

# Public Universities of Alabama



## Functional Analysis & Records Disposition Authority

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# **Functional and Organizational Analysis of Public Universities of Alabama**

## **Sources of Information**

Members of the University Records Committee

Code of Alabama 1975, Sections 16-5-1 through 16-5-33

Archives Division, State Agency Files (1985-ongoing)

Archives Division, Records Retention Schedules for State Supported Universities of Alabama

Archives Division, Commission on Higher Education Records Disposition Authority

“AACRAO’s Retention of Records.” American Association of Collegiate Registrars and Admissions Officers

Websites of the Universities

Abbreviated list of regulations: Family Education Rights and Privacy Act (FERPA); Individuals with Disabilities Education Act (IDEA); Fair Labor Standards Act (FLSA); Title IX of the Education Amendment Act; Federal Grant and Cooperative Agreement Act; Federal Student Aid Handbook

## **Historical Context**

Alabama has a long history of higher education, beginning in 1818 with the federal government’s authorization of the Alabama Territory to set aside a township for the establishment of a seminary of learning. Alabama was admitted to the Union on December 14, 1819, and a second township added to the grant. On December 18, 1820, the seminary was officially named "The University of the State of Alabama." In 1827, Tuscaloosa, then the state’s capital, was chosen as the university’s home. On April 18, 1831, inaugural ceremonies were held, and Alabama’s first university was opened.

Although most universities are governed by a board of trustees, the Commission on Higher Education has the statutory responsibility for the planning and coordination of higher education in Alabama. Created by the Alabama legislature in 1969, the commission is responsible for the administration of various student aid programs and the performance of designated regulatory functions. Statutory responsibilities of the commission include the approval of new academic programs, the annual funding recommendation to the governor and the legislature on behalf of the public higher education institutions, and the approval of off-campus offerings. The Alabama Commission on Higher Education must approve any new unit or program of instruction for academic credit before state funds can be spent on it. The commission also is responsible for monitoring program viability standards and reporting information on institutional facilities.

## Historical Context - Public Universities

### [Alabama A&M University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-2059>

### [Alabama State University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1612>

### [Athens State University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-2982>

### [Auburn University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1649>

### [Auburn University at Montgomery](#)

URL: <http://www.encyclopediaofalabama.org/article/h-3334>

### [Jacksonville State University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-2597>

### [Troy University](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1267>

### [The University of Alabama](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1678>

### [University of Alabama at Birmingham](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1846>

### [The University of Alabama in Huntsville](#)

URL: <http://www.encyclopediaofalabama.org/article/h-2959>

### [University of Montevallo](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1827>

### [University of North Alabama](#)

URL: <http://www.encyclopediaofalabama.org/article/h-3009>

### [University of South Alabama](#)

URL: <http://www.encyclopediaofalabama.org/article/h-1646>

### [University of West Alabama](#)

URL: <http://www.encyclopediaofalabama.org/article/h-2358>

## Agency Organization

Currently, there are fourteen public universities as follows: Alabama A&M University, Alabama State University, Athens State University, Auburn University, Auburn University at Montgomery, Jacksonville State University, Troy University, University of Alabama, University of Alabama at Birmingham, University of Alabama in Huntsville, University of Montevallo, University of North Alabama, University of South Alabama, and the University of West Alabama.

## Agency Function and Subfunctions

The mandated function of each of the public universities of Alabama is to provide education to its clients. The universities are some of the agencies responsible for performing the Client Services function of Alabama government. In the performance of their mandated function, the universities may engage in the following subfunctions.

- **Admitting/Expelling Students.** Each university has requirements that must be met for a student to be accepted for enrollment at the university. Students apply to the university, and the university verifies the application materials and decides to accept or deny the application. Some accepted applicants may be placed on probation until certain criteria are met. Failure to meet these criteria may result in the student losing his/her acceptance to the university. Each university has other policies governing students, including their academic requirements, that when broken, may result in the students being disciplined and/or expelled. These expulsions may be appealed, in some instances, to the university's discipline oversight committee.
- **Conveying Knowledge.** Teaching is the primary activity of this subfunction, which is the direct link between the university and the individual student, and is the process that all other education activities support. Universities also use internships to convey knowledge. Other areas under this subfunction include those that support the learning process, e.g., university libraries, museums, archives, and learning centers.
- **Evaluating Performance and Conferring Credentials.** This subfunction includes activities that measure a student's academic achievements and school performance. Evaluation consists of measuring knowledge and skills acquired in individual classes. Graduation from a university not only requires the successful completion of a designated course of study, but also may include the passing of written and/or oral comprehensive exams and/or completion of a thesis or dissertation and its defense.
- **Advising and Assisting Students.** Universities provide services to their students in addition to conveying knowledge. These services include providing financial assistance,

housing, care, activities, and guidance. Assistance comes in the form of financial aid including loans, grants, scholarships, and work study. Much of this aid is coordinated with other state and/or federal agencies. Universities may provide housing opportunities to students through university-owned housing. The university coordinates the application and leasing process with students. Many universities have medical facilities available to students. These facilities may be owned by the university or coordinated through private entities. The universities also provide activities for the students that allow them to participate in sports, to explore personal interests and possible future professions through clubs and organizations, and to experience the democratic process through school elections. The universities also offer career and educational guidance.

- **Enforcing Laws.** Universities coordinate campus safety. These activities may include, but are not limited to, writing warnings or citations for violations of traffic laws, creating and implementing plans to deal with potential threats such as severe weather or active shooters, and executing laws and keeping the peace.
- **Conducting Research.** Some universities carry out research activities. These research activities may be conducted by an individual or may be carried out as part of a research center. These grants may be either externally or internally funded. Universities may apply for grant money to fund these research projects. The results of research usually are published.
- **Administering Internal Operations.** A significant portion of each university's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the university.

**Managing the University:** Activities involved in managing the university may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package, 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 university's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

**Managing Human Resources:** Activities involved in managing human resources

may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining university property, including vehicles.

# Records Appraisal of Public Universities of Alabama

## Records Appraisal

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

**I. Temporary Records.** Temporary records should be held for what is considered their active life and should be disposed of once all fiscal, legal, and administrative requirements have been met. Some examples of the temporary records created by the universities are discussed below:

- **Recruitment Materials and Records** (excluding reports, statistical information, or procedures). Recruitment materials are used to recruit students to attend the university and include videos, publications, posters, advertisements, flyers or buttons/pins. Files also may be created for the recruitment of specific students. The files are kept for one year or until the student enrolls, whichever is shorter. Prior to the destruction of these records, their disposition should be discussed with the university archivist, as the archivist may want to preserve some of them. The reports, statistical information, and procedures regarding recruitment are permanent records and are not covered by the temporary retention period.
- **Distance Education Student Record Protection Plans.** Universities that offer distance education to students in other states may be required by those other states to sign a student records protection plan ensuring that if a university closes, that institution has an agreement for the transfer of those student records. If a university needs a repository to sign such an agreement stating that students would have access to their records in the case that the institution closes, the university may contact the Alabama Department of Archives and History for signature as the designated repository. These forms need to be maintained until superseded.
- **Alcohol Influence Reports.** These records document incidents of driving under the influence of alcohol and are recommended to be retained 85 years because the law allows drivers to challenge a charge of driving under the influence of alcohol for the extent of his/her driving career.
- **Employee Work History.** These records, which are generally maintained as a case file and include records of final leave status and faculty service reports, are used to verify employment. Because the universities are outside of the State Department of Personnel system, the records are kept 25 years after separation of an employee from the university. Medical resident files are kept 75 years to document practice at the university's hospital.



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

### **Admitting/Expelling Students**

- **Recruitment Materials and Records.** These records are summary documentation of the recruitment process and are necessary to document the activities of this subfunction.
- **Student Handbooks.** The student handbooks document school policies and procedures as they affect individual students. They are useful in researching changes in policy and in documenting the policies in force at a given time.

### **Conveying Knowledge**

- **Course and Curriculum Records (records of approved classes).** These records, which include approved class/course schedules and annual bulletins, are created during the process of deciding on courses to offer/continue within each university program. The records are necessary for long-term administrative use and to document the creation of programs of study.
- **Special Program Files.** These records document the subfunction Conveying Knowledge through programs created by the University to reach out to the community. The Special Program Files focus on the published content of these community outreach programs. Many of the records created by these programs will be covered through series as listed under Administering Internal Operations; however, core documentation of these programs and their products should be maintained permanently.
- **Archives Records (accession/deaccession records, collection catalog information, and control files for manuscripts and artifacts).** The permanent records of libraries and archives are those records that document ownership, description, condition, and restoration of permanent collections. Accession records are necessary to document the legal ownership of items by the university. Deaccession records that document the release of custody of collections from the university are necessary to prove that the item is no longer the responsibility of the university. Collection catalog information contains much of the known information about each artifact in the collection. The descriptions and other information document the history of the item and are necessary to place the object in context. Control files consist of records documenting evaluations of, and actions taken on, holdings of the department.

## Evaluating Performance and Conferring Credentials

- **Final Grades.** These records document the grades given by an instructor to the members of a particular class. Their permanent retention is recommended by the American Association of Collegiate Registrars and Admissions Officers (AACRAO).
- **Graduation Lists.** These records are lists of individuals who have successfully completed the degree requirements and have graduated from the university. Note: This list may be part of the Board of Trustees minutes.
- **Individual Student Academic Records (not including continuing education records not required to produce a transcript).** These records consist of the official student record of an individual student for his/her period of enrollment at a university and include all academic documentation for an individual student, including transcripts, narrative evaluations, competency assessments. Their permanent retention is recommended by the American Association of Collegiate Registrars and Admissions Officers (AACRAO). Continuing education records not required to produce a transcript are not permanent.

## Advising and Assisting Students

- **Student Publications (university-wide).** University-wide student publications, which may include newspapers, yearbooks, and magazines, that document the university and its students. The publications may be useful in examining student life and university efforts to promote student life.
- **Athletics Case Files/Infractions Files (files of substantiated allegations).** These records are created in the course of investigations of alleged infractions of rules of athletic associations such as the National Collegiate Athletic Association (NCAA) and the National Association of Intercollegiate Athletics (NAIA). The files of substantiated claims are kept permanently to document the violation and its outcome to assist in future investigations as well as to document university actions.
- **Official Squad Lists.** These records document who was officially a member of a university sports team. The records are necessary to prove that an individual was on a team because the information is not always documented in any other university record.

## Conducting Research

- **Research Project Records (final reports and publications).** These records are created over the course of a research project and document procedures, steps taken, and results. For projects associated with grants, see grant records under administering internal operations, managing finances. Final reports and publications should be maintained permanently.

- **Grant Records (data management plan and final grant reports/publications).** See administering internal operations.
- **Research Policies.** These records document the policies of a university and/or department regarding its research at a given time. They document what policies existed as well as the evolution of university research policies.

## **Administering Internal Operations**

- **Board of Trustees Records.** These records document policy and rule development by the university, proposals, and required reporting by the departments and committees to the board. These records may include meeting agendas, minutes, reports, and proposals, as well as documentation of the award of honorary degrees and citations.
- **Records of University-wide Standing Committees.** These records, which may include minutes and recommendations, are necessary to document policy and rule development by the university.
- **President's/Chancellor's/Vice President's/Athletic Director's Files.** These records, which do not include routine correspondence, document the policies and actions of the universities.
- **Policies and Faculty Handbooks.** These records, which include staff manuals, document the guidelines, policies, and procedures of the universities.
- **Accreditation Records (final assessment/self-study reports and responses).** These records document accreditation reviews by accrediting agencies and are necessary for use in future reviews and are useful to researchers of the accreditation process and of the university.
- **Annual Reports.** The annual reports are summary documentation of the activities of the university and include enrollment statistical reports. **(Bibliographic Title: State Publications)**
- **Publications and Publicity Materials.** These records include publications concerning the university and its work and are issued for distribution to the public. Publicity materials document university activities and may include newsletters, programs, speeches, photographs, contact prints, negatives, enlargements from negatives, audio and video tapes, and transparencies. Note: for each item there should be an identification that includes subject, the occasion, the place, and the date. **(Bibliographic Title: State Publications)**

- **Website and Social Media Site(s).** The university may maintain a website or participate in social media sites. The university is responsible for capturing and preserving the university website as often as significant changes are made.
- **Class Gift Records.** These documents provide a record of gifts given to the institution by senior classes. These documents may include, but are not limited to, gift lists, gift histories, record of gift placement arrangements, and related documentation.
- **Records of Gifts and Bequests to the University.** Documents related to gifts and bequests including copies of wills, copies of deeds and titles, maps and surveys (if applicable), and records of establishment of and use of monies generated by trust fund or endowment.
- **Permanent Financial Documentation.** The following financial records are required to be kept permanently for historical and accounting purposes: tuition and fee schedules, university budgets, annual endowment fund reports, charts of accounts, general ledgers, annual financial statements, and annual payroll earnings records. Other financial records are listed separately and have temporary retention requirements.
- **University Budget.** The university budget is the official final budget for the university for the fiscal/academic year. It is necessary to document the budget the university worked under for a given year.
- **Grant Records (data management plan and final grant reports/publications).** These reports are created at the end of a grant project as required by the grantor. The reports are necessary to document the activities and results of grant projects.
- **Search Committee Files (president/chancellor).** These records document the university's process of searching for and selecting candidates for president/chancellor.

# **Permanent Records List Public Universities of Alabama**

## **Admitting/Expelling Students**

1. Recruitment Materials and Records (reports)
2. Student Handbooks

## **Conveying Knowledge**

1. Course and Curriculum Records (records of approved classes)
2. Special Program Files
3. Archives Records (accession/deaccession records, collection catalog information, and control files for manuscripts and artifacts)

## **Evaluating Performance and Conferring Credentials**

1. Final Grades
2. Graduation Lists
3. Individual Student Academic Records (not including continuing education records)

## **Advising and Assisting**

1. Student Publications (university-wide)
2. Athletics Case Files/Infractions Files (files of substantiated allegations)
3. Official Squad Lists

## **Conducting Research**

1. Research Project Records (final reports and publications)
2. Grant Records (data management plan and final grant reports/publications) (see administering internal operations)
3. Research Policies

## **Administering Internal Operations**

1. Board of Trustees Records
2. Records of University-wide Standing Committees
3. President's/Chancellor's/Vice President's/Athletic Director's Files
4. Policies and Faculty Handbooks
5. Accreditation Records (final assessment/self-study reports and responses)
6. Annual Reports (includes enrollment statistical reports)
7. Publications and Publicity Materials
8. Website and Social Media Site(s)
9. Class Gift Records
10. Records of Gifts and Bequests to the University

11. Permanent Financial Documentation (tuition and fee schedules, annual endowment fund reports, charts of accounts, general ledgers, annual financial statements, and annual payroll earnings records)
12. Budget Records (University Budget)
13. Grant Records (data management plan and final grant reports/publications)
14. Search Committee Files (president/chancellor)

University and/or ADAH staff members are available to work with the university in determining the best location and storage conditions for the long-term care and maintenance of permanent records. Many of these records should be offered to the university's own archives for permanent storage.

# **Public Universities of Alabama 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, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum 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 may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the agency records manager or ADAH Archives Division at (334) 242-4452.

## **Explanation of Records Requirements**

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

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

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document agency activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, but are not limited to,

telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about social activities; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

For the purposes of this RDA, the word “audit” refers to the traditional financial and compliance audit, including Federal compliance, performed by the State Examiners of Public Accounts and/or a licensed auditing firm. These audits focus on two areas: reliability and accuracy of financial statements; and compliance with laws, ordinances, regulations, and other requirements.

## **Records Disposition Requirements**

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

### **Admitting/Expelling Students**

**1.01 RECRUITMENT MATERIALS AND RECORDS.** Recruitment materials are used to recruit students to attend the university and include videos, publications, posters, correspondence, advertisements, flyers, or buttons/pins. Files also may be created for the recruitment of specific students.

a. **REPORTS**

Disposition: PERMANENT RECORD.

b. **Other Records**

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**1.02 Student Admission Files.** These files consist of application records for admission into the university degree program and are created for undergraduate, graduate, and transfer students. The files may include acceptance letters, placement records, medical records, test scores, test profiles, or reports of prospective university applicants. Statistical information on test score averages (GRE, ACT, SAT, CEEB files) may also be included.

a. **Accepted Applicants Who Enroll**

Disposition: Temporary Record. Retain 5 years.

b. **Accepted Applicants Who Do Not Enroll**



Disposition: Temporary Record. Retain 1 year after application term.

c. Applicants Not Accepted

Disposition: Temporary Record. Retain 1 year after application term.

d. Residency Reclassification Records:

Disposition: Temporary Record. Retain for useful life.

Note: Foreign students may request the return of some of these records.

**1.03 Student Disciplinary Files.** These records document investigations and disciplinary actions taken against students for violations of university rules and regulations.

Disposition: Temporary Record. Retain 5 years after closure of case file or until the student leaves the university, whichever is longer.

**1.04 Requests for Disclosure/Non-disclosure of Personally Identifiable Information.** These records document student requests that their personally identifiable information, which generally consists of name, address and telephone number, not be released. Also includes requests to forward student academic transcripts to other agencies, educational institutions or to the students. Disposition: Temporary Record. Retain 1 year or until no longer applicable, whichever is longer.

**1.05 STUDENT HANDBOOKS.** These handbooks are produced by the university to provide information to students about the university and its operation.

Disposition: PERMANENT RECORD.

## **Conveying Knowledge**

**2.01 COURSE AND CURRICULUM RECORDS.** These records include programs of instruction approval files, class/course schedules, university catalogs/bulletins, and proposals and justifications for new courses and changes to courses.

a. RECORDS OF APPROVED CLASSES

Disposition: PERMANENT RECORD.

b. Records of classes not approved

Disposition: Temporary Record. Retain for useful life.

**2.02 Academic Program Files.** These records contain materials on proposed academic programs that must be submitted to the Commission on Higher Education for approval. Much of the material in these files is duplicated in other commission records that have been designated as archival.

Disposition: Temporary Record. Retain 5 years.

**2.03 Lesson Plans/Syllabi.** These records are created to document what the teacher expects of the students and to outline assignments and due dates.

Disposition: Temporary Record. Retain for life of appeals process.

**2.04 Documentation of Attendance.** These records include last date of attendance reports or similar documentation used to determine compliance with federal loan guidelines.

Disposition. Temporary Record. Retain for 3 calendar years after the end of the semester. (34CFR668.24)

**2.05 Documentation of Grades (Instructor's Copy).** These records include class rolls, grade sheets, unreturned graded exams, unreturned papers, student e-mail related to grades, and other unreturned student work.

Disposition: Temporary Record. Retain for life of appeals process.

**2.06 Master Copy of Exams.** These records are the master copy of every exam given in the conduct of a class in the curriculum of the university.

Disposition: Temporary Record. Retain for life of appeals process.

**2.07 Internship Records.** These records document activities of interns as part of class curriculum.

Disposition: Temporary Record. Retain for life of appeals process.

**2.08 Records of Supplemental Learning Centers.** These records document the activities of supplemental learning centers, which some universities establish to assist in the learning process through tutoring in specific subject matter or skills. These records do not include records of libraries/learning centers.

Disposition: Temporary Record. Retain 3 years.

**2.09 SPECIAL PROGRAM FILES.** These records document the subfunction Conveying Knowledge through programs created by the University to reach out to the community. The Special Program Files focus on the published content of these community outreach programs. Many of the records created by these programs will be covered through series as listed under Administering Internal Operations; however, core documentation of these programs and their products should be maintained permanently.

Disposition: PERMANENT RECORD.

**2.10 Circulation Records.** This series documents the borrowing of circulating library materials. This series may include but is not limited to the name and identification of the borrower, the titles of materials borrowed; the due date, overdue and fine payment notifications, and related documentation and correspondence.

Disposition: Temporary Record. Retain until the transaction is completed.

**2.11 Inter-Library Loan (ILL) Records.** This series documents requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. Documents all lending and borrowing requests received and/or processed. Disposition: Temporary Record. Retain 3 years.

**2.12 ARCHIVES RECORDS.** These are records created in the management of the archives.

- a. ACCESSION/DEACCESSION RECORDS, COLLECTION CATALOG INFORMATION, AND CONTROL FILES FOR MANUSCRIPTS AND ARTIFACTS  
Disposition: PERMANENT RECORD.
- b. Accession/deaccession Records, Collection Catalog Information, and Control Files  
Disposition: Temporary Record. Retain for useful life.
- c. Control Worksheets/Logs (Archives Manuscripts Control [AMC], Book Cataloging Forms, and Inventory Control Records)  
Disposition: Temporary Record. Retain 1 year after data verification.
- d. Condition Reports of Non-permanent Records, Finding Aides, and Holdings Inventory Records  
Disposition: Temporary Record. Retain until superseded or obsolete.
- e. Recording Hygrothermograph Charts  
Disposition: Temporary Record. Retain 1 year.

**2.13 Course/Teacher Evaluations.** These evaluations are forms that are filled out by students enrolled in the class. The students rate the course and/or teacher. The evaluations are generally summarized in a report, which is used by the university and teacher to improve the course and its presentation.

- a. Filled out evaluations  
Disposition: Temporary Record. Retain until completion of summary report or 3 years if no report is created.
- b. Summary Reports  
Disposition: Temporary Record. Retain 3 years.

## **Evaluating Performance and Conferring Credentials**

**3.01 College/Department Student Academic Files and Grade and Course Credit Records.** These records document individual students in individual college and department offices and

include grade change documentation, advanced credit posting authorizations, and student teaching program and certification records.

Disposition: Temporary Record. Retain 5 years.

**3.02 FINAL GRADES.** These records document the grades given by an instructor to the members of a particular class.

Disposition: PERMANENT RECORD.

**3.03 Grade Statistics.** These reports are created to provide statistical information on student grade point or quality point averages.

Disposition: Temporary Record. Retain for useful life.

**3.04 GRADUATION LISTS.** These records are lists of individuals who have successfully completed the degree requirements and have been graduated from the university. Note: This list may be part of the Board of Trustees minutes.

Disposition: PERMANENT RECORD.

**3.05 INDIVIDUAL STUDENT ACADEMIC RECORDS.** These records consist of the official student record of an individual student for his/her period of enrollment at a university and include all academic documentation for an individual student, including transcripts, narrative evaluations, competency assessments, and academic action.

a. Continuing Education Records not required to produce a transcript:

Disposition: Temporary Record. Retain for 1 year after date of last attendance.

b. OTHER INDIVIDUAL STUDENT ACADEMIC RECORDS (includes continuing education records that are required to produce a transcript and Individual Student Transfer Evaluations):

Disposition: PERMANENT RECORD.

**3.06 Continuing Education Program Files.** These records consist of continuing education program files documenting students enrolled in continuing educational classes.

Disposition: Temporary Record. Retain 5 years.

**3.07 Changes of Course (Drop/add).** These records document the student's change of courses.

Disposition: Temporary Record. Retain 1 year.

**3.08 Comprehensive Examination Records.** These records document a student's grades on comprehensive exams.

Disposition: Temporary Record. Retain 5 years.

**3.09 Transfer Equivalents Files (Articulation).** These records document the process for transferring credit from other institutions of higher education accepted by a university.

- a. Individual Student Transfer Evaluations  
Disposition: Temporary Record. File with individual student academic records.
- b. Other  
Disposition: Temporary Record. Retain for useful life.

**3.10 Graduation Authorizations.** These records document graduation authorizations to verify degree requirements.  
Disposition: Temporary Record. Retain 5 years after date of student's last attendance.

**3.11 Graduation Applications.** These records document the application for graduation.  
Disposition: Temporary Record. Retain 1 year after date of student's last attendance.

### **Advising and Assisting Students: Non-Degree Student Program Files**

**4.01 Student Services Program Files.** Student files for non-academic programs created to provide ESL certification, immigration services, veteran services, career placement, and other services beyond and/or in cooperation with those provided by academic programs. Any academic records related to certification should be maintained in accordance with Evaluating Performance and Conferring Credentials. Program may choose to return certain documentation to the student.  
Disposition: Temporary Record. Retain 5 years.

### **Advising and Assisting Students: Guidance**

**4.02 Academic Counseling Records.** These records document individual students assisted by the university academic counseling service.  
Disposition: Temporary Record. Retain for 5 years after termination of enrollment.

**4.03 Student Advisor Records.** These records document academic advisors' performance of their duties with their assigned students.  
Disposition: Temporary Record. Retain for 5 years after termination of enrollment.

### **Advising and Assisting Students: Financial Assistance**

**4.04 Academic Scholarship Awards Records.** These records document the application for, and award of scholarships to students and include correspondence, applications, recommendations, grade listings, statements of need, accounting records, and approvals or disapprovals.  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records are created.

**4.05 Athletic Scholarship Award Records.** These records document athletic scholarship awards to students and may include correspondence, applications, recommendations, grade listings, accounting records, and approvals or disapprovals.

- a. Records of Awarded Scholarships  
Disposition: Temporary Record. Retain 6 years after receipt.
- b. Records of Scholarships Not Awarded  
Disposition: Temporary Record. Retain 3 years.

**4.06 Alabama G.I. and Dependent's Educational Benefits Records.** These records document the award of Alabama G.I. and Dependent's Educational Benefits Program funds to university students who are the dependents of a disabled or deceased Alabama veteran or an individual who is a disabled veteran.

Disposition: Temporary Record. Retain for 8 years from date of certification of eligibility.

**4.07 U.S. G.I. and Dependents' Educational Benefit Records.** These records document the educational training of students entitled to benefits administered through the U.S. Veterans Administration. Contains certification, discharge papers, course of study information, correspondence, certificates of training, marriage licenses, birth certificates, registration forms, transcripts, and other related records.

Disposition: Temporary Record. Retain for 3 years after termination of enrollment.

**4.08 Alabama National Guard Educational Assistance Program (ANGEAP) Records.** These records document the award of ANGEAP funds to university students who are active members of the Alabama National Guard.

Disposition: Temporary Record. Retain for 5 years after date of certification of application.

**4.09 Federal Student Loan Files.** These records are created to establish a student's eligibility for federal loan program awards.

Disposition: Temporary Record. Retain 3 years after termination of enrollment.

**4.10 Federal Work Study (FWS) and Supplemental Educational Opportunity Grants (SEOG) Records.** These records document FWS and SEOG program monies awarded to university students.

Disposition: Temporary Record. Retain 3 years after submission of the Fiscal Operations Report for that award year.

**4.11 Institutional Loan Records.** These records document the award of institutional loans to eligible students.

Disposition: Temporary Record. Retain until final disposition of the loan.

**4.12 Institutional Scholarship Records.** These records document the award of institutional scholarships to eligible students.

Disposition: Temporary Record. Retain for 5 years after expiration of scholarship.

**4.13 Pell Grant Records.** These records document Pell grants awarded to university students

and are used to establish and verify a student's eligibility for Title IV financial aid program funds.

Disposition: Temporary Record. Retain for 5 years after the award year.

### **Advising and Assisting Students: Student Housing**

**4.14 Student Housing Records (Dorm Records).** These records document the application for, awarding of, and use of student housing facilities by students. Records may include applications, credit reports, references, sign-up sheets, photographs, and inspection reports.

Disposition: Temporary Record. Retain until student account is closed.

### **Advising and Assisting Students: Medical/Psychotherapy Care**

**4.15 Patient Records.** These records document medical care provided at the institution's health center.

Disposition: Temporary Record. Retain 10 years after last visit.

**4.16 Disabled Student Files (Americans with Disabilities Act Files).** Records documenting students' requests for accommodations, as well as the college's response to their requests.

Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

### **Advising and Assisting Students: Student Activities**

**4.17 Fraternities, Sororities, Greek Council, and Student Organizations/Government Files** (does not include financial records or routine correspondence that are listed elsewhere) These records document the university's involvement with fraternities, sororities, intramural sports, scholastic teams, and other student organizations including their creation, discipline, and dissolution.

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**4.18 STUDENT PUBLICATIONS.** University-wide student publications, which may include newspapers, magazines, game programs, and media guides, document the university and its students.

- a. UNIVERSITY-WIDE

Disposition: PERMANENT RECORD.

- b. Non-university-wide

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**4.19 University/Student Newspaper and Magazine Files.** These records document the daily operation of the school newspaper and/or magazine, but exclude financial records.

Disposition: Temporary Record. Retain 3 years.

**4.20 Recordings of University Radio/Television Broadcasts.** These records document the programs provided by the university operated stations.

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**4.21 Radio/Television Station Files and Logs.** These records document the administration and activities of university-funded radio and television stations.

Disposition: Temporary Record. Retain 3 years.

**4.22 Radio Equipment Requisitions and Letters of Insurance Coverage.** The United States Department of Commerce requires documentation of requisitions and insurance for radio equipment used in radio wave broadcasts to be kept 10 years.

Disposition: Temporary Record. Retain 10 years.

**4.23 University Recreation Membership Applications/Release Forms.** These records document use of facilities on campus. These documents may be from faculty, staff, students, or the public; however, funds are used to support student activities.

Disposition: Temporary Record. Retain 1 year after expiration of contract.

### **Advising and Assisting Students: Athletic Activities**

**4.24 Drug Dispensing Records.** These records document the daily dispensing of drugs by athletic department staff.

Disposition: Temporary Record. Retain 6 years.

**4.25 Game Films.** Consists of university produced films of university sporting events.

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**4.26 Athletic Injury Records.** These records document injuries to university athletes and athletics staff as well as to members of intramural teams. The records include accident reports, medical records, x-rays, photographs, affidavits, correspondence, billing information, and other related records.

- a. Medical records

Disposition: Temporary Record. Retain 10 years.

- b. Non-medical records

Disposition: Temporary Record. Retain 5 years.

**4.27 Letters of Intent.** These records document student athletes' intentions of attending a specific university.



Disposition: Temporary Record. Retain 6 years or until resolution of all official actions, whichever is longer.

**4.28 ATHLETIC CASE FILES/INFRACTIONS FILES.** These records document the investigation of suspected/confirmed infractions of rules and regulations.

a. **FILES OF SUBSTANTIATED ALLEGATIONS**

Disposition: PERMANENT RECORD.

b. **Files of unsubstantiated allegations**

Disposition: Temporary Record. Retain 6 years after closure.

**4.29 Injury Surveillance Forms.** These records provide information on the frequency and types of injuries in each sport.

Disposition: Temporary Record. Retain 1 year after end of the year in which the record was created.

**4.30 OFFICIAL SQUAD LISTS** (not intramural). These records document the members of each sports squad.

Disposition: PERMANENT RECORD.

**4.31 Team Scouting Reports.** These records document opposing teams' strengths and weaknesses prior to a sporting event.

Disposition: Temporary Record. Retain for useful life.

**4.32 Drug Test Results.** These records document the results of drug tests.

Disposition: Temporary Record. Retain 6 years.

## **Enforcing Laws**

**5.01 Records of Driving Violations.** These records document driving violations and include records of suspension of driving privileges, warning tickets, violations of use of driver license, and sobriety examination reports.

Disposition: Temporary Record. Retain 3 years.

**5.02 Alcohol Influence Reports.** These records document incidents of driving under the influence of alcohol.

Disposition: Temporary Record. Retain 85 years.

**5.03 Records of Non-Traffic Arrests and Tickets and Failure to Appear in Court.** These records document incidents of non-traffic arrests and tickets and failure to appear in court.

Disposition: Temporary Record. Retain 5 years.

**5.04 Campus Parking Tickets.** These records document citations issued and the administrative

enforcement of parking rules and regulations. These tickets are issued by university police officers generally in instances where a court appearance is not required. Information available includes date and time, vehicle information, and violation.

Disposition: Temporary Record. Retain 3 years after final disposition.

**5.05 Uniform Traffic Ticket and Complaint (UTTC) Records.** These records document traffic offenses that occur within the university police's jurisdiction and contain date and time of traffic stop, driver and vehicle information, violation, and court date.

Disposition: Temporary Record. Retain until final disposition of the case.

**5.06 Uniform Traffic Ticket and Complaint (UTTC) Transmittal Forms and Receipt Books.** The transmittal forms document each traffic ticket given and its receipt by the appropriate court. The receipt books document the issuance of UTTC books to each officer.

Disposition: Temporary Record. Retain 5 years.

**5.07 Daily Assist Tickets.** These records document assistance provided by officers.

Disposition: Temporary Record. Retain 5 years.

**5.08 Uniform Arrest Reports.** These records document the date and time of arrest, arrestee's name, personal information, location of arrest, and cause of arrested.

Disposition: Temporary Record. Retain 2 years after disposition of case.

**5.09 Alabama Uniform Traffic Accident Reports (AUTAR).** These records document all traffic accidents that occur within university police jurisdiction and contain information on time and location of accident, description of the drivers and vehicles involved, victim information, narrative and diagramed description, roadway description, and witness information.

Disposition: Temporary Record. Retain 5 years.

**5.10 Felony Awareness Patrol Reports.** These are reports made by felony awareness patrols.

Disposition: Temporary Record. Retain 5 years.

**5.11 Accident Logs.** These are logs of accidents responded to by university police.

Disposition: Temporary Record. Retain 3 years.

**5.12 Records of Fatalities, Stolen Vehicles, and Wanted Persons.** These are records of police responses to incidents involving fatalities, stolen vehicles, and wanted persons.

Disposition: Temporary Record. Retain 3 years.

**5.13 Traffic Homicide Records.** These are records of traffic accidents resulting in death.

Disposition: Temporary Record. Retain 5 years after disposition of case.

**5.14 Uniform Incident/Offense Reports, Supplements, and Logs.** These records document incidents/offenses and accidents that occur on the university campus and surrounding streets that violate university and/or local laws and regulations. They contain case number, type of report,

date, time, complainant or victim, address, and details of report.

- a. Records of Felonies  
Disposition: Temporary Record. Retain 25 years after final disposition of the case.
- b. Records of Misdemeanors  
Disposition: Temporary Record. Retain 10 years after final disposition of the case.

**5.15 Violation Tally Reports and Summaries.** These records are summary reports of violations.

Disposition: Temporary Record. Retain 3 years.

**5.16 Daily Accident and Activity Logs and Reports.** These records are created to document the daily activities of officers.

Disposition: Temporary Record. Retain 2 years.

**5.17 Daily/Monthly Assignment Rosters.** These records document the daily activities and work schedules of the campus police department. They contain information on the officer, shift, car number, mileage, calls responded to, violations.

Disposition: Temporary Record. Retain 1 year.

**5.18 Alabama Criminal Justice Information System Printouts.** These records are printouts of information from the CJIS system.

Disposition: Temporary Record. Retain 1 month.

**5.19 Use of Force Reports.** These records document use of force by officers.

Disposition: Temporary Record. Retain 5 years.

**5.20 Vehicle Door Damage Waivers.** These records document waiving of damages that may occur when law enforcement officers are asked to open vehicle doors of motorists who have locked their keys inside a vehicle.

Disposition: Temporary Record. Retain 1 year.

**5.21 Confiscated/Abandoned/Stored Vehicle Records.** These records document activities related to the confiscation and removal of abandoned vehicles.

Disposition: Temporary Record. Retain 3 years.

**5.22 Motorist Assistance Records.** These records, which include waivers, document assistance of motorists by officers.

Disposition: Temporary Record. Retain 1 year.

**5.23 Radar Logs.** These records document check-out, use, and/or repair/calibration of radar equipment.

Disposition: Temporary Record. Retain 5 years.

**5.24 Bomb Threat Records.** These records document bomb threats received by the university.  
Disposition: Temporary Record. Retain 3 years.

**5.25 Driving and Criminal History Communication Logs.** These records document communications regarding driving and criminal histories.  
Disposition: Temporary Record. Retain 3 years.

**5.26 Recordings of Police Communications and Actions.** These records document calls for emergency assistance and/or recordings of radio communications and/or police activities.  
Disposition: Temporary Record. Retain recorded information until final disposition of all cases for which it provides evidence.

**5.27 Investigation Files.** These records document investigations by the department.

- a. Records of Felonies  
Disposition: Temporary Record. Retain 25 years after final disposition of the case.
- b. Records of Misdemeanors  
Disposition: Temporary Record. Retain 10 years after final disposition of the case.

**5.28 Consent to Search Forms.** These records document the consent by subject to a police search.  
Disposition: Temporary Record. Retain 5 years.

**5.29 Abandoned Vehicle Stickers.** These records are used to track how long a vehicle has been abandoned.  
Disposition: Temporary Record. Retain 7 days.

**5.30 Wrecker Logs.** These records document the use of wrecker services.  
Disposition: Temporary Record. Retain 3 years.

**5.31 Owner's Requests for Wrecker.** These records document the request by a vehicle's owner for a wrecker.  
Disposition: Temporary Record. Retain 3 years.

**5.32 Wrecker and Wrecker Driver Information Sheets.** These records provide information on the wrecker services used by the police.  
Disposition: Temporary Record. Retain for useful life.

**5.33 Alcohol Breath-testing Instrument Inspection Sheets.** These records document the inspection of alcohol-breathing instruments.  
Disposition: Temporary Record. Retain until disposition of alcohol breath-testing instrument.

**5.34 Cross Reference Records.** These records provide a cross reference or summary of the incidents or offenses involving a single individual and contain personal information and date and type of incident/offense.

Disposition: Temporary Record. Retain until no longer useful.

**5.35 Dispatch Records.** These records document the dispatch of campus police officers to investigate disturbances or possible crimes.

Disposition: Temporary Record. Retain 3 years.

## **Conducting Research**

**6.01 RESEARCH PROJECT RECORDS.** These records are created over the course of a research project and document procedures, steps taken, and results. For projects associated with grants, see “Grant Records” under “Administering Internal Operations: Managing Finances.”

a. **FINAL REPORTS AND PUBLICATIONS**

Disposition: PERMANENT RECORD.

b. **Research Data/Findings**

Disposition: Temporary Record. Retain until completion of final report. Prior to disposition, check with staff members of the Office of Research, University Legal Section, and University Archives for possible extended retention. Examples of records requiring a longer retention are those associated with patents.

For projects associated with grants, see “Grant Records” under “Administering Internal Operations: Managing Finances.”

c. **Other records**

Disposition: Temporary Record. Retain until completion of final report.

**6.02 Records of Research Presentations.** These records document presentations of research findings.

Disposition: Temporary Record. Retain 3 years, unless desired by archives.

**6.03 RESEARCH POLICIES.** These records document the policies of a university regarding its research at a given time.

Disposition: PERMANENT RECORD.

**6.04 Research Agreements.** These records document agreements regarding research projects.

Disposition: Temporary Record. Retain 6 years after expiration of agreement.

**6.05 Abstracts of Research Publications.** These records document publication abstracts.

Disposition: Temporary Record. Retain 5 years.

**6.06 Sabbatical Files.** These records document faculty proposals and reports related to sabbatical leave.

Disposition: Temporary Record. Retain until completion of annual review.

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

**7.01 BOARD OF TRUSTEES RECORDS.** These records may include meeting agendas, minutes, reports, and proposals, as well as documentation of the award of honorary degrees and citations.

Disposition: PERMANENT RECORD.

**7.02 RECORDS OF UNIVERSITY-WIDE STANDING COMMITTEES.** These records are created by university-wide standing committees and may include minutes and recommendations.

Disposition: PERMANENT RECORD.

**7.03 Records of Other Committees.** These records are created by committees other than university-wide standing committees.

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**7.04 Recordings of Meetings of Board of Trustees and Standing and Ad Hoc Committees.**

These records are created during meetings to assist in the creation of minutes.

Disposition: Temporary Record. Retain until the official minutes are approved at the next commission meeting.

**7.05 Minutes and Recordings of Meetings (Not including Board of Trustees and Standing and Ad Hoc Committees).** These records are created to document decisions reached at a meeting.

Disposition: Temporary Record. Retain for useful life.

**7.06 PRESIDENT'S/CHANCELLOR'S/VICE PRESIDENT'S/ ATHLETIC DIRECTOR'S FILES.** These records, which do not include routine correspondence, document the policies of the university. These files may, however, include administrative correspondence.

Disposition: PERMANENT RECORD.

**7.07 POLICIES AND FACULTY HANDBOOKS.** Document university guidelines and policies.

Disposition: PERMANENT RECORD.

**7.08 ACCREDITATION RECORDS** (Assessment/Self-Study Reports). These records document accreditation reviews by accrediting agencies.

- a. FINAL ASSESSMENT/SELF-STUDY REPORTS AND RESPONSES

Disposition: PERMANENT RECORD.

b. Other records

Disposition: Temporary Record. Retain until completion of next accreditation review.

**7.09 ANNUAL REPORTS** (Includes university, school/college, and unit reports). These records document activities by the university and by each unit.

Disposition: PERMANENT RECORD.

**7.10 PUBLICATIONS AND PUBLICITY MATERIALS.** These records include publications concerning the university and its work and are issued for distribution to the public. Publicity materials document university activities and may include newsletters, programs, speeches, photographs, contact prints, negatives, enlargements from negatives, audio and video tapes, and transparencies. Note: for each item there should be an identification that includes subject, the occasion, the place, and the date.

Disposition: Temporary Record. Retain 1 copy permanently.

**7.11 Trademarks Licensing Records and Samples.** This series documents the legal authority for non-system agencies to use the logos and other symbols constituting the registered trademarks of the institution. The records consist of folders for each vendor or individual seeking legal use of institutional trademarks for any reason. This series may include but is not limited to: application; sample submitted as part of the application process; names and addresses of approved licensees; their annual gross dollar sales of institutionally trademarked items; invoices showing royalties paid to the institution for use of the trademarks; licensing agreements; samples of the requesting licensees' art work; and related documentation and correspondence.

a. Trademarks Licensing Records and Samples Approved.

Disposition: Temporary Record. Retain 6 years after expiration of licensing agreement.

b. Trademarks Licensing Records and Samples Denied

Disposition: Temporary Record. Retain 1 year.

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

Disposition: PERMANENT RECORD.

The university may maintain a website or participate in social media sites. The university is responsible for capturing and preserving the university website as often as significant changes are made.

**7.13 Administrative Reference Files/Working Papers/Preliminary Reports and Data/Informal Surveys.** These records are created to assist in the completion of projects and/or reference and are usually only needed for a short period of time.

Disposition: Temporary Record. Retain for useful life.

**7.14 Telephone Logs/Calendars.** These records are used to document contacts and scheduling.

Disposition: Temporary Record. Retain for useful life.

**7.15 Records documenting legal cases.** These records document legal cases involving the university.

Disposition: Temporary Record. Retain 6 years after final settlement. Prior to disposition, check with the university archives for possible extended retention.

**7.16 University Grievance Files.** These records document grievances initiated by faculty, staff, and students and may contain grievance committee meeting minutes.

Disposition: Temporary Record. Retain for 3 years after action taken on case and settlement of all claims due.

**7.17 Records of Non-Academic Committees.** These records are created to document meetings and actions of university committees.

Disposition: Temporary Record. Retain 3 years.

**7.18 Routine Correspondence (includes requests for information).** These records are correspondence regarding routine matters.

Disposition: Temporary Record. Retain 3 years.

**7.19 Mailing Lists.** These records are created to enable distribution of information.

Disposition: Temporary Record. Retain for useful life.

**7.20 Records documenting the implementation of the university's approved RDA.** These records include copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**7.21 Copy of RDA.** The agency's copy of the RDA is its legal authority to dispose of its records according to the listed disposition requirements.

Disposition: Temporary Record. Retain 1 year after audit in the fiscal year in which the RDA is superseded.

**7.22 Information Systems Documentation.** These records include hardware/software documentation and warranties.

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

**7.23 Distance Education Student Record Protection Plans.** This agreement between a university and a designated repository may be required by other states for universities that have distance education programs to ensure that students would have access to their records in case the university closes.

Disposition: Temporary Record. Retain until superseded.



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

### **Development/Alumni Relations**

*Note: Document retention requirements refer only to material maintained by the University. Records retained by separate campus foundation or alumni associations are subject to foundation or association policies and procedures.*

**7.24 Class Gift Records.** These documents provide a record of gifts given to the institution by senior classes. These documents may include, but are not limited to, gift lists, gift histories, record of gift placement arrangements, and related documentation.

Disposition: PERMANENT RECORD.

**7.25 Donor (and prospective donor) information records.** Information on individuals, organizations, foundations, or corporations.

Disposition: Temporary Record. Retain for administrative use.

**7.26 RECORD OF GIFTS AND BEQUESTS TO THE UNIVERSITY.** Documents related to gifts and bequests including copy of will, copies of deeds and titles, maps and surveys (if applicable), and records of establishment of and use of monies generated by trust fund or endowment.

Disposition: PERMANENT RECORD.

## **Administering Internal Operations: Managing Finances**

**8.01 PERMANENT FINANCIAL DOCUMENTATION.** These records are financial documentation that is required by/of the university for permanent retention and include tuition and fee schedules, annual endowment fund reports, charts of accounts, general ledgers, annual financial statements, and annual payroll earnings records.

Disposition: PERMANENT RECORD.

**8.02 University Tax Records.** These records document the university's compliance with tax filing requirements.

Disposition: Temporary Record. Retain 1 year after audit or for period during which assessment and collection may be made under the applicable statute, whichever is longer.

**8.03 Cash Register Receipt Detail Tapes.** These records are used to verify the cash register receipts and include credit card transaction records.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.04 Personal Data of Credit Cardholders (name, card number, expiration date, etc.).**

Information on personal data of credit cardholders should be retained only for a short time period for reference if there is a dispute about the business transaction. Actual credit card transaction records are maintained under Cash Register Receipt Detail Tapes for longer retention to meet audit requirements.

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

**8.05 Budget Records.** These records document the preparation of a budget request package, including any approved modification requests, and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.

- a. UNIVERSITY BUDGET  
Disposition: PERMANENT RECORD.
- b. Other records  
Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.06 Requisition and Purchase Records.** These records document the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.07 Accounting Records.** These records may include, but are not limited to, records of original entry such as journals, registers, and subsidiary ledgers; records of funds deposited outside the state treasury, and electronic fund transfer files. These records document receipts and disbursement of funds by the university. For accounting records related to grants, see entry “Grant Records.”

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.08 Travel Records.** These records document requests for authorization from supervisors to travel on official business and include requests, approvals/denials, and other related materials, such as travel reimbursement forms and itineraries.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.09 Contractual records established for the purpose of services or personal property.**

These records document contracts entered into by the university.

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

**8.10 Records documenting the bid process (including requests for proposals and unsuccessful responses).** These records document the bid process, including requests for proposals and unsuccessful responses.

- a. Sealed Bids over \$15,000  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened. (Code of Alabama 1975, Section 41-16-24).
- b. Other Bids  
Disposition: Temporary Record. Retain for 10 years after the award of the contract, then destroy.

**8.11 Bond Documents.** This series consists of all documents related to bonds issued by the university. (Internal Revenue Code; USC 26-1.6001-1(e) and Section 148)

Disposition: Temporary Record. Retain 3 years after the final redemption date of the bonds.

**8.12 External and Internal Audit Records.** These records are created by university, state or independent auditors to document their audits.

- a. Final Report and Responses.

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

- b. Other Records.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.13 Grant Records-Externally Funded.** These records include documents created when university faculty and staff apply for grants for funding from entities outside the university. For research project files not associated with grants, see the “Conducting Research” section.

- a. Records of unfunded grant applications.

Disposition: Temporary Record. Retain 1 year.

- b. Records of funded grants. These records may include, but are not limited to, completed applications, agency agreed upon periodic reporting, and financial documentation.

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

- c. Records of funded grants (National Science Foundation).

Disposition: Temporary Record. Retain 10 years after close of case file.

- d. DATA MANAGEMENT PLAN. The data management plan, required by federally funded grants and potentially required by other sources, may include, but is not limited to, such information as to what data is collected, if the data is restricted or publicly available, what information will be provided to the funding institution, and how and where the information will be stored. The data management plan is crucial in providing background documentation of research and results.

Disposition: PERMANENT RECORD

- e. Research Data/Findings

Disposition: Retain as specified by the data management plan.

For research project files not associated with grants, see the “Conducting Research” section.

- f. FINAL REPORTS/PUBLICATIONS: Series includes grant final reports and

publications. This series also encompasses grant proposal files and committee minutes for successful grants from the National Science Foundation.  
Disposition: PERMANENT RECORD.

**8.14 Grant Records-Internally Funded.** Faculty and staff have opportunities to apply for competitively funded internal grants that may relate to research, teaching, outreach, administrative development, or service at the university, college, department, or center level within the university.

- a. Records of unfunded grant applications.  
Disposition: Temporary Record. Retain 1 year.
- b. Records of funded grants. These records may include, but are not limited to, completed applications, agency agreed upon periodic reporting, and financial documentation.  
Disposition: Temporary Record. Retain 1 year after completion of audit.
- c. Research Data/Findings  
Disposition: Temporary Record. Retain until completion of final report. Prior to disposition, check with staff members of the Office of Research, University Legal Section, and University Archives for possible extended retention. Examples of records requiring a longer retention are those associated with patents.

For research project files not associated with grants, see the “Conducting Research” section.

- d. Final Reports/Product:  
Disposition: Temporary Record. Retain 5 years.

**8.15 Fiscal Operations Reports.** These records document the institution's eligibility to disburse Title IV funds and consists of fiscal operations reports, agreements to participate, and related correspondence.  
Disposition: Temporary Record. Retain for 7 years.

**8.16 Unpaid Accounts Receivable.** These records document overdue accounts such as library fines, parking tickets, loan payments, or payments for services rendered and include past due accounts receivable, bad debt actions, and delinquent action reports.  
Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.17 Social Security Payment Files.** These records document the payments made by the university into the social security fund.  
Disposition: Temporary Record. Retain for 50 years after the fiscal year in which the transaction occurred.

**8.18 Social Security Reports and Deposits.** These records document the monthly report of

wages and social security contributions paid by the university to each employee.  
Disposition: Temporary Record. Retain for 7 years after the fiscal year in which the transaction occurred.

**8.19 Unemployment Compensation Benefit Files and Reports.** These records inform the university that former employees are eligible for unemployment benefits and when these employees receive compensation charged against the university's account. Also included are periodic reports and statements received from the State Department of Industrial Relations (DIR) advising the university of the status of its fund account and of any monies due to DIR and reports documenting the quarterly submission of payroll and statistical information to DIR.

Disposition: Temporary Record. Retain for 5 years after the end of the year in which the records were created.

**8.20 W-2 Listings.** These records document salaries paid and taxes withheld.

Disposition: Temporary Record. Retain for 5 years after the end of the tax year.

**8.21 Donation Files.** These records document the source and amounts of donations.

- a. Reports of individual donors

Disposition: Temporary Record. Retain 5 years after last donation.

- b. Financial information

Disposition: Temporary Record. Retain 1 year after completion of audit.

**8.22 Authorization/Allocation Letters.** These records document awards of federal financial aid to the university.

Disposition: Temporary Record. Retain 7 years.

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

**9.01 Job Recruitment Materials.** These records document the recruitment of employees by the university.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**9.02 Affirmative Action/Equal Employment Opportunity Case Files.** These records concern charges or complaints made against the university relating to violations of affirmative action or equal employment opportunity regulations.

- a. Compliance Reviews

Disposition: Temporary Record. Retain 25 years.

- b. Other Records

Disposition: Temporary Record. Retain for 5 years after resolution of charges and final disposition of the case.

**9.03 Affirmative Action Position Applicant Files.** These records are documentation of actions taken to follow affirmative action procedures for university openings.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**9.04 Equal Employment Opportunity Commission (EEOC) and Racial/Ethnic Records.**

These records include annual and other periodic reports and records provided to the federal and/or state government to ensure equal employment opportunities and to provide racial/ethnic statistical information.

a. Review Records

Disposition: Temporary Record. Retain 10 years.

b. Other records

Disposition: Temporary Record. Retain 5 years.

**9.05 Notices of Claim and Requests for Separation.** These records provide information to the State Department of Industrial Relations relating to unemployment compensation.

Disposition: Temporary Record. Retain 5 years.

**9.06 Application Materials.** These records document applications for employment.

a. Unsolicited resumes/applications

Disposition: Temporary Record. Retain for useful life.

b. Unqualified applications for open positions

Disposition: Temporary Record. Retain 2 years. (29 C.F.R. Pt. 1602)

c. Application materials for individuals considered for employment but not hired, including background checks

Disposition: Temporary Record. Retain 3 years.

d. Application materials for hired individuals

Disposition: Temporary Record. File with personnel file.

e. Background Checks

Disposition: Temporary Record. If hired, file with personnel file. If not hired, retain 3 years.

f. Employment Eligibility Verification Form

Disposition: Temporary Record. Retain 3 years.

**9.07 Position Classification Job Description Records.** These records document position classifications.

Disposition: Temporary Record. Retain 3 years after reclassification/elimination of the position.

**9.08 SEARCH COMMITTEE FILES.** These records are search files created during the process of advertising, interviewing, selecting and hiring an individual to fill a faculty vacancy within the university.

- a. PRESIDENT/CHANCELLOR SEARCH COMMITTEE FILES

Disposition: PERMANENT RECORD.

- b. Other records

Disposition: Temporary Record. Retain 3 years.

**9.09 Work-Study/Student Worker Records.** These records are maintained in individual departments and offices on work-study students and include time reports.

Disposition: Temporary Record. Retain for 3 years after last date of employment.

**9.10 Payroll Records.** These records document payroll and include pre-payroll reports and payroll check registers.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**9.11 Payroll Deduction Authorizations.** These records document authorization of payroll deductions.

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

**9.12 Payroll Deduction Records.** These records document payroll deductions for tax purposes and include Form 941.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**9.13 Employee Leave Records.** These records document employee hours worked, leave earned, leave taken, and leave donation.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**9.14 Personnel Files Master - Employee Work History.** These records document an employee's work history and is generally maintained as a case file (includes records of final leave status, faculty tenure and promotion letters, and faculty service reports).

- a. Medical Resident's File

Disposition: Temporary Record. Retain 75 years.

- b. Records of final leave status and documentation of salary and employment dates

Disposition: Temporary Record. Retain 25 years after separation of employee from the university.

- c. Faculty Tenure and Promotion Files (not including letter)

Disposition: Temporary Record. Retain until completion of formal action and appeal period.

d. Other (including faculty tenure and promotion letters)

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

**9.15 Personnel Files for Department/Unit.** These records are created by supervisors to document employee performance. They may be duplicated in the employee's work history file. Disposition: Temporary Record. Retain until separation of an employee from the university.

**9.16 Periodic Activity Reports.** These records are reports to document activities performed by staff.

Disposition: Temporary Record. Retain for useful life.

**9.17 Employee Benefits Plan Files (applications and correspondence).** These records document employee enrollment in benefits plans.

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

**9.18 Employee Administrative Hearing Files.** These records document employee administrative hearings.

Disposition: Temporary Record. Retain 25 years after separation of the employee from the university.

**9.19 Training and Professional Development Records.** These records document university provided training and professional development.

Disposition: Temporary Record. Retain 3 years.

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

**10.01 Capital Improvements Contract Records.** These records document contractual agreements for capital improvements.

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

**10.02 Property Inventory Records.** These records document the central property inventory of the university.

Disposition: Temporary Record. Retain 1 year after completion of audit.

**10.03 Receipts of Responsibility for Property.** These records document the individual responsible for property outside the university's immediate control.

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

**10.04 Real Property Leasing/Rental Records.** These records document the lease and rental of



property.

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

**10.05 Building Plans and Drawings.** These records document the physical structure of campus buildings.

Disposition: Temporary Record. Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

**10.06 Facility Maintenance and Upkeep Records.** These records document facility maintenance and upkeep activities.

- a. Records for expendable items

Disposition: Temporary Record. Retain 3 years.

- b. Records for capital items

Disposition: Temporary Record. Retain for life of building or item.

**10.07 Visitor/Service Personnel Log-In Sheets.** These records document visitors.

Disposition: Temporary Record. Retain 6 months.

**10.08 Identification Records.** These records document employee identification information for security personnel and/or facility access.

Disposition: Temporary Record. Retain 1 year.

**10.09 Weapons Registration Forms (ATF 5 and ATF 10) and Weapon Retirement Forms.**

These records document custody of weapons.

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

**10.10 Vehicle Records.** These records document the use, maintenance, ownership, insurance, and disposition of vehicles, including aircraft, owned by the university.

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.

**10.11 Vehicle Tag Records.** These records document application and receipt of tags for vehicles.

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.

**10.12 Fleet Activity Reports.** These records document activities of university-owned vehicles.

Disposition: Temporary Record. Retain 2 years.

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

## **Requirement**

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

## **Recommendations**

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

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the office should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the Agency and inspect records destruction documentation. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on May 24, 2017.

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Steve Murray, Chairman,  
State Records Commission

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Date

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

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University President

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Date

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