

Alabama College System



Functional Analysis & Records Disposition Authority

Revision
Presented to the
State Records Commission
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Functional and Organizational Analysis of the Alabama College System

Sources of Information

- Representatives of the Alabama College System, Department of Postsecondary Education, and the Alabama Commission on Higher Education
- Code of Alabama 1975, § 16-3-1 through 16-3-40; § 16-5-1 through 16-5-33; § 16-60-1 through 16-60-312
- Alabama Administrative Code, Chapter 300-1-1 through 300-5-8
- Alabama Government Manual (1998)
- Department of Postsecondary Education Annual Reports (1985-2001)
- Alabama College System Audit Reports (1999-2001)
- Alabama College System General Record Schedules (August 1993)
- Southern Association of Colleges and Schools Policies, Procedures, and Guidelines (2001)
- Rogers, William Warren, et al. Alabama: The History of a Deep South State. Tuscaloosa: University of Alabama Press, 1994
- U.S. Department of Education. The Blue Book: Accounting, Recordkeeping, and Reporting by Postsecondary Educational Institutions for Federally Funded Student Financial Aid Programs. Washington DC, U.S. Department of Education, June 2001
- American Association of Collegiate Registrars and Officers. Retention of Records: Guide for Retention and Disposal of Student Records. Washington DC: American Association of Collegiate Registrars and Officers, 2000
- Samuels, Helen. Varsity Letters: Documenting Modern Colleges and Universities. Metuchen: Scarecrow Press, Inc., 1992

Historical Context

In 1919, the legislature created the State Board of Education and the Department of Education to be the policy-making board and managing agency for public education in Alabama. The first state-operated trade school, the Alabama School of Trades, opened in Gadsden on September 14, 1925. In 1947, the legislature passed the Regional Vocational and Trade Schools Act (Code of Alabama 1975, § 16-60-190) authorizing the Board of Education to establish and maintain regional trade schools.

Governor George Wallace in the 1960s envisioned a plan to make education available and affordable to the citizens of Alabama. Part of Wallace's platform in 1962 was to create a "system of junior, community, and trade colleges based on the notion that educational opportunities should be available within easy commuting distance of every Alabama student." (Rogers, 572). The next year, the legislature passed the Alabama Trade School and Junior College Authority Act (Code of Alabama 1975, § 16-60-80), which allowed for the creation of new trade schools

and junior colleges. Also in 1963, Wallace approved a proposal to levy a two-cent tax on beer to sponsor five junior and five technical colleges. (Rogers, 611). During this same period, the State Board of Education assumed control of both the junior colleges and the trade schools. The board vested the management of those schools with the superintendent of the State Department of Education. Each institution operated independently seeking its own funding. In 1969, the legislature created a separate agency, the Alabama Commission on Higher Education, to coordinate activities at the postsecondary level. Finally, in 1982, the legislature created the Department of Postsecondary Education (DPS), a parallel organization to the Department of Education, responsible for the operation of two-year colleges. The chancellor, appointed by the Board of Education, acts as chief executive officer of the DPS, and reports to the board. (Code of Alabama 1975, § 16-60-111 through 16-60-114). In the late 1980s, the Department of Postsecondary Education worked to reform the current system by seeking accreditation from professional associations such as the Southern Association of Colleges and Schools, merging or consolidating schools, and equalizing funding to create a more efficient system.

Agency Organization

The Alabama College System currently consists of nineteen community colleges, seven technical colleges, two junior colleges, the Alabama Industrial Training Institute (AIDT), and three skills centers. Among the institutions within the Alabama College System, community colleges provide both academic and vocation-technical training; junior colleges only provide academic instruction; whereas the technical colleges only provide vocation-technical training. Skills centers and AIDT also provide vocational education, but do not award a degree, instead offering only a certificate of training. This Records Disposition Authority encompasses the records of all colleges within the Alabama College System, but not the skills centers and the Alabama Industrial Training Institute. They will be covered by separate RDAs.

The State Board of Education is the policy-making board for public education. Two parallel agencies operate under its regulations. The Department of Education supervises elementary through high school education, while the Department of Postsecondary Education oversees public community, junior, technical colleges, and a senior institution.

The State Board of Education appoints a chancellor (chief executive officer) who recommends policies for the Alabama College System. This individual, functioning as the head of the Department of Postsecondary Education (DPE) which oversees institutions within the Alabama College System, is also responsible for ensuring the implementation of those policies. To perform its mandated function, DPE provides advice and assistance to member institutions of the Alabama College System in the areas of legal counsel, human resources, and instructional and student services. The department also submits a budget for the Alabama College System to the Board of Education for approval and serves as a source for collecting and gathering statistics on institutions within the Alabama College System.

DPE coordinates the search for presidents to be the leading administrative officials of each of

these institutions, but each appointment is subject to approval by the State Board of Education. Upon appointment, these presidents report directly to the chancellor.

The Alabama Commission on Higher Education, a separate agency, also regulates certain aspects of the Alabama College System. This commission, which serves as a coordinating board for all of postsecondary education (universities and two-year colleges), has three main regulatory functions in relation to the Alabama College System: approving academic programs, regulating off-campus sites, and approving new instructional sites. It also serves as the chief information source in sending Integrated Postsecondary Education Data System statistics gathered by the Department of Postsecondary Education to the U. S. Department of Education, National Center for Education Statistics.

An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama College System is to “provide accessible quality educational opportunities, promote economic growth, and enhance the quality of life for the people of Alabama. It is one of the agencies responsible for performing the Client Services - Education function of Alabama government. In performance of its mandated function, the Alabama College System may engage in the following subfunctions.

- **Recruiting, Admitting, and Enrolling.** This subfunction encompasses all activities related to the recruitment, admission, and enrollment of students. Institutions within the Alabama College System are obligated to recruit potential students, who must apply and meet certain criteria before being admitted to that institution. Once admitted, students may enroll in classes.
- **Conveying Knowledge.** One of the teaching faculty’s main responsibilities is to convey knowledge to students through the teaching of courses offered by the college. This subfunction includes the development of syllabi for a course of study, the conveyance of knowledge, and the subsequent evaluation of that course by students. Libraries and laboratories assist students in the learning process by making available material relevant to the student’s course of study.
- **Advising and Assisting Students.** Member institutions of the Alabama College System provide students with services to help them obtain an education. Through academic or personal counseling, advisors assist students by assessing strengths, weaknesses, and interests. Knowledge of the student’s profile enables the suggestion of a curriculum which will be of benefit to the student in obtaining a degree from that institution. Other assistance in the form of on-campus housing helps alleviate the burden of finding temporary housing while attending school. Those with special needs may request additional assistance.

- **Promoting School/Student Safety and Discipline.** As part of its mission, the Alabama College System seeks to promote the safety and security of its campuses and students. Campus police monitor events on campus and investigate and report on any incidents or accidents that may occur within the campus boundaries. Another primary responsibility is the assignment and regulation of parking on campus to ensure the adequate delegation of limited space.

- **Sponsoring Student Activities.** To promote student social life and to provide opportunities beyond the classroom, colleges support student activities such as athletic events or other clubs/organizations. Students may pursue related interests and interact socially with other students. The diversity of clubs, organizations, events, publications, contests/competitions, elections, sports, and cultural activities provide a representation of the eclectic interests of students within the Alabama College System.

- **Evaluating Performance and Conferring Credentials.** This subfunction encompasses all activities related to the evaluation and credentialing of students. The assessment of knowledge gained is often ascertained through the provisions of a testing process. A student's performance is evaluated to determine if applicable standards are being met or exceeded. A final evaluation process occurs before conferring a degree on students who completed all necessary requirements. The institution may continue to serve students by providing transcripts or by offering continuing education courses.

- **Administering Grants.** Institutions within the Alabama College System obtain grant funding from state and federal government agencies or private entities. Federal agencies may provide direct grants to an institution or may utilize a state agency to provide such funding. In the latter situation, the state agency usually supplies a certain percentage of the total grant, but federal regulations still apply because the grant is ultimately linked to the federal agency. A few grants may be solely funded by a state agency.

This subfunction has been subdivided into two main categories. Financial Aid and Assistance reflects college's assistance to students in applying for financial aid. Resource Development represents the college's efforts in applying for grants for strengthening institutions or for developmental aid which targets specific needs.

- **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 include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; 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; assisting in the audit process; investing; and issuing bonds.

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 Alabama College System

Agency Record Keeping System

The Alabama College System currently operates a hybrid record keeping system composed of paper and electronic records. Member institutions of the Alabama College System are increasingly using computer systems and other new record-keeping technologies, such as digital imaging systems, for their business transactions and for internal management functions.

The Alabama College System has a website at www.acs.cc.al.us, which is maintained by staff members of the Department of Postsecondary Education. Basic historical information and facts about the Alabama College System, including its current goals and vision, provide context. Background on the chancellor and trustees' positions and brief biographical sketches of the board members provide a description of the leadership of the system. The website also includes a listing of board policies divided by category. Users may obtain lists of all institutions that are part of the Alabama College System and statistical information on individual institutions and the college system as a whole. For staff members of the Alabama College System, internal information for specific groups, such as business officers, may be obtained. Interested individuals may obtain job postings, contact information, and even directions. The website also provides web links to other educational related entities, prominent search engines, and nationally known news organizations. Each college also maintains its own website with varying degrees of information.

Records Appraisal of the Alabama College System

The following is a discussion of the two major categories of records created and/or maintained by the Alabama College System: 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 their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama College System are discussed below:

- **Student Admission Records - International Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll. (1.02)** International students go through great difficulty to obtain documents, such as visas and birth certificates, for admission into colleges. For international applicants who enroll, the retention, which is the same for domestic applicants, "retain 5 years after student's last day of attendance," meets all applicable regulations. To alleviate the burden on students, colleges should, if possible, return such documentation to the student or retain the documentation of unsuccessful

applicants for a longer period of time than for domestic applicants to allow them to request the return of such materials. The disposition “if possible, return to student; if not, retain 5 years after application term,” is a sufficient period to accommodate the special needs of international students.

- **Grant Administrative Files. (7.16) (7.17)** These records document routine activities and compliance with program requirements for the application for and expenditure of grants which help strengthen institutions or which target specific identified needs. Types of records include, but are not limited to, applications, correspondence, financial records, and other supporting documentation. Because of a revision in the Code of Federal Regulations (CFR 74.53 and CFR 80.42), administrative files for resource development grants from the United States Department of Education should be maintained “3 years after submission of final expenditure report, or if renewed quarterly or annually, retain 3 years from the date of submission of the quarterly or annual financial report.” Resource development grant administrative files from other federal agencies need to be maintained “5 years after submission of final expenditure report, or if renewed quarterly or annually, retain 5 years from the date of submission of the quarterly or annual financial report,” to ensure the fulfillment of applicable regulations.
- **Integrated Postsecondary Education System Reports (IPEDS). (8.18)** The Department of Postsecondary Education, Division of Statistical Information, collects data on enrollment, financial aid funds, personnel, and college work study programs. Institutions within the Alabama College System submit this information to the Department of Postsecondary Education, where it is maintained permanently. Each institution only needs to maintain the data “5 years after the end of the fiscal year in which the records were created,” for reference and administrative needs.
- **Enrollment Summaries. (8.19)** This series documents the growth/decline in college enrollment, credit hour production, and the size of the current student body. The Department of Postsecondary Education requires the submission of this data from each of the members of the Alabama College System. The Department of Postsecondary Education maintains these records permanently through the Personnel and Enrollment Reporting System (PERS). Individual colleges only need to maintain the records for “5 years after the fiscal year in which the records were created,” to fulfill reference and administrative needs.
- **Employee Personnel Information. (10.05)** These records contain information that may be used to verify employment, salary, and benefits for retirement purposes. Because the employees of the Alabama College System are non-merit employees, who may participate in the benefits of the merit system (retirement and leave), the personnel records provide the only source for the records needed by the Retirement Systems of Alabama that establish an employee’s right to an amount of retirement benefits. As source documentation for retirement benefits, this record series is recommended to be maintained “25 years after separation of employee from the Alabama College System.”

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

Recruiting, Admitting, and Enrolling

- **Bulletins (College Catalogs).** These booklets, which are updated regularly by the college, provide background information on the college, application procedures, tuition rates, and information on major areas of study and course content. These publications sometimes include guidelines and regulations for students. Because bulletins provide an overview of the college and its changes over time, college catalogs should be retained permanently. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Conveying Knowledge

- **Student (College) Handbooks.** Information included in the student handbook specifically targets the student and may be part of the college catalog or separated into a publication of its own. This series should be retained permanently because of the summary documentation it provides, on a periodic or annual basis, about policies and procedures, regulations, course offerings, graduation requirements, and sometimes student activities. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Master Course Syllabi.** This series documents courses taught at each of the colleges within the Alabama College System. Syllabi include a summary, proposed objectives, content, and outline of the course. This series provides an in-depth look at the change in course content over time and a sampling should be retained permanently for reference in creating new syllabi and for the perspective it could provide on the evolution of the curriculum of the Alabama College System. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Advising and Assisting

- Permanent records providing summary documentation of this subfunction are found in student permanent records under Evaluating Performance and Conferring Credentials.

Promoting School/Student Safety and Discipline

- The Alabama College System currently creates no permanent records under this subfunction.

Sponsoring Student Activities

- **Student Activity History Files.** Students within the Alabama College System participate in a variety of college activities which reflect the diversity of interests pursued on college campuses. This record series may be in the form of newspaper clippings, student newspapers, yearbooks, photographs, videotapes and audiotapes, meeting minutes, policies and procedures, programs, and publicity materials. Basic documentation of these activities should be maintained permanently as evidence of these student clubs and organizations, events, publications, contests and competitions, elections, sports, and cultural activities, which provide an understanding of the interaction of students in non-academic activities on campus. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Evaluating Performance and Conferring Credentials

- **Student Permanent Records (Student Academic Records, Official Transcripts).** This series consists of documents which make up the official record of individual students and includes necessary admissions, enrollment, and academic data. This series maintains continuing legal and administrative value for the college and for the student and needs to be kept permanently for possible verification of credentials. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Original Grade Sheets.** These records document the grade received by a student in a particular course of study. The American Association of Collegiate Registrars and Officers recommends this record series be maintained permanently as source documentation to verify a student's performance. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Change of Grade Forms.** This record series documents a professor's authorization to change a grade. The American Association of Collegiate Registrars and Officers recommends this series be maintained permanently as source documentation for this change. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Administering Grants

- **Endowment Enabling Documentation.** **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Scholarship Criteria Records.** **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Grant Narrative Reports (Resource Development Grant Files from the United**

States Department of Education). These reports may be submitted at the close of the grant, or periodically, if renewed on an annual basis. They provide key documentation on the attainment of project goals and objectives and completion of activities as detailed in the funded grant application. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

- **Grant Narrative Reports (Resource Development Grant Files from Other Federal, State, Local, or Private Entities).** These reports may be submitted at the close of the grant, or periodically, if renewed on an annual basis. They provide key documentation on the attainment of project goals and objectives and completion of activities as detailed in the funded grant application. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Administering Internal Operations - Managing the Agency

- **Policies and Procedures (Procedural Manuals or Directories).** Although the Department of Postsecondary Education mandates many of the policies carried out by member institutions of the Alabama College System, the administrators of colleges issue directives through such means as a code of ethics, employee handbooks, or other procedural records. These manuals are documentation of internal management procedures and provide evidence of the college's compliance with legal requirements. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Administrative Correspondence.** Policy making is sometimes documented through the correspondence of the administrative heads of the Alabama College System. This series also includes correspondence between administrative heads of the Alabama College System and the State Department of Postsecondary Education or the Alabama Commission on Higher Education. This correspondence needs to be maintained permanently to document policies established by the Alabama College System. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Accreditation Reports (Self-Study or Assessment Reports).** The Southern Association of Colleges and Schools conducts an accreditation review with member institutions of the Alabama College System every ten years. These records document the effectiveness of the institution and determines whether a college will continue to receive accreditation. These reports provide a comprehensive overview of the college and should be maintained permanently for their historical value. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Executive Council/Cabinet Meeting Minutes.** This series documents the meetings of leading administrative officials, especially the executive council or cabinet. Minutes provide core documentation of actions taken by upper management within institutions of the Alabama College System. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

- **Institutional Management Plans (IMP).** The Department of Postsecondary Education requires the submission of Institutional Management Plans annually by each member of the Alabama College System. The Institutional Management Plan documents the yearly objectives and planning goals to be accomplished within each program area of the college. The Department of Postsecondary Education uses the executive summary from each college to create an overall plan for the Alabama College System. These plans need to be maintained permanently as evidence of the goals established at the institutional level and for future comparison of the realities of what was actually accomplished. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Facilities Management Plans.** The Alabama Commission on Higher Education requires the submission of a Facilities Management Plan annually by each institution of the Alabama College System. This report documents the planning goals for the physical renovation or expansion of facilities. The Alabama Commission on Higher Education summarizes these reports for use in planning and prioritizing budget requests. These plans need to be maintained permanently at the institutional level as evidence of the physical expansion planned at each college. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Planning Assessment Reports.** Some of the colleges in the Alabama College System create, on an annual or periodic basis, a report which documents the achievement of projected goals at the institutional level. These reports serve as a comparison between the management goals versus the actual accomplishments. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Fund-raising Foundation Enabling Documentation.** A foundation is often established at a two-year college for the primary purpose of fund-raising for the institution. Documentation which allows the foundation to function must be maintained permanently to document this activity. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Final Survey Reports.** These records document various topics of college interest through the use of institutional surveys and analysis reports. The final survey reports should be maintained permanently to document trends on college campuses. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Fact Books.** This series provides key documentation at the institutional level of statistical data on student body makeup, faculty, and finances, often on an annual basis. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Publicity and Informational Materials.** Member institutions of the Alabama College System produce a substantial amount of publicity or informational materials which may be directed to its students, staff, or others outside the system. These materials provide a

concentrated source of information on the college. At least one copy of such items as programs, news releases, newsletters, brochures, periodicals, campus or student newspapers, public service announcements, or speeches of leading college officials need to be maintained permanently. For other formats such as photographs and audiovisual materials, which are classified as publicity or informational materials and are more numerous in quantity, a sampling of such material needs to be maintained permanently to provide the college with a visual representation of its past. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

- **Title VI Consent Decree Records.** This series, also known as reports of the monitoring committee, documents all activities required by consent decree. Because of the importance of this ruling, all such records should be maintained permanently. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Website.** Most institutions within the Alabama College System have a web site, in addition to the Alabama College System web site which is maintained by the Department of Postsecondary Education. To capture the informational and promotional material on those sites, institutions should maintain “a ‘snap shot’ of complete web site information annually or as often as significant changes are made to the site.” **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Administering Internal Operations - Managing Finances

- **Approved Annual Budgets.** These annual budgets document the anticipated revenues and proposed expenditures of the college. The budgets are combined into a single request at the state level, so the only existing budget for each college is at the institutional level. This series contains permanent research value for its potential to track growth and expenditures at each college. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **General Ledger/Trial Balance.** This series provides key documentation of financial management. It is a record of final entry for financial activity within the college. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**
- **Annual Financial Statements.** These records report fiscal year operations of a college in accordance with Government Accounting Standards Board rules and generally accepted accounting procedures. This series should be maintained permanently because it records the disbursement of funds by the college and provides an annual statement of the college’s financial status. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Administering Internal Operations - Managing Human Resources

- **Personnel Files of Alabama College System Presidents.** These personnel files document a college president's term of service in the Alabama College System. As the administrative leader of the college, these files need to be maintained permanently for their historical value. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Administering Internal Operations - Managing Properties, Facilities, and Resources

- **Buildings Plans and Specifications.** This series documents the construction of new facilities or renovation of existing ones. These plans and specifications need to be maintained permanently as source documentation for reference in future projects. This series also shows the growth and change of college campuses within the Alabama College System. **(Bibliographic Title: Not Applicable) (Maintained by Alabama College System)**

Permanent Records List Alabama College System

Recruiting, Admitting, and Enrolling

1. Bulletins (College Catalogs)

Conveying Knowledge

1. Student (College) Handbooks
2. Master Course Syllabi

Sponsoring Student Activities

1. Student Activity History Files

Evaluating Performance and Conferring Credentials

1. Student Permanent Records (Student Academic Records, Official Transcripts)
2. Original Grade Sheets
3. Change of Grade Forms

Administering Grants

1. Endowment Enabling Documentation
2. Scholarship Criteria Records
3. Grant Narrative Reports (Resource Development Grant Files from the United States Department of Education)
4. Grant Narrative Reports (Resource Development Grant Files from Other Federal, State, Local, or Private Entities)

Administering Internal Operations - Managing the Agency

1. Policies and Procedures (Procedural Manuals or Directories)
2. Administrative Correspondence
3. Accreditation Reports (Self-Study or Assessment Reports)
4. Executive Council/Cabinet Meeting Minutes
5. Institutional Management Plans (IMP)
6. Facilities Management Plans
7. Planning Assessment Reports
8. Fund-raising Foundation Enabling Documentation
9. Final Survey Reports
10. Fact Books

11. Publicity and Informational Materials
12. Title VI Consent Decree Records
13. Website

Administering Internal Operations - Managing Finances

1. Approved Annual Budgets
2. General Ledger/Trial Balance
3. Annual Financial Statements

Administering Internal Operations - Managing Human Resources

1. Personnel Files of Alabama College System Presidents

Administering Internal Operations - Managing Properties, Facilities, and Resources

1. Buildings Plans and Specifications

All college permanent records will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama College System General 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 Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama College System. The RDA lists records created and maintained by the Alabama College System 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 agency 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, § 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 College System. Copies of superseded schedules/RDAs 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.

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 stationary, 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 College System and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The Alabama College System may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Recruiting, Admitting, and Enrolling

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
1.01	BULLETINS (COLLEGE CATALOGS). Records documenting the history, organization, and responsibilities of the college, and information on major areas of study and courses, usually in the form of a catalog. They provide current and potential students with background information on the college.	PERMANENT RECORD.
1.02	Student Admission Records. Records documenting students' application for admission into the college degree programs. The files may include, but are not limited to, recruitment materials, applications, acceptance letters, placement records, test scores, and test profiles. This series does not include information to be placed in student permanent records.	
	Applicants Who Enroll.	Temporary Record. Retain 5 years after student's last day of attendance.
	Domestic Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll.	Temporary Record. Retain 2 years after application term.
	International Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll.	Temporary Record. If possible, return to student. If not,

retain 5 years after application term.

1.03 Registration Records. Records documenting students signing up for courses or dropping and adding classes. These records also document the intention of an individual to audit a class. Examples of such records include, but are not limited to, audit authorizations, changes of course (add/drop), and registration forms. This series does not include information which must be maintained as part of the student's permanent record.

Temporary Record.
Retain 1 year after date submitted.

1.04 Withdrawal Authorizations. Records documenting requests and subsequent authorizations for a student to withdraw from classes.

Temporary Record.
Retain 2 years after student's last day of attendance.

Conveying Knowledge

No. Records Title

Disposition

2.01 STUDENT (COLLEGE) HANDBOOKS. Records documenting policies and procedures, regulations, course offerings, graduation requirements, and sometimes student activities, on an annual or periodical basis. This information is directed towards the college's students. It may be part of the college catalog or may be separated into the form of a student handbook.

PERMANENT RECORD.

2.02 Records documenting the description of course content and an outline of the class structure.

MASTER COURSE SYLLABI.

PERMANENT RECORD. Retain a complete set of course syllabi for the years the college conducts a self-study and for the years the college is evaluated by the Southern Association of Colleges and Schools.

Lesson Plans/Syllabi.	Temporary Record. Retain for useful life.
2.03 Academic Program Operational Files. Records documenting the administration of an academic program. This series includes, but is not limited to, class rolls, jury sheets, instructor’s student files, and faculty class loads.	Temporary Record. Retain 1 year after audit.
2.04 Course/Teacher Evaluations. Records documenting evaluation of courses or professors by students. The evaluations are often summarized in a report, which is used by the college or the teacher to improve the course and its presentation.	
Completed Evaluation Forms. Records documenting the evaluation of a course or professor by the students.	Temporary Record. Retain until completion of summary report or 2 years after the end of the fiscal year in which the records were created if no report is created.
Summary Reports. Records documenting the summarization of comments made by students about a course or professor.	Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.

LIBRARY/MEDIA CENTER RECORDS

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
2.05	Accession/Deaccession Records. Records documenting items added to or removed from the library’s collection. They include item descriptions and acquisition information, but not financial documentation such as purchase orders.	Temporary Record. Retain until superseded or no longer useful.
2.06	Shelf Lists and Finding Aids. Records documenting inventory and location index of all library holdings. They assist library	Temporary Record. Retain until

staff in physically locating books and other items in the library's collections.	superseded or no longer useful.
2.07 Cataloging Data and Card Files. Records documenting the cataloging of library holdings in OCLC or other standard bibliographical formats. Cataloging records may include data entry worksheets, separate databases of independent or regional library holdings; and card catalogs retained for convenience or to document items that were never cataloged electronically.	
Data entry worksheets.	Temporary Record. Retain until verification of data in cataloging database.
Databases of collections.	Temporary Record. Retain until superseded or no longer useful.
Card files (card catalogs)	Temporary Record. Retain for useful life.
2.08 Interlibrary Loan Records. Records documenting the library's loaning or borrowing of books and other items that are requested by its patrons or those of other libraries.	Temporary Record. Retain 1 year after audit, or until return of item, whichever is longer.
2.09 Registration Files. Records documenting patrons' applications for library cards. These records preserve identifying information on individual borrowers.	Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.
2.10 Circulation Files. Records documenting the circulation of library materials to individual borrowers. This series includes all information that identifies patrons utilizing particular books or other library materials.	Temporary Record. Retain for useful life.

- 2.11 Circulation and Attendance Reports and Statistics.** Records documenting usage of the library and the overall circulation of library materials. This series includes monthly circulation and attendance reports. Temporary Record. Retain 1 year.

Advising and Assisting

ADVISING

- | <u>No.</u> | <u>Records Title</u> | <u>Disposition</u> |
|-------------|--|--|
| 3.01 | Academic Advising and Counseling Records. Records documenting guidance provided to students by either academic advisors or trained counselors. These records may include information which would help the academic counselor assess the student's position or may include other documents such as advice given to students. One such example is STARS (Statewide Articulation Reporting System) guides for use in advising students on appropriate courses to be taken to transfer to four-year institutions and/or to fulfill degree requirements. | Temporary Record. Retain 5 years after student's last day of attendance. |
| 3.02 | Student Evaluation Records. Records documenting test scores which are not used for admission but as a counseling tool. These records may include, but are not limited to, ASSET, COMPASS, ACT, or SAT scores. | Temporary Record. Retain 5 years after student's last day of attendance. |

ASSISTING

- | <u>No.</u> | <u>Records Title</u> | <u>Disposition</u> |
|-------------|--|--|
| 3.03 | Disabled Student Files (Americans with Disabilities Act Files). Records documenting students' requests for accommodations, as well as the college's response to their requests. | Temporary Record. Retain 5 years after student's last day of attendance. |
| 3.04 | Student Housing Records. Records documenting the application for, assigning of, and use of the student housing or residence hall facilities by students. Records may include, but are not limited to, applications, credit reports, references, sign-up sheets, photographs, dorm room and mailbox assignments, inspection reports, reservation fees, and meal contracts. | Temporary Record. Retain 1 year after audit. |

Promoting School/Student Safety and Discipline

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
4.01	Student Disciplinary Records. Records documenting investigations and disciplinary actions brought against students for violations of college rules and regulations. This series includes those incidents not involving campus police.	Temporary Record. Retain 5 years after final disposition of the case.
4.02	Incident/Offense Case Files. Records documenting reported incidents/offenses occurring within campus police jurisdiction that violate either college rules and regulations or local, state, or federal law. Includes records that document actions taken by authorities in that particular case. This series may include, but is not limited to, records documenting an arrest and booking, surveillance tapes, warrants, and exhibit evidence.	
	Felony Case Files.	Temporary Record. Retain 25 years after final disposition of the case.
	Misdemeanor Case Files.	Temporary Record. Retain 10 years after final disposition of the case.
	Juvenile Case Files.	Temporary Record. Retain until subject's age of majority.
	Case Files That Do Not Result in Criminal Charges.	Temporary Record. Retain 5 years.
4.03	Accident Records. Records documenting any accidents involving vehicles that occur within the campus police's jurisdiction. These records include private property accidents.	Temporary Record. Retain 5 years.
4.04	Parking Records. Records documenting the use and/or violation of college parking facilities by students, employees, or visitors. These records may include, but are not limited to, parking permits, cards, and applications for these items. This	Temporary Record. Retain 1 year after audit.

series also includes tickets.

Sponsoring Student Activities

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
5.01	STUDENT ACTIVITY HISTORY FILES. Records documenting student clubs/organizations/honor societies, events, publications, contests and competitions, elections, sports, and cultural activities; may be in the form of newspaper clippings, student newspapers, yearbooks, photographs, videotapes and audiotapes, meeting minutes, policies and procedures, programs, and publicity materials.	PERMANENT RECORD.
5.02	Student Activity Administrative Files. Records documenting routine administrative functions related to school activities which include, but are not limited to, financial records for club/organization fund-raising events, ballots for student government elections or cheerleader tryouts, and applications for club/organization or other student positions.	Temporary Record. Retain 1 year after audit.
5.03	Athletic Compliance Records. Records documenting the school's compliance with state regulations and requirements of applicable athletic association; may include letters of intent, student eligibility records, birth certificates, physical examination forms, waivers, application forms, entry forms, athletic book loan slips, schedules, participation requirements, and related records.	Temporary Record. Retain 4 years after athlete ceases to participate.
5.04	Athlete Injury Insurance Claim Files. Records documenting injuries to and insurance claims made by college athletes and coaching staff.	Temporary Record. Retain 4 years after settlement of claim.

Evaluating Performance and Conferring Credentials

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
6.01	STUDENT PERMANENT RECORDS (STUDENT ACADEMIC RECORDS, OFFICIAL TRANSCRIPTS). Records documenting a student's enrollment and matriculation in a college. The files are considered to be the official records of an individual student. These records include, but are not limited to, admissions, enrollment, and academic data.	PERMANENT RECORD.

<p>6.02 Credit Evaluation Records. Records documenting the request to approve the transfer of credits from another institution or the review of non-traditional experience for credit.</p>	<p>Temporary Record. Retain 5 years after student's last day of attendance.</p>
<p>6.03 Enrollment Verifications. Records documenting a request for verification of a student's enrollment in a particular institution and the supporting documentation to verify that request.</p>	<p>Temporary Record. Retain until verification of enrollment.</p>
<p>6.04 Academic Progress Records. Records documenting each student's academic progress in college. This series includes, but is not limited to, advanced credit posting authorizations, curriculum change authorizations, course forgiveness, academic bankruptcy, student data change requests, degree audit records, academic action authorizations, and grade distribution analysis reports. This series does not contain academic data found in the Student's Permanent Records.</p>	<p>Temporary Record. Retain 5 years after student's last day of attendance.</p>
<p>6.05 Examination Materials. Records documenting the level of knowledge acquired by a student in a class. These records include, but are not limited to, graded examinations, academic papers, and other student work.</p>	<p>Temporary Record. Retain until closure of appeal period.</p>
<p>6.06 Records documenting the final grades of students, not including transcripts.</p> <p>ORIGINAL GRADE SHEETS. Records documenting a student's academic progress. This series is usually maintained by the registrar.</p> <p>Grade Books. Records documenting a student's academic progress and includes name of teacher, class, names of students, and their grades. This series is created by professors.</p> <p>Grade Reports. Records documenting the dissemination of grades to students. This series may include, but is not limited to, copies of grades mailed to students each semester.</p>	<p>PERMANENT RECORD.</p> <p>Temporary Record. Retain for useful life.</p> <p>Temporary Record. Retain for useful life.</p>
<p>6.07 CHANGE OF GRADE FORMS. Records documenting the professor's authorization to change a student's recorded grade.</p>	<p>PERMANENT RECORD.</p>

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| <p>6.08 Graduation Evaluation File. Records documenting the student’s application for graduation, and the evaluation of that student to determine if applicable qualifications have been met.</p> | <p>Temporary Record.
Retain 5 years after student’s last day of attendance.</p> |
| <p>6.09 Requests for Transcripts. Records documenting requests from former students for copies of their records to be sent to other educational institutions or employers and the response to the request.</p> | <p>Temporary Record.
Retain 1 year after date of submission.</p> |
| <p>6.10 Continuing Education Records. Records documenting each student’s involvement in continuing education courses. Includes all registration and course completion documents. This series includes records involving supplemental training for business and industry.</p> | <p>Temporary Record.
Retain 5 years after student’s last day of attendance.</p> |

Administering Grants

Note: If the record is involved in any loan, claim, or expenditure questioned by program audit, compliance review, investigation or other review, the record must also be maintained until the issue is resolved.

A. FINANCIAL AID ASSISTANCE. Activities related to college’s assistance to students in applying for and receiving federal, state, or private grants for financial aid.

FEDERAL FINANCIAL AID FUNDING

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
<p>7.01 Title IV Program Files - Campus-Based and Pell Grant Records. Records documenting such programs under Title IV including, but not limited to, the Federal Pell Grant Program, Federal Supplemental Educational Opportunity Grant, Federal Perkins Loan Program, and the Federal Work-Study Program.</p>	<p>Campus-Based and Pell Grant Records Administrative Files and Supporting Documentation. Records documenting the administration of programs under Title IV including, but not limited to, the Federal Pell Grant Program, Federal Supplemental Educational Opportunity Grant, Federal Perkins Loan Program, and the Federal Work-Study Program.</p>	<p>Temporary Record. Retain 1 year after audit after the end of the award year in which the aid was awarded.</p>
	<p>Fiscal Operations Reports and Application to Participate</p>	<p>Temporary Record.</p>

(FISAP) and supporting records. Records documenting the institution's eligibility to participate in Federal Title IV programs. This series also consists of an operations report on prior year expenditures and student population served as well as an application to request funding for the upcoming year.

Retain 1 year after audit after the end of the award years in which the report was submitted.

Perkins repayment records. Records documenting the payment of the borrower on the loan.

Temporary Record. Retain 1 year after audit after the date on which a loan is assigned to the Department of Education, cancelled, or repaid.

Perkins original promissory notes and repayment schedules. Records documenting the obligation of the borrower to repay the loan. This series includes promissory notes and repayment schedules.

Temporary Record. Retain until the loan is satisfied or the documents are passed to another entity to enforce payment.

7.02 Title IV Program Files - Federal Family Education Loan Program (FFEL) and Direct Loans. Records documenting such programs under Title IV including but not limited to the Federal Family Education Loan Program and the Federal Direct Loan Program.

Records related to the borrower's eligibility and participation in FFEL and the Federal Direct Loan Program. Records documenting the application and approval or denial of loan funds through FFEL or the Federal Direct Loan Program.

Temporary Record. Retain 1 year after audit after the end of the award year in which the student last attended.

FFEL and the Federal Direct Loan Program Administrative Files and Supporting Documentation. Records documenting the administration of FFEL and the Federal Direct Loan Program. This series includes but is not limited to such records as reports.

Temporary Record. Retain 1 year after audit after the end of the award year in which the report was submitted.

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| <p>7.03 U.S. G.I. and Dependent’s Educational Benefits Files. Records documenting the educational training of students entitled to V.A. benefits.</p> | <p>Temporary Record.
Retain 1 year after termination of enrollment.</p> |
| <p>7.04 Veteran’s Vocational Rehabilitation Files. Records documenting the eligibility of veterans to participate in the Veteran’s Vocational Rehabilitation Program.</p> | <p>Temporary Record.
Retain 1 year after audit after termination of enrollment.</p> |

STATE FINANCIAL AID FUNDING

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
7.05	State Waiver Scholarship Files. Records documenting tuition waivers awarded to college students for such accomplishments as leadership, academics, and the performing arts.	Temporary Record. Retain 5 years after the end of the award year.
7.06	Alabama G.I. and Dependent’s Educational Benefits Records. Records documenting the eligibility of and awarding of funds to students who are dependents of a service-related disabled veteran, deceased veteran, or the disabled veteran himself/herself.	Temporary Record. Retain 8 years from date of certification of eligibility.
7.07	Alabama National Guard Education Assistance Program (ANGEAP) Records. Records documenting the eligibility and educational costs of ANGEAP applicants.	Temporary Record. Retain 5 years after date of certification on application.
7.08	Police Officers and Firefighters Survivors Program Files. Records documenting the eligibility and education costs of students who receive assistance through the Police Officers and Firefighters Survivors Educational Assistance Program.	Temporary Record. Retain 5 years after date of certification on an institutional invoice.
7.09	Alabama Scholarships for Dependents of Blind Parents Files. Records documenting the eligibility of recipients participating in or applying for assistance through the program as well as program costs and billing information.	Temporary Record. Retain 5 years after student’s last day of attendance.
7.10	Alabama Student Assistance Program Files. Records	Temporary Record.

documenting an institution's application for these funds, the awarding of eligible students, the receipts of funds, and in some cases, the return of funds.

Retain 5 years after student's last day of attendance.

PRIVATE FINANCIAL AID FUNDING

No. Records Title

Disposition

7.11 Scholarship Award Files. Records documenting the awarding of scholarships to prospective students. This series includes but is not limited to correspondence, applications, recommendations, grade listings, statements of need, accounting records, and approvals or disapprovals.

Temporary Record.
Retain 3 years after the end of the award year.

FINANCIAL AID FUNDING – OTHER SOURCES

No. Records Title

Disposition

7.12 Endowment Scholarship Files. Records documenting the establishment, guidelines, and administration of funds set up by individuals or corporations, in which the interest on a principal amount is awarded to students.

ENDOWMENT ENABLING DOCUMENTATION. Records documenting the establishment of funds from which, on the interest, scholarships may be awarded.

PERMANENT RECORD.

SCHOLARSHIP CRITERIA RECORDS. Records documenting the criteria, established by donors, under which the endowment scholarship will be awarded.

PERMANENT RECORD.

Subsidiary Documentation. Records documenting the administration of endowment scholarships to college students.

Temporary Record.
Retain 1 year after audit.

7.13 Other Financial Aid Funding Files. Records documenting the eligibility of and awarding of funds to students from sources which have not been mentioned under the subfunction "Administering Grants."

Temporary Record.
Retain 5 years after student's last day of attendance; or until the fulfillment of applicable regulations, whichever is longer.

<p>7.14 Unsuccessful Financial Aid Application files. Records documenting the unsuccessful application for scholarships.</p>	<p>Temporary Record. Retain 2 years after the end of the fiscal year in which the application was received.</p>
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B. RESOURCE DEVELOPMENT. Activities related to the application for and expenditure of grants by institutions within the Alabama College System for strengthening institutions or for developmental aid targeting specific identified needs.

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
7.15	Unfunded Grant Application Files. Records documenting the application for grants, for which no funds were received.	Temporary Record. Retain for useful life.
7.16	Resource Development Grant Files from the United States Department of Education.	
	GRANT NARRATIVE REPORTS. Records documenting the attainment of project goals and objectives and completion of activities as detailed in the funded grant application.	PERMANENT RECORD.
	Grant Administrative Files. Records documenting routine activities and compliance with program requirements. Records include, but are not limited to, applications, correspondence, financial records, and other supporting documentation.	Temporary Record. Retain 1 year after audit after submission of final expenditure report, or if renewed quarterly or annually, retain 1 year after audit from the date of submission of the quarterly or annual financial report.
7.17	Resource Development Grant Files from Other Federal, State, Local, or Private Entities.	
	GRANT NARRATIVE REPORTS. Records documenting the	PERMANENT

attainment of project goals and objectives and completion of activities as detailed in the funded grant application.

RECORD.

Grant Administrative Files. Records documenting routine activities and compliance with program requirements. Records include, but are not limited to, applications, correspondence, financial records, and other supporting documentation.

Temporary Record. Retain 5 years after submission of final expenditure report, or if renewed quarterly or annually, retain 5 years from the date of submission of the quarterly or annual financial report; or until the fulfillment of applicable regulations, whichever is longer.

Administering Internal Operations - Managing the Agency

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
8.01	POLICIES AND PROCEDURES (PROCEDURAL MANUALS OR DIRECTORIES). Records documenting the official policies and procedures of each member of the Alabama College System for the administration of its programs. Examples include such items as the code of ethics, any handbooks, and personnel manuals. This series does not include policies or directives issued by the Department of Postsecondary Education.	PERMANENT RECORD.
8.02	ADMINISTRATIVE CORRESPONDENCE. Records documenting policy making of the administrative heads of the Alabama College System. These records document the substantive actions of college presidents. These records also include any correspondence between administrative heads of the Alabama College System and the State Department of Postsecondary Education or the Alabama Commission on Higher Education. Reports of significant committees formed within the college are included in this record series.	PERMANENT RECORD.
8.03	ACCREDITATION REPORTS (SELF-STUDY OR	PERMANENT

	ASSESSMENT REPORTS). Records documenting accreditation reviews by accrediting agencies in the form of self-study, assessment, or other formal reports.	RECORD.
8.04	Records of Professional Associations and Activities. Records documenting all professional associations, such as the American Association of Community Colleges, connected with the Alabama College System.	Temporary Record. Retain for useful life.
8.05	Agenda and Minutes. Records documenting meetings in institutions of the Alabama College System.	
	EXECUTIVE COUNCIL/CABINET MEETING MINUTES. Records documenting meetings between leading administrative officials, specifically the executive council/cabinet.	PERMANENT RECORD.
	Meeting Minutes of Other College Committees or Organizations. Records documenting meetings of committees or various departments.	Temporary Record. Retain 1 year after audit.
8.06	Planning Files. Records documenting yearly objectives and planning goals to be accomplished within each program area of the college or within such areas as capital expansion or maintenance.	
	INSTITUTIONAL MANAGEMENT PLANS (IMP). Records documenting the yearly objectives and planning goals to be accomplished within each program area of the college, compiled into one document for each institution within the Alabama College System. The Department of Postsecondary Education requires the annual submission of this report.	PERMANENT RECORD.
	FACILITIES MANAGEMENT PLANS. Records documenting planning goals for the physical renovation or expansion of facilities. The Alabama Commission on Higher Education requires the submission of this plan from institutions within the Alabama College System.	PERMANENT RECORD.
	PLANNING ASSESSMENT REPORTS. Records documenting the achievement of projected goals for each institution, often on an annual basis.	PERMANENT RECORD.
8.07	FUND-RAISING FOUNDATION ENABLING	PERMANENT

<p>DOCUMENTATION. Records documenting the creation of a foundation for fund-raising activities for the college. This series may include, but is not limited to, articles of incorporation, by-laws, and annual financial reports.</p>	<p>RECORD.</p>
<p>8.08 Routine Correspondence. Records documenting the day-to-day operations of the office or any correspondence not associated with any specific project or other records series.</p>	<p>Temporary Record. Retain 1 year after audit.</p>
<p>8.09 Mailing Lists. Records documenting standard lists of names and addresses used for mailing.</p>	<p>Temporary Record. Retain for useful life or until superseded.</p>
<p>8.10 Telephone and Fax Machine Contact Logs. Records documenting telephone and fax machine contacts and related data.</p>	<p>Temporary Record. Retain for useful life.</p>
<p>8.11 Calendars. Records documenting the use of scheduling devices by agency personnel. One example is a desk calendar.</p>	<p>Temporary Record. Retain for useful life.</p>
<p>8.12 Routine Logs. Records documenting the signing in and signing out of individuals to a particular location or the checking in and out of equipment or other such items. This series includes daily log activity for security guards.</p>	<p>Temporary Record. Retain 1 year after final entry into the log.</p>
<p>8.13 Records documenting the use of college equipment. Records documenting the use by students, professors, staff, or visitors of any college equipment. This series may include, but is not limited to, forms signed by individuals agreeing to proper/acceptable use of such equipment, including computers.</p>	<p>Temporary Record. Retain 1 year after semester in which the equipment was used.</p>
<p>8.14 Administrative Reference Files. Records documenting materials not created by the college but received and used only as reference sources of information.</p>	<p>Temporary Record. Retain for useful life.</p>
<p>8.15 Survey Reports and Data. Records documenting various topics of college interests through the use of institutional surveys and analysis reports.</p>	
<p>FINAL SURVEY REPORTS. Records documenting the final summarization of the data collected through the survey.</p>	<p>PERMANENT RECORD.</p>

Survey Documentation. Records documenting the questions asked by surveys and the answers provided by individuals.	Temporary Record. Retain until completion of survey report.
8.16 Periodic Activity Reports. Records documenting statistical and narrative information regarding institutional activities and progress. This information is most often incorporated or duplicated in the Fact Books, Integrated Postsecondary Education System Reports, Enrollment Summaries (PERS), Institutional Management Plan, Facilities Management Plan, Planning Assessment Report, Annual Budget, or Annual Financial Statement.	Temporary Record. Retain 1 year after audit.
8.17 FACT BOOKS. Records documenting statistical data on student body makeup, faculty, and finances. This book is used as a quick reference for the colleges.	PERMANENT RECORD.
8.18 Integrated Postsecondary Education System Reports (IPEDS). Records documenting enrollment, financial aid funds, personnel, and college work study programs through the submission of data by each college for the U.S. Department of Education, National Center for Education Statistics.	Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.
8.19 Enrollment Summaries. Records documenting the growth/decline in college enrollment, credit hour production, and the size of the current student body in each of the colleges through the Personnel and Enrollment Reporting System (PERS).	Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.
8.20 Institutional Reports. Records documenting summarized data collected on some aspect of the institution into some consolidated form.	Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.
8.21 PUBLICITY AND INFORMATIONAL MATERIALS. Records documenting the official actions of the college in promoting itself. Examples may include, but are not limited to, news releases, newsletters, brochures, periodicals, campus or	PERMANENT RECORD.

student newspapers, speeches of leading college officials, programs, public service announcements, and other official promotional or informational materials that are not retained in another permanent records series.

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| 8.22 Presentation Materials. Records documenting the presentations of staff members of the Alabama College System at official functions. This series consists of formal presentation materials prepared for and distributed prior to and during workshops, conferences, professional meetings, seminars, workshops, and in-service training programs. | Temporary Record.
Retain for useful life. |
| 8.23 Test Site Materials. Records documenting the use of college facilities to administer such examinations as the GED or SAT. Materials maintained on the campus may include, but are not limited to, such items as copies of tests or pass/fail records. | Temporary Record.
Retain for useful life. |
| 8.24 Complaints/Legal Case Files. Records documenting complaints against the college or official actions taken against the institution in court. | Temporary Record.
Retain 6 years after resolution of the complaint or case. |
| 8.25 Compliance Records. Records documenting a college's participation and compliance with federal or state regulations, such as, but not limited to, the Americans with Disabilities Act, the Student Right to Know Act, or the Family Educational Rights and Privacy Act. This series specifically relates to transition plans and self-evaluation records. | Temporary Record.
Retain superseded evaluations 3 years after the end of the fiscal year in which the record was created. |
| 8.26 TITLE VI CONSENT DECREE RECORDS. Records documenting all activities required by the consent decree. | PERMANENT RECORD. |
| 8.27 WEBSITE. Records documenting informational and promotional material on the internet on institutions within the Alabama College System. This record series refers to web sites maintained by the individual institution, not that of the Department of Postsecondary Education. | PERMANENT RECORD. Create a "snap shot" of complete website annually or as often as significant changes are made to the site. |
| 8.28 System Documentation (hardware/software manuals and | Temporary Record. |

diskettes, warranties, Y2K records).

Retain documentation of former system 1 year after audit 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.

8.29 Records documenting the implementation of the Alabama College System's approved RDA. Records documenting the implementation of the Alabama College System RDA. Such records may include, but are not limited to, evidence of records destroyed and any reports providing a summary of the agency's records management activities.

Temporary Record. Retain 1 year after audit.

8.30 Copy of Approved RDA. Records documenting legal guidelines for the disposition of the college's records. Each college should maintain a signed copy of the RDA.

Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the RDA was superseded.

Administering Internal Operation - Managing Finances

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
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9.01	Budgeting Records. Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.	
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	APPROVED ANNUAL BUDGETS. Records documenting final budgets as approved by the appropriate authority.	PERMANENT RECORD.
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	Records documenting preparation of budget and budget performance during the budget cycle. Records documenting the college's annual budget preparations by departments and	Temporary Record. Retain 1 year after audit.
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cost centers. Also includes reports created to monitor the budget throughout the year.

- 9.02 Purchasing Records.** Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products; may include, but is not limited to, purchase orders, invoices, receiving reports, and credit applications. Temporary Record. Retain 1 year after audit.
- 9.03 Bid Files.** Records documenting the bid process, including requests for proposals and unsuccessful responses. Temporary Record. Retain 7 years after the date bids were opened (Code of Alabama 1975, § 41-16-54).
- 9.04 Accounting Records.** Records documenting routine accounting functions.
- Routine accounting records. Records documenting original entry for routine accounting transactions, which include, but are not limited to, such items as journals, registers, subsidiary ledgers, and records of deposits of funds outside the state treasury including cancelled checks, check stubs, deposit slips, and other banking records, and receipt books. Temporary Record. Retain 1 year after audit.
- * Note: No grant fund records should be disposed of prior to the fulfillment of all applicable regulations.*
- Sales Tax Records. Records documenting the implementation of the sales tax and includes forms and reports as required by the Internal Revenue Service or the Department of Revenue. Temporary Record. Retain 6 years after the end of the fiscal year in which the record was created.
- GENERAL LEDGER/TRIAL BALANCE. Records documenting final entry for all financial transactions. PERMANENT RECORD.
- ANNUAL FINANCIAL STATEMENTS. Records documenting the report of fiscal year operations of a college in accordance with Governmental Accounting Standards Board rules and generally accepted accounting procedures. PERMANENT RECORD.

9.05	Investment Records. Records documenting institutional investments and investment incomes.	Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the investment matured or was sold.
9.06	Travel Records. Records documenting requests for authorization from employees to travel on official business and related materials, such as travel reimbursement forms and itineraries.	Temporary Record. Retain 1 year after audit.
9.07	Contracts, Leases, and Agreements. Records documenting negotiation, fulfillment, and termination of all contracts, leases, and agreements for services or personal property.	Temporary Record. Retain 6 years after expiration of contract.
9.08	Audit Reports. Records documenting the final summarization of the audit by the State Examiners of Public Accounts or independent auditors of the institution's regular audit.	Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Administering Internal Operations - Managing Human Resources

Note: Contact your legal counsel prior to the destruction of any personnel related materials.

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
10.01	Job Recruitment Materials. Records documenting efforts to advertise positions and attract qualified personnel.	Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.
10.02	Position Classification Files. Records documenting job classifications and pay rates for all positions covered by the agency's personnel system. They comprise reports, job classification lists, and pay plans. Information available includes department, job title, pay rate, and step increase scale for each pay rate.	Temporary Record. Retain 4 years after position is reclassified.

10.03 Application Files. Records documenting applications for employment, maintained for consideration when vacancies arise; also includes rejected applications, applications for transfer, and applications for promotion.

Successful Applications. Records documenting applications from individuals who are successful candidates.

Temporary Record. Retain in employee personnel file.

Unsuccessful Applications. Records documenting applications from individuals who were not hired.

Temporary Record. Retain 2 years after the end of the fiscal year in which the application was received.

10.04 Search Committee Files. Records documenting the process of a search committee advertising for, interviewing, selecting, and hiring an individual to fill an administrative, staff, or faculty position. Examples include, but are not limited to, applications, correspondence, resumes, evaluation forms, and any other supporting documentation.

Temporary Record. Retain 1 year after audit.

10.05 Personnel Files.

Employee Personnel Information.

Records documenting employment, salary, and benefits for retirement purposes.

Temporary Record. Retain 25 years after separation of employee from the Alabama College System.

Subsidiary Employment Documentation. Records documenting an employee's work history, which may include documents on continuing education, performance evaluation, disciplinary actions, and background checks.

Temporary Record. Retain 6 years after separation of employee from the Alabama College System.

PERSONNEL FILES OF ALABAMA COLLEGE SYSTEM PRESIDENTS. Records documenting a college president's term of service in the Alabama College System.

PERMANENT RECORD.

- 10.06 Faculty Tenure and Promotion Files.** Records documenting the process of academic review for promotion or tenure. Temporary Record. Retain until statute of limitations is met or until settlement of claim, whichever is longer.
- 10.07 Training Records.** Records documenting the provision of in-service training and professional development for staff, including workshop records and evaluations. Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the training occurred.
- 10.08 Certification Records.** Records documenting completion of requirements and certification. This record series includes, but is not limited to, certification to drive qualified vehicles such as commercial driver’s license. Temporary Record. Retain 7 years or until certification is no longer valid, whichever is longer.
- 10.09 Fidelity Bonds.** Records documenting the payment for fidelity insurance by Alabama College System officials to guarantee personal honesty. These bonds are renewed annually. Temporary Record. Retain 1 year after audit.
- 10.10 Payroll Records.** Records documenting payroll expenditures.

Salary and Wage Records. Records documenting the distribution of payroll to employees. These records include, but are not limited to, pre-payroll reports, trial monthly payrolls, monthly payroll check registers, monthly fund distribution reports, payroll action forms, etc.

Note: No grant fund records should be disposed of prior to the fulfillment of all applicable regulations.

- If needed to verify employment, salary, and benefits for retirement purposes. Temporary Record. Retain 25 years after separation of employee from the Alabama College System.
- If not needed to verify employment, salary, and benefits for retirement purposes. Temporary Record. Retain 1 year after audit.

<p>Payroll Deduction Records. Records documenting information on various authorized payroll deductions, such as federal and state withholding tax, deferred compensation, social security, health/life insurance, retirement, and credit union, for Alabama College System employees.</p>	<p>Temporary Record. Retain 1 year after audit.</p>
<p>Payroll Deduction Authorizations. Records documenting an individual employee's authorization to withhold taxes and other deductions from the employee's pay.</p>	<p>Temporary Record. Retain 1 year after audit after the information is superseded.</p>
<p>Quarterly/Annual Payroll Earnings Reports. Records documenting the summary of employees' payroll earnings for a calendar year, including all deductions; This series includes, but is not limited to, W-2's, Form 941, Form 1099, and other related reports.</p>	
<p>If needed to verify employment, salary, and benefits for retirement purposes.</p>	<p>Temporary Record. Retain 25 years after separation of employee from the Alabama College System.</p>
<p>If not needed to verify employment, salary, and benefits for retirement purposes.</p>	<p>Temporary Record. Retain 1 year after audit.</p>
<p>10.11 Employee "Cafeteria Plan" (Flexible Benefits) Records. Records documenting salary-reduction type plans authorized by the U.S. Internal Revenue Service, § 125.</p>	
<p>General Information about the plan.</p>	<p>Temporary Record. Retain until superseded.</p>
<p>Employee applications, correspondence, enrollment cards and files.</p>	<p>Temporary Record. Retain 6 years after termination of the plan.</p>
<p>10.12 Work Schedule Records. Records documenting employees' daily and weekly work schedules.</p>	
	<p>Temporary Record. Retain 1 year after audit.</p>

10.13 Leave Records

Individual employee leave and attendance records (including time sheets). Records documenting employees' hours worked, leave earned, and leave taken, including time sheets and cards.

Temporary Record. Retain 1 year after audit.

Employee Sick Leave Donation Records. Records documenting sick leave donations.

Temporary Record. Retain 1 year after audit.

Employee cumulative leave/attendance records. Records documenting final leave status (cumulative leave), including Annual Employee Leave Report.

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

10.14 Work Study Files. Records documenting the participation of students in the College Work Study Program.

Temporary Record. Retain 1 year after audit after submission of the Fiscal-Operations Report for that award year.

10.15 Social Security Reports. Records documenting social security payments to the federal government.

Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the transaction occurred or 3 months after settlement of case, whichever is longer.

10.16 Unemployment Compensation Records. Records documenting employee claims for unemployment compensation.
(Code of Alabama 1975, § 25-4-70 through 25-4-78)
(Alabama Administrative Code, 480-1-1-.07)

Temporary Record. Retain 5 years after the end of the benefit year in which the records were created or 3 months after final settlement of the case, whichever is longer.

10.17 Worker Compensation Records. Records documenting claims and payments of employees for on-the-job injuries or job-related disabilities covered under the law.

Temporary Record. Retain 12 years after the end of the fiscal year in which the records were created. (Code of Alabama 1975, § 25-5-4).

10.18 Equal Employment Opportunity Commission (EEOC) Records. Records documenting

Temporary Record. Retain 1 year after audit.

compliance with law providing assurance to the federal and/or state government that institutions provide equal employment opportunities. Examples include reports and statistical information.

Administering Internal Operations - Managing Properties Facilities, and Resources

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
11.01	Inventory Records. Records documenting all personal property, equipment, or capital outlay, usually on an annual basis. This series does not include supporting documentation such as invoices but refers to the actual inventory.	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 (Code of Alabama 1975 § 36-16-8[1]).
11.02	Real Property Records. Records documenting the ownership of real property, through deeds and supporting documentation.	Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the property was sold or transferred.
11.03	BUILDING PLANS AND SPECIFICATIONS. Records documenting the construction of new buildings or the renovation of existing structures and may include, but are not limited to, project files, architectural drawings, and other building plans.	PERMANENT RECORD.
11.04	Real Property Leasing / Rental Records. Records documenting the leasing or renting of land, buildings, or facilities.	Temporary Record. Retain 1 year after the end of the fiscal year in which the

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| | lease or rental agreement is terminated. |
| 11.05 Receipts of Responsibility for Property. Records documenting property temporarily in the use or possession of an employee or a student. | Temporary Record. Retain until return of item to the property manager. |
| 11.06 Property Insurance / Risk Management Records. Records documenting insurance purchase for school system buildings and facilities, or of membership in risk management cooperatives. | Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the policy or membership was terminated. |
| 11.07 Facility/Building Inspection Files and Reports. Records documenting inspection of facilities to comply with the standards, rules, and codes affecting the health and safety of the occupants; includes fire and tornado drill reports, security inspections, and safety inspections. | Temporary Record. Retain 1 year after audit. |
| 11.08 Facility/Building Security Records. Records documenting the carrying out of security measures and procedures by the school system in its buildings and facilities. | Temporary Record. Retain 1 year after audit. |
| 11.09 Facility/Building Maintenance Work Orders. Records documenting routine maintenance of facilities and property. | Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created. |
| 11.10 Vehicle and Equipment Maintenance Files. Records documenting routine maintenance on vehicles and equipment. | Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle or equipment is sold or replaced. |

11.11 Motor Pool Vehicle Use Records. Records documenting reservations and use of motor pool vehicles by personnel and gasoline usage by motor pool vehicles.

Temporary Record.
Retain 1 year after audit.

11.12 Hazardous Materials Records. Records documenting the acquisition, retention, and disposal of hazardous materials. Examples of such records include but are not limited to manifests, material safety data sheets, and other facility regulatory files.

Temporary Record.
Retain 10 years after the end of the fiscal year in which the records were created.

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

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 Alabama College System (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October 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 23, 2008.

Edwin C. Bridges, Chairman
State Records Commission

Date

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

Roy W. Johnson, Chancellor
Alabama College System

Date

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