. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Agricultural Museum Board)**

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<sup>4</sup> Code of Alabama 1975 § 41-9-921



- **Representative Files of Exhibits and Other Presentations – Samples of Exhibit Publicity Files.** In developing exhibits or other presentations, the Board may produce informational or promotional material to publicize the event and to encourage attendance. This series consists of representative files that document these promotional efforts and may include posters, advertisements, pamphlets, press releases, booklets, and other promotional materials. The scope of the series is limited to materials which the Board deems to be representative of its educational programming. The Board may consult the Alabama Department of Archives and History and/or local historical societies as needed when identifying representative materials. **(Bibliographic Title: Publicity Files)**
  
- **Annual and Other Periodic Reports.** These records include reports created by the agency that document its critical activities. Some agencies must submit an annual report to the Governor and/or the Legislature by statute. The frequency of report publications may vary (annual, biannual, quarterly, etc.). Interim reports that contain the same substantive information as a corresponding annual or other periodic report need not be retained permanently. Where no agency annual report exists, or where the agency annual report does not adequately document activities of the agency, then division annual reports should be retained. **(Bibliographic Title: State Publications)**
  
- **Special Reports.** These records include reports created by the agency pertaining to a specific topic or subject area. Special reports may be prepared on an irregular schedule. Interim reports that contain the same substantive information as a corresponding special report need not be retained permanently. **(Bibliographic Title: State Publications)**
  
- **Representative Final Version of Informational and Promotional Materials.** These records are created to build public awareness about a variety of issues and department related activities. The publications are necessary to document the educational outreach efforts undertaken by the Board. The publications help document the activities of the Alabama Agricultural Museum Board and how the Board views these activities. **(Bibliographic Title: Publicity Files)**

## **Administering Internal Operations**

- **Meeting Minutes, Agendas, and Packets of the Board.** The Board meets regularly to discuss the progress of the Alabama Agricultural Museum. These records contain information on proposed and executed proceedings of the Board. In addition to minutes, this series also includes supportive/reference documentation used by the Board. These files provide significant documentation of the Board's activities that may not be found elsewhere. **(Bibliographic Title: Meeting Files)**
  
- **Policies and Procedures - Policies and procedures governing core functions and services.** These records document the agency's role in promulgating policies governing critical operations. The scope of the series does not include policies concerning the administration of routine, internal operations. **(Bibliographic Title: Policies and Procedures)**

- **Certified Copies of the Administrative Rules.** The Alabama Administrative Code is a compilation of the rules of all state agencies covered by the Alabama Administrative Procedure Act. Each agency covered by the Act may propose and adopt revisions to its administrative rules. According to the Code of Alabama 1975 § 41-22-6, “each agency shall have an officer designated as its secretary and shall file in the office of the secretary of the agency a certified copy of each rule adopted [by the agency].” **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Agricultural Museum Board)**
  
- **Grant Project Files – Final Narrative Reports.** The Board may receive grant funding from governmental or nonprofit organizations. Final narrative reports document the Board’s activities in fulfilling the grant requirements. They summarize the goals of the grant, the allocations of funding, and the objectives accomplished through grant funding. **(Bibliographical Title: Grant Files)**
  
- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the agency, document actions and positions of the agency but do not include correspondence dealing with routine matters. These records include, but are not limited to, correspondence with state officials, legal/advisory correspondence, subject files, and other correspondence **(Bibliographical Title: Administrative Files)**
  
- **Board Member Files – Biographical and Historical Information.** These records include biographical description and other historical data related to the agency's board members. These records provide important documentation of the Board's composition. **(Bibliographic Title: Board Member Biographical Files)**
  
- **Fundraising and Special Event Files – Final Narrative Reports and Samples of Publicity Materials.** The Board may hold fundraising or special events to increase revenue or to fund projects. In holding these events, the Board may produce narrative reports to document the activities and outreach undertaken. The Board may also produce publicity materials to drive attendance for these events. These records are scheduled as permanent because they document the Board’s promotional efforts and may include posters, advertisements, pamphlets, press releases, booklets, and other promotional materials. The scope of the series is limited to materials which the Board deems to be representative of its educational programming. The Board may consult the Alabama Department of Archives and History and/or local historical societies as needed when identifying representative materials. **(Bibliographical Title: Publicity Files)**
  
- **Website and Social Media Site(s).** The Board has a website at [www.landmarkparkdothan.com](http://www.landmarkparkdothan.com) and social media sites with Facebook. Information on the website includes park information, educational offerings, and facility rental details. ADAH staff captures and preserves the agency’s website and other social media sites via a service offered by the Internet Archive [Archive-It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at [www.archiveit.org/organizations/62](http://www.archiveit.org/organizations/62) to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not being

captured by the service, please contact the Archives Division at 334-242-4452 to get them included. **(Bibliographic Title: Website and Social Media Site[s])**

## **Permanent Records List**

### **Alabama Agricultural Museum Board**

#### **Preserving**

1. Deeds of Gift or Accession Records\*\*
2. Collections Management Policies\*\*
3. Collection Inventories\*\*
4. Memoranda of Understanding and Artifact Loan Agreements\*
5. Audiovisual Materials Documenting Agricultural History – Oral History Recordings and Transcripts\*
6. Audiovisual Materials Documenting Agricultural History – Final Edited Audiovisual Materials\*

#### **Educating**

1. Representative Files of Exhibits and Other Presentations – Representative Selection of Exhibit Photographs and Text\*
2. Representative Files of Exhibits and Other Presentations – Samples of Exhibit Publicity Files
3. Annual and Other Periodic Reports
4. Special Reports
5. Representative Final Version of Informational and Promotional Materials

#### **Administering Internal Operations**

1. Meeting Minutes, Agendas, and Packets of the Board
2. Policies and Procedures – Policies and procedures governing core functions and services  
Certified Copies of the Administrative Rules\*
3. Grant Project Files – Final Narrative Reports
4. Administrative Files that Document Policy, Process, and Procedure
5. Board Member Files – Biographical and Historical Information
6. Fundraising and Special Event Files – Final Narrative Reports and Samples of Publicity Materials
7. Website and Social Media Site(s)

\*indicates records that the Agricultural Museum Board determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency. All other permanent records are to be transmitted to the ADAH once they are no longer in active use by the Agricultural Museum Board.

\*\*indicates permanent records owned by the non-profit Landmark Park. This series will remain in the care and custody of Landmark Park.

# **Alabama Agricultural Museum 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 § 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It identifies records which must be maintained permanently and ultimately transferred to the ADAH; establishes retention periods for temporary records; and provides the legal authority for the Agency to implement destruction of eligible records.

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 may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 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 agency records manager or ADAH Archives Division at (334) 242-4452.

## **Explanation of Records Requirements**

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.

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.

Certain other record-like materials are not actually regarded as official records and 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; (2) catalogs, trade journals, and other publications received that require no action and do not document agency 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, 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; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Agency and lists the groups of records created and/or maintained 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 biannual meetings.

### **Preserving**

#### **DEEDS OF GIFT OR ACCESSION RECORDS\*\***

Disposition: PERMANENT RECORD. Retain in office. Owned by Landmark Park.

#### **COLLECTIONS MANAGEMENT POLICIES\*\***

Disposition: PERMANENT RECORD. Retain in office. Owned by Landmark Park

#### **COLLECTION INVENTORIES\***

Disposition: PERMANENT RECORD. Retain in office. Owned by Landmark Park.

#### **MEMORANDA OF UNDERSTANDING AND ARTIFACT LOAN AGREEMENTS\***

Disposition: PERMANENT RECORD. Retain in office.

### **Audiovisual Materials Documenting Agricultural History**

#### **a. ORAL HISTORY RECORDINGS AND TRANSCRIPTS\***

Disposition: PERMANENT RECORD.

#### **b. FINAL EDITED AUDIOVISUAL MATERIALS\***

Disposition: PERMANENT RECORD.

#### **c. Raw or Poor-Quality Audiovisual Materials**

Disposition: Temporary Record. Retain for useful life.

### **Educating**

#### **Exhibit Planning Files**

Disposition: Temporary Record. Retain for 5 years after exhibit opening.

#### **Representative Files of Exhibits and Other Presentations**

#### **a. REPRESENTATIVE SELECTION OF EXHIBIT PHOTOGRAPHS AND TEXT\***

Disposition: PERMANENT RECORD.

- b. SAMPLES OF EXHIBIT PUBLICITY FILES  
Disposition: PERMANENT RECORD.

#### **ANNUAL AND OTHER PERIODIC REPORTS**

Disposition: PERMANENT RECORD.

#### **SPECIAL REPORTS**

Disposition: PERMANENT RECORD.

#### **REPRESENTATIONAL FINAL VERSION OF INFORMATIONAL AND PROMOTIONAL MATERIALS**

Disposition: PERMANENT RECORD.

#### **Informational and Promotional Working Files**

Disposition: Temporary Record. Retain for useful life.

#### **Administering Internal Operations: Managing the Agency**

#### **MEETING MINUTES, AGENDAS, AND PACKETS OF THE BOARD**

Disposition: PERMANENT RECORD.

#### **POLICIES AND PROCEDURES**

- a. POLICIES AND PROCEDURES GOVERNING CORE FUNCTIONS AND SERVICES  
Disposition: PERMANENT RECORD.
- b. Policies and procedures concerning internal operations, including the administration of finances, personnel, properties, facilities, and resources  
Disposition: Temporary Record. Retain 3 years.

#### **CERTIFIED COPIES OF ADMINISTRATIVE RULES**

Disposition: PERMANENT RECORD. Retain in office.

#### **Register of Administrative Rules**

Disposition: Temporary Record. Retain until superseded.

#### **Administrative Rule Change Working Files**

Disposition: Temporary Record. Retain 1 year after adoption, amendment, repeal, or rejection of the rule.

#### **Grant Project Files**

- a. FINAL NARRATIVE REPORTS  
Disposition: PERMANENT RECORD.

- b. Working Files  
Disposition: Temporary Record. After submission of final narrative, retain 1 year after audit
- c. Financial Records  
Disposition: Temporary Record. Retain 6 years after conclusion of the grant or two years after audit, whichever is longer.
- d. Financial Reports, Interim Narrative Reports, Correspondence  
Disposition: Temporary Record. Retain 6 years after conclusion of the grant or two years after audit, whichever is longer or denial of application.

#### **ADMINISTRATIVE FILES THAT DOCUMENT POLICY, PROCESS, AND PROCEDURE**

Disposition: PERMANENT RECORD.

#### **Routine Correspondence**

Disposition: Temporary Record. Retain 3 years.

#### **Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

#### **Board Member Files**

- a. BIOGRAPHICAL AND HISTORICAL INFORMATION  
Disposition: PERMANENT RECORD.
- b. Board Appointment Letters  
Disposition: Temporary Record. Retain the length of the board term.
- c. Other Files about Board Members  
Disposition: Temporary Record. Retain for useful life.

#### **Files of Financial Donations**

Disposition: Temporary Record. Retain 7 years after the final expenditure of the funds.

#### **Files of Potential Financial Donations (“Lead Files” and Correspondence)**

- a. Files that Result in Donations  
Disposition: Temporary Record. Transfer to Files of Financial Donations.
- b. Files that do not result in donations  
Disposition: Temporary Record. Retain for useful life.

#### **Fundraising and Special Event Files**



- a. FINAL NARRATIVE REPORTS AND SAMPLES OF PUBLICITY MATERIALS  
Disposition: PERMANENT RECORD.
- b. Critical Planning Documentation  
Disposition: Temporary Record. Retain 5 years.
- c. Lists of Attendees or Participants, Attendance Logs and Sign-in Sheets, Program Evaluation Forms, and other records  
Disposition: Temporary Record. Retain until completion of final narrative report. If no report is required, retain for useful life.
- d. Generated Revenue and Sales Receipts  
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

#### **Internal Procedures**

Disposition: Temporary Record. Retain until superseded.

#### **Legislative Files (drafts of proposed agency-sponsored legislation, tracking files and records)**

Disposition: Temporary Record. Retain for useful life.

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

Disposition: Temporary Record. Retain 10 years.

#### **Signed Copies of Approved RDA**

Disposition: Temporary Record. Retain until superseded.

#### **Computer Systems Documentation (Hardware/Software Specifications and Warranties)**

Disposition: Temporary Record. Retain documentation of former system 1 year after audit for 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.

#### **WEBSITE AND SOCIAL MEDIA SITE(S)**

Disposition: PERMANENT RECORD.

*Note: ADAH staff capture and preserve the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at [www.archiveit.org/organizations/62](http://www.archiveit.org/organizations/62) to ensure your agency and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.*

## **Administering Internal Operations: 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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products (includes AST-1 and AST-1A)**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

### **Purchase and Repair Order Documents**

Disposition: Temporary Record. Retain for life of warranty.

**Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**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: Temporary Record. Retain for 10 years after the award of the contract.

### **Agency Audit Reports**

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

**Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal funds**

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

**Records documenting the unsuccessful application for grants and federal funds**

Disposition: Temporary Record. Retain 1 year.

## **Administering Internal Operations: Managing Human Resources**

### **Job Recruitment Materials**

Disposition: Temporary Record. Retain 1 year.

### **Application Materials**

Disposition: Temporary Record. Retain 1 year.

### **Position Classification Questionnaire**

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

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

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm.

### **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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

### **Personnel File - 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 employees' daily and weekly work schedules**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

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

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

### **Records Documenting Leave Donations**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**Records of Final Leave Status**

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

**Employee Flexible Benefits Plan Files (Applications and Correspondence)**

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

**Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims**

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

**Records documenting Equal Employment Opportunity Commission (EEOC) Charges of Discrimination**

Disposition: Temporary Record. Retain 6 years after final dispensation.

**Equal Employment Opportunity Commission Case Files**

Disposition: Temporary Record. Retain 3 years.

**Employee Administrative Hearing Files**

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

**Records Documenting Employee Grievances (Internal Complaints)**

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

**Records documenting complaints against the agency and its employees from outside the agency (made by members of the public, officials, or supervisees, etc.)**

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

**Records (maintained separately from employee personnel file), documenting employee disciplinary proceedings and appeals of formal reprimands, demotions, transfers, or terminations resulting from a grievance or complaint**

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

**Records documenting the administration of the unemployment compensation program**

Disposition: Temporary Record. Retain 6 years after conclusion of eligibility.

**Employee Flexible Benefits Plan Files (Applications and Correspondence)**

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

## **Administering Internal Operations: Managing Properties, Facilities, and Resources**

### **Deeds to the Historic Sites and Properties**

Disposition: Temporary Record. Retain until property is no longer owned by the Board.

### **Semiannual Property Inventory Lists**

Disposition: Temporary Record. Retain 2 years. (Code of Alabama 1975 § 36-16-8[1])

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

Disposition: Temporary Record. Retain 1 year after property audit.

### **Property Inventory Cards and/or Computer Files**

Disposition: Temporary Record. Retain 1 year after property audit.

### **Property Inventory Affidavits**

Disposition: Temporary Record. Retain 1 year after property audit.

### **Receipts of Responsibility for Property**

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

### **Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**

Disposition: Temporary Record. Retain 1 year after audit for the year in which the equipment is removed from the property inventory.

### **Real Property Renting/Leasing records**

Disposition: Temporary Record. Retain 6 years after the termination of lease or rental agreement or until agency is audited and audit report is released, whichever is longer.

### **Facilities/Building Security Records (including visitor logs)**

Disposition: Temporary Record. Retain 1 year.

### **Motor Pool Vehicle Use Records**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

### **Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

### **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.

**Records Documenting Vehicle Use/Mileage**

Disposition: Temporary Record. Retain 1 year.

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

## **Requirement**

Under the Code of Alabama 1975, § 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 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 its activities, including documentation of records destruction, to the State Records Commission.

Unless otherwise stipulated in this document, the Agency must transmit all permanent records which are no longer in active use to the ADAH.

## **Recommendations**

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, 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. ADAH archivists are available to work with Agency staff in determining the best location and storage conditions for permanent records.

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 Open Meetings 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.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the office 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. Agency records managers and/or the ADAH archivists are available to instruct the 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 October 28, 2020.

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Steve Murray, Chairman  
State Records Commission

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Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

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Laura Stakelum, Director  
Alabama Agricultural Museum Board

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Date