

**Geological Survey
of Alabama**

**Functional Analysis
&
Records Disposition Authority**

**Revision
Presented to the
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Functional and Organizational Analysis of the Geological Survey of Alabama

Sources of Information

Representatives of the Geological Survey
Code of Alabama, 1975, sections 9-4-1 through 9-4-19
Alabama Government Manual (1998)
Government Records Division, State Agency Files (1985-ongoing)
Government Records Division, Agency History
Holdings of the Department of Archives and History for the Geological Survey
Sartwell, Alexander. "The Geological Survey of Alabama-- A Short History"

Historical Context

The legislature created the Geological Survey on January 8, 1848, to explore and survey the mineral, energy, water, and biological resources of the state. Beginning in the 1860s the staff of the Geological Survey also focused attention on the economic benefits that the state could realize through development of its geological resources. Information gathered by the Geological Survey contributed to successful, widespread oil drilling operations in Alabama in 1944, and the legislature's creation of the Oil and Gas Board in 1945.

Agency Organization

The state geologist, designated by the president of the University of Alabama, in concurrence with the governor, heads the Geological Survey of Alabama and is the State Oil and Gas Supervisor. The Oil and Gas Supervisor heads the Oil and Gas Board, which shares offices, staff, and equipment with the Geological Survey. The state geologist appoints assistants subject to the provisions of the merit system. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Geological Survey is to encourage the discovery and development of Alabama's natural resources. The Geological Survey is one of the agencies responsible for performing the Economic Development function and the Stewardship function of Alabama government. In the performance of its mandated function, the Geological Survey may engage in the following subfunctions:

- **Conducting Studies.** The Geological Survey conducts evaluations and research projects on the state's mineral, biological, water, and energy resources. The Geological Survey conducts many of its research projects in cooperation with other state, federal, and local

governmental bodies. As partial fulfillment of these cooperative agreements, the Geological Survey submits monthly, quarterly, or final summary reports to the cooperating agencies.

- **Collecting.** The Geological Survey collects specimens illustrating the geological, agricultural, and other natural resources of the state and places them in its museum. The specimens in the collections serve as references for existing and future studies and are available for observation by the public.
- **Reporting.** The State Geologist reports to the legislature on the progress of the explorations and examinations with analyses of soils or of minerals, waters, etc., supplemented with maps and charts as needed. From time to time, the Geological Survey prepares monographs, special reports, maps, and bulletins on the geology of the state to serve as reference sources for staff members and the public. If, in the course of its work, the Geological Survey discovers any deposits of ores or other valuable resources, the Geological Survey notifies the owners of the land (Code of Alabama 1975, Section 9-4-2).
- **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 involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); 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.

Analysis of Record Keeping System and Records Appraisal of the Geological Survey of Alabama

Agency Record Keeping System

Paper-Based Systems: Although the agency uses databases to track information, it uses the paper records as the legal documents. The databases enable the agency's staff to find information quickly and to pull information together to generate maps and reports.

Computer-Based Systems: The Geological Survey operates a LAN. All staff has access to the Internet and e-mail. The Geological Survey uses various database software including Access, Excel, FoxPro, Oracle, and a GIS database linked to a digital map. Currently, the Geological Survey maintains the results of chemical analysis on a central database. The Geological Survey maintains, for two years, paper copies of the data after 1996. The Geological Survey 'archives' computer records that the agency needs for long-term use by writing them onto a CD-ROM with a Ricoh CD writer. A partial backup of the server is performed nightly and a full backup occurs weekly. The agency uses backup tapes on a 5-week rotation and stores the tapes at the Geological Survey. The Geological Survey uses 4mm DAT backup tapes. A Quick Tape backup is also used as necessary.

The Geological Survey also maintains a web site at <http://www.gsa.state.al.us>. The information on the web site can be found in other records of the Geological Survey. The National Spatial Data Infrastructure (NSDI) 1996 Competitive Cooperative Agreements Program (CCAP) administered through the Federal Geographic Data Committee (FGDC) awarded the Geological Survey a grant. Under this grant, the Geological Survey, along with the State Oil and Gas Board, developed and will maintain an Alabama Node of the National Geospatial Data Clearinghouse. When fully populated, this node will provide WWW access to metadata and geospatial data sets 'archived' by the Geological Survey and the Oil and Gas Board. In addition, the node provides access to the National Clearinghouse node, which has links to other nodes around the nation. Geospatial data maintained or under development include data related to the mineral, water, energy, and other natural resources of the State. The Alabama node of the National Clearinghouse maintains compliance with FGDC-approved standards for data collection, documentation, transfer, and search and query.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Geological Survey: 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.

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

permanent.

These permanent records form a significant body of information about the geology of the state. New information is constantly being gathered, but the importance of the old information does not diminish. The Geological Survey retains the old information for reference purposes to facilitate the study of changes in the geology over time. The records work together to give a complete picture of the mineral, biological, and energy resources of the state.

Making Studies

- **Unpublished Data Sheets/Maps.** The Geological Survey maintains unpublished data sheets/maps on the state's mineral, biological, water, and energy resources. The staff and the public use the unpublished data sheets/maps for reference. Often these records are primary sources of data for some areas.
- **Water Well Record Files.** When someone completes a water well, the operator submits well information to the Geological Survey. The Geological Survey also creates well inventory forms that staff files in the Water Well Record Files. The Geological Survey uses these files daily in conducting research projects and in responding to information requests from the public. Consulting firms, geologists, engineers, and individuals who conduct water resources investigations and water availability studies use these files extensively.
- **Results of Chemical Analysis.** The Geological Survey and the State Oil and Gas Board use the chemical analysis results for research and regulatory purposes. Before 1996, there are only paper copies of the chemical analysis results. Beginning in 1996, the chemical analysis results exist both in paper format and in a database. After two years, the Geological Survey destroys the paper copy if the information is also in the database. The Geological Survey maintains paper copies of analysis results for samples collected before 1996.
- **Survey Databases.** The Geological Survey creates and maintains several databases that contain information regarding surveys conducted by the Geological Survey. These databases document the geology of the state and the activities of the Geological Survey.

Collecting

- **Collection Correspondence.** Correspondence related to mineral, biological, water, and energy resource investigations is important for documenting the development of these resources in the state. The collection correspondence also provides some background information for the historic rock and mineral collections of the Geological Survey.

Reporting

- **Reports/Publications.** As a result of the evaluations and research projects of the Geological

Survey, the agency publishes reports. The reports include annual reports and other reports and maps that serve as sources of reference information on the state's mineral, biological, water, and energy resources.

Administering Internal Operations

- **Administrative Files of the State Geologist.** These files contain correspondence and other documentation of the state geologist that document his/her work about the Geological Survey. They contain information not found in other records of the agency and are necessary to document the activities of the Geological Survey.
- **Grant Summary Reports.** As partial fulfillment of cooperative agreements with other state, federal, and local governmental bodies, the Geological Survey submits summary reports to the cooperating agencies. These reports document the research projects conducted by the Geological Survey and their fulfillment of the cooperative agreements.
- **Website.** The website of the Geological Survey of Alabama contains information on programs, projects, publications, news, and staff, as well as other general information about the agency. The agency's list of publications is accessible on the website, is regularly updated, and provides online access to many of the agency's out-of-print publications. The website should be preserved as it serves as an important medium for communication with the public.

Permanent Records List Geological Survey Of Alabama

Making Studies:

- *1. Unpublished Data Sheets/Maps
- *2. Water Well Record Files
- *3. Results of Chemical Analysis
- *4. Survey Databases

Collecting:

- *1. Collection Correspondence

Reporting:

- 1. Reports/Publications

Administering Office Operations:

- 1. Administrative Files of the State Geologist
- 2. Grant Summary Reports
- 3. Website

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

Geological Survey of Alabama 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 Geological Survey of Alabama. The RDA lists records created and maintained by the Geological Survey of Alabama 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 Geological Survey to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Geological Survey'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 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 records-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank

stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, 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 agency social activities, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Geological Survey and lists the groups of records created and/or maintained by the Geological Survey as a result of activities and transactions performed in carrying out these subfunctions. The Geological Survey may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Conducting Studies**

UNPUBLISHED DATA SHEETS/MAPS

Disposition: PERMANENT RECORD.

WATER WELL RECORD FILES

Disposition: PERMANENT RECORD.

RESULTS OF CHEMICAL ANALYSIS

Disposition: Database and pre 1996 paper copy: PERMANENT RECORD. Paper Copy Post 1995: Temporary Record. Retain 2 years.

SURVEY DATABASES

Disposition: PERMANENT RECORD.

■ **Collecting**

COLLECTION CORRESPONDENCE

Disposition: PERMANENT RECORD.

■ **Reporting**

REPORTS/PUBLICATIONS

Disposition: PERMANENT RECORD.

■ **Administering Internal Operations**

Managing the Agency:

ADMINISTRATIVE FILES OF THE STATE GEOLOGIST

Disposition: PERMANENT RECORD.

WEBSITE

Disposition: PERMANENT RECORD.

PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Legal Actions

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

Routine Correspondence (includes requests for information)

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

Mailing Lists

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.

Computer System Documentation (Y2K Records, hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

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.

Electronic Inventory Management

Disposition: Temporary Record. Retain for useful life.

Order Processing System

Disposition: Temporary Record. Retain for useful life.

Electronic Equipment Repair Logs

Disposition: Temporary Record. Retain for useful life.

Service Requests

Disposition: Temporary Record. Retain until work is complete.

Managing Finances:

GRANT SUMMARY REPORTS

Disposition: PERMANENT RECORD.

Project Contracts/Grants

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

Security Records/Logs

Disposition: Temporary Record. Retain 6 months after superseded.

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 from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

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

Contractual records established for the purpose of 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

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in

which the bids were opened.

- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports

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

Managing Human Resources:

Job Recruitment Materials

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

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

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

Certification of Eligibles for Employment

Disposition: Temporary Record. Retain until superseded.

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

Disposition: Temporary Record. Retain 3 years after 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 employee from the agency.

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

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

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

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 (includes records of final leave status)

Disposition: Temporary Record. Retain 6 years after separation of an 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.

Employee Administrative Hearing Files

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

Section/Division Personnel Files

Disposition: Temporary Record. Retain until separation of an employee from the agency.

Weekly Activity Reports

Disposition: Temporary Record. Retain for useful life.

Records Documenting agency provision of training and professional development

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

Security Records/Logs

Disposition: Temporary Record. Retain 6 months after superseded.

Semiannual Inventory Lists

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

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 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.

Records documenting the lease or rental of office or warehouse space for the department

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

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

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 Geological Survey of Alabama

(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 Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April 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 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 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 April 26, 2001 (reformatted on March 17, 2008).

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

Date

Receipt acknowledged.

Berry H. Tew, Jr. State Geologist
State Oil and Gas Board

Date