

# **Alabama Supercomputer Authority**

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

**Presented to the  
State Records Commission  
January 24, 2002**

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# **Functional and Organizational Analysis of Alabama Supercomputer Authority**

## **Sources of Information**

Representative of the Alabama Supercomputer Authority  
Code of Alabama 1975, Sections 41-10-390 through 41-10-406  
Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)  
Alabama Supercomputer Authority Audit Report (October 1996 through September 1999)  
Alabama Supercomputer Authority Web Pages and publications  
Alabama Government Manual (1998)

## **Historical Context**

The Alabama Supercomputer Authority was established in 1989 by the Legislature.

## **Agency Organization**

The Alabama Supercomputer Authority (ASA) is a public corporation governed by a board of directors. The sixteen-member board is composed of the director of the Alabama Development Office; the director of the Department of Finance; a member of the House of Representatives appointed by the speaker of the House of Representatives; a member of the Senate appointed by the lieutenant governor; four representatives from the four doctoral degree-granting public institutions of higher education appointed by the governor, upon the recommendation of the president of each institution; four representatives of the business sector appointed by the governor; and two general public members appointed by the governor. The appointed directors serve four-year terms and can be reappointed for successive terms. In September 1989, the board of directors created an executive committee composed of its chair, industrial vice-chair, academic vice-chair, and the secretary. The executive committee acts for the board, and its actions are reviewed at the next board meeting where they are ratified, modified, or revoked. The board appoints a chief executive officer, who is authorized to employ other necessary staff members for the authority. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the Alabama Supercomputer Authority is to plan, acquire, develop, administer, and operate a state-wide supercomputer and related telecommunications system, which provides state-of-the-art technology to governmental agencies, educational institutions, private businesses/industries; and supports scientific research and development. 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 Alabama Supercomputer Authority may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Alabama Supercomputer Authority is authorized, under the Code of Alabama 1975, Section 41-10-396, to “make and alter all needful bylaws, rules and regulations for the transaction of the authority’s business and the control of its property and affairs.”
- **Operating the Alabama Supercomputer Center.** The Code of Alabama 1975, Section 41-10-396, authorizes the authority to “acquire, improve, maintain, equip, repair, furnish, and administer supercomputer and related communications equipment and facilities,” and to make the time and resources of the supercomputer system available to federal, state, local governmental agencies, and other educational/business institutions. The authority operates the Alabama Supercomputer Center, located in Huntsville, Alabama. Currently, the authority manages the supercomputer system and its use through a third-party professional services contract with the Computer Sciences Corporation (CSC) (previously known as the Nichols Research Corporation). Under the contract, CSC furnishes a Cray SV1 supercomputer and provides operation and maintenance of the supercomputer. A Storage Tek 4400 Automated Cartridge System which provides a 2.4 terabyte long-term data storage capacity and other scientific workstations that can provide visualization and interactive graphics capabilities are also located at the authority’s center.
- **Providing Services.** The Alabama Supercomputer Authority provides a statewide education network, the Alabama Research and Education Network (AREN), that links all universities, colleges, K-12 schools, and some public libraries to the Internet. Legislative appropriations from the Alabama Education Trust Fund provide this service to a limited number of public schools and colleges at no cost; other customers must pay partially or fully for Internet access. ASA also provides web development/hosting services and e-mail services for state/local government entities or organizations within the state of Alabama. In addition, ASA may provide outreach educational training classes, seminars, or presentations.
- **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.

# **Analysis of Record Keeping System and Records Appraisal of Alabama Supercomputer Authority**

## **Agency Record Keeping System**

The authority currently operates a hybrid record keeping system composed of paper and electronic records.

The authority maintains a web site at: [www.asc.edu](http://www.asc.edu). Information available includes description of services and customers, news, and frequently asked questions and answers.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Supercomputer 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 committee is discussed below:

- **Agreements for Services.** This series consists of executed agreements for services between the authority and its users. The agreement will remain effective until services are upgraded, service price is changed, or agreement is terminated. Information on the agreement includes name and address of customer, services to be furnished by the authority, expected total cost for the service under the agreement, yearly cost, time period of the agreement, and signatures of all parties. These records should be maintained for one audit cycle following termination of the agreement.

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

### **Promulgating Rules and Regulations:**

- **Meeting Minutes.** Code of Alabama 1975, Section 41-10-395 (d) mandates “the board of directors shall meet at such times upon such notice as it shall determine or upon call of the chairperson.” This series consists of official meeting minutes and all supporting documents. (RDA pg. 3-2 ) (**Bibliographic Title: Meeting Minutes**)

### **Operating the Alabama Supercomputer Center:**

- **Alabama Supercomputer Center Property Files and Building Plans/Specifications.**

These records document all phases in the design and construction of the center. Included are site plans, vicinity maps, architectural drawings, final plans, blue prints, warranty deeds, and abstracts of titles. They provide the history of the lands and construction of the center. (RDA page 3-2) (**Bibliographic Title: Alabama Supercomputer Center Property and Building Files**)

- **Alabama Supercomputer Center Contract Files.** The Alabama Supercomputer Authority manages the supercomputer system and its use through a third-party professional services contract with the Computer Sciences Corporation (CSC) (previously known as the Nichols Research Corporation). Under the contract, CSC furnishes the supercomputer center with all necessary technical equipments and provides operation and maintenance of the supercomputer. This series consists of original executed contract and subsequent amendments. It should be preserved as a part of the permanent documentation for the authority. (RDA page 3-2) (**Bibliographic Title: Alabama Supercomputer Center Contract Files**)

#### **Providing Services:**

- **Informational and Promotional Publications.** In an effort to promote and inform its customers and the public about various services offered, the authority prepares and distributes from time to time various publications. This series consists of quarterly newsletters (“Interface”), brochures, and other related materials issued in print that are distributed for educational purposes. (RDA pg. 3-2 ) (**Bibliographic Title: State Publications**)

#### **Accessibility of Records**

Code of Alabama, Section 41-10-399 (b): “Data collected, stored, processed or disseminated through utilization of the supercomputer system under the provisions of this article are not subject to the requirements of the public record laws of the State of Alabama, and are therefore not subject to public disclosure by the authority.”

## **Permanent Records List**

### **The Alabama Supercomputer Authority**

#### **Promulgating Rules and Regulations:**

1. Meeting Minutes

#### **Operating the Alabama Supercomputer Center:**

1. Alabama Supercomputer Center Property Files and Building Plans/Specifications
2. Alabama Supercomputer Center Contract Files

#### **Providing Services:**

1. Informational and Promotional Publications

# **Alabama Supercomputer 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 Alabama Supercomputer Authority. The RDA lists records created and maintained by the Alabama Supercomputer 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 committee 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 Alabama Supercomputer 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 Alabama Supercomputer 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.

Recordings of Meetings

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

### **■ Operating the Alabama Supercomputer Center**

ALABAMA SUPERCOMPUTER CENTER PROPERTY FILES AND BUILDING PLANS/SPECIFICATIONS

Disposition: PERMANENT RECORD.

ALABAMA SUPERCOMPUTER CENTER CONTRACT FILES

Disposition: PERMANENT RECORD.

Weekly Activity Reports

Disposition: Temporary Record. Retain for useful life.

### **■ Providing Services**

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Agreements of Services

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

### **■ Administering Internal Operations**

**Managing the Agency:**

Board of Directors 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.

Newspaper Clippings

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, and ledgers - and 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:**

Job Recruitment Materials

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

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.

Division/Section Personnel Files

Disposition: Temporary Record. Retain until 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.

Employee Administrative Hearing Files

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Records documenting agency provision of training and professional development

Disposition: Temporary Record. Retain 3 years.

**Managing Properties, Facilities, and Resources:**

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.

Vehicle and Equipment Maintenance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

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.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

## **Approval of Records Disposition Authority**

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

- The Alabama Supercomputer 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 committee, 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 committee's approved RDA.
- Permanent records in the Alabama Supercomputer 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 authority 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 authority 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 Alabama Supercomputer 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 committee and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the authority in implementing its records management program.

This records disposition authority is hereby adopted.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
 James H. Rowell, Interim Chief Executive Officer  
 Alabama Supercomputer Authority

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