

Public Universities of Alabama

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
August 3, 2005**

Table of Contents

Functional and Organizational Analysis of Public Universities of Alabama	1-1
Sources of Information	1-1
Historical Context	1-1
Agency Function and Subfunctions	1-5
Admitting/Expelling Students	1-5
Conveying Knowledge	1-5
Advising and Assisting Students	1-5
Enforcing Laws	1-6
Evaluating Performance and Conferring Credentials	1-6
Conducting Research	1-6
Administering Internal Operations	1-6
Records Appraisal of Public Universities of Alabama	2-1
Temporary Records	2-1
Permanent Records	2-1
Permanent Records List	2-5
Public Universities of Alabama Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Admitting/Expelling Students	3-2
Conveying Knowledge	3-3
Advising and Assisting Students	3-4
Enforcing Laws	3-8
Evaluating Performance and Conferring Credentials	3-11
Conducting Research	3-12
Administering Internal Operations	3-13
Requirement and Recommendations for Implementing the Records Disposition Authority	3-21

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

Government Records Division, State Agency Files (1985-ongoing)

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

Government Records 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

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 (see RDA for the commission) has the statutory responsibility for the overall statewide 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 at public two-year and four-year institutions, 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 of public two-year and four-year institutions. 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.

Currently, there are fourteen public universities as follows: Alabama A&M University, Alabama 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, University of West Alabama, and Athens State University (Athens State is covered by the College System RDA instead of the University RDA).

Alabama A&M University

In 1873 the state legislature established the Huntsville Normal School, which opened in May 1875. The school's first principal and president was William Hooper Council, an ex-slave. Under the second Morrill Act of 1890, the school became a land grant institution and moved to its present location in 1891. The institution changed its name to the State Agriculture and Mechanical Institution for Negroes in 1919, to Alabama A&M College in 1949, and to Alabama A&M University in 1969. The campus of Alabama A&M University is also the site of the State Black Archives Research Center, which the state legislature established in 1987 as a repository for documents and artifacts of the African-American experience from its earliest days to the present.

Alabama State University

In 1867, African-American leaders founded Lincoln Normal School in Marion. In 1870, the state of Alabama began its support of the institution when the legislature appropriated \$486 for the school's use. In 1873, the Alabama Legislature authorized "a State Normal School and University for the Education of the Colored Teachers and Students." In 1874, Lincoln Normal School in Marion was reorganized as America's first state-supported educational institution for blacks. The school continued at Marion for the next 13 years. Because of racial tensions in Marion, the school was moved to Montgomery in 1887, changed its name to Alabama Colored Peoples University, and opened up at Beulah Baptist Church. In 1889, the name was changed to State Normal School for Colored Students. In 1920, the first instruction at postsecondary level was offered, and the institution became a junior college. The school became State Teachers College in 1929, Alabama State College for Negroes in 1948, and Alabama State College in 1954. In 1969, the State Board of Education, then the governing board of the institution, approved a name change, and the institution became Alabama State University.

Auburn University

Auburn University was chartered on Feb. 1, 1856, as the East Alabama Male College and formally opened its doors on Oct. 1, 1859. Two months later it came under sponsorship of the Methodist Church. Classes were suspended in 1861 for the duration of the Civil War. The college reopened in 1866 and in 1872 became a state institution. It was the first land-grant college in the South to be created separate from a state university. With federal funding from the Morrill Act of 1862, the Alabama Legislature accepted the institution from the Methodist Church and changed its name to the Agricultural and Mechanical College of Alabama. In 1899, the Legislature renamed the college the Alabama Polytechnic Institute. Known since its earliest days as Auburn, rather than A&M or API, the institution's name was officially changed in 1960 to Auburn University. The satellite campus of **Auburn University at Montgomery** opened its doors to students in 1969.

Jacksonville State University

Jacksonville State Normal School was created by the legislature in 1883 and acquired the facilities of Calhoun College. The school became Jacksonville State Teachers College in 1930. In 1957, the

name was changed to Jacksonville State College, and in 1966, the State Board of Education elevated the college to university status. The legislature established an independent board for the school in 1967. The university has off-campus centers in Gadsden, Anniston, and Oxford.

Troy University

The Troy State Normal School was established February 26, 1887, by an act of the Alabama Legislature. The Alabama Legislature changed the school's name to Troy State Teachers College in 1929, to Troy State College in 1957, to Troy State University in 1967, and **Troy University** in 2005. Branch campuses are located in Phenix City, Dothan, and Montgomery.

Degree programs are offered through University College at 50 military institutions and metropolitan sites in 12 states and five nations.

In the 1950s, in response to the needs of the military at Fort Rucker, Troy State College began offering courses at the post, and, in 1961, a resident center was established at Fort Rucker. In 1967, this branch was named Troy State University at Fort Rucker and was approved to offer degree completion studies at both the baccalaureate and master's degree levels in 1970. By the mid 1970s, Troy State University at Fort Rucker had outgrown its facilities. Wallace State Community College in Dothan offered the use of its classrooms, and in 1974, Troy State University began offering courses in Dothan. The name of the institution was changed to Troy State University at Dothan/Ft. Rucker in 1975, to Troy State University at Dothan in 1986, and to Troy State University Dothan in 1996. In 2005, the name of the institution was changed to Troy University, Dothan Campus.

Troy State University first began offering academic programs in Montgomery in 1957, at Maxwell Air Force Base in 1965, and at Gunter Air Force Base. In the fall of 1966, Troy State University Montgomery was designated as a branch campus and was authorized to offer degree programs at both the undergraduate and graduate levels. In 2005, the name of the institution was changed to Troy University, Montgomery Campus.

University of Alabama System

The University of Alabama system consists of three universities under the control of one board of trustees. In June 1969, the campuses were given autonomy within the framework of the University of Alabama System, each having its own administrative structure with a president as the chief executive officer. A chancellor was appointed in June 1976 as chief administrative officer of the system.

The University of Alabama first opened in 1831. During the first half of the 20th century, in addition to its regular educational programs at the Tuscaloosa campus, the university began to offer additional educational opportunities to residents in urban communities throughout Alabama. Extension centers, offering both day and evening classes, were established in Birmingham, Huntsville, Montgomery, Mobile, Dothan, and Gadsden. The Birmingham and Huntsville centers evolved into satellite campuses. **The University of Alabama in Huntsville** began as a four-year school in 1964, and, in September 1966, the board of trustees designated all university operations

in Birmingham as the University of Alabama in Birmingham (UAB), and in 1984, changed the name to the **University of Alabama at Birmingham**.

University of Montevallo

The Alabama Girls Industrial School was established in 1893 and opened in Montevallo on October 12, 1896. It later became the Alabama Girls Technical Institute and then Alabama College for Women. The college began allowing male students and became the University of Montevallo in 1956. It is Alabama's only public, liberal arts university.

University of North Alabama

The University of North Alabama traces its origin to LaGrange College, which was established in 1830 at LaGrange, Alabama, by the Methodist Church on a college charter issued by the new State of Alabama. In January 1855, the president of the school, seeking to reestablish the institution on firmer footing, led most of the faculty and student body to temporary facilities in Florence, and for a few months, the name LaGrange College was borne by two schools only a few miles apart. Following a brief and unsuccessful attempt to continue as a literary institution, the original LaGrange College was operating as LaGrange Military Academy when it was destroyed by federal soldiers in 1863. The school at Florence was required to secure a new charter, and in 1855, was incorporated as Florence Wesleyan University. Following the Civil War, the Methodist Church found itself unable to make adequate provisions for continuing the school, and the grounds and buildings of Wesleyan University were donated to the state on the condition that the state sustain the school through annual appropriations. Accordingly, in 1872, the school was established as a State Normal School, the first of its kind in the South. The admission of women students two years later placed the school among the first coeducational institutions in the United States. In 1929, the institution became a state teachers college with a four-year curriculum in elementary education. In 1957, the legislature changed the name of the institution to Florence State College and, in 1967, removed the institution from the jurisdiction of the State Board of Education and provided for separate control under a board of trustees. The new board changed the name to Florence State University in 1968 and to the University of North Alabama in 1974.

University of South Alabama

The University of South Alabama was created by act of the Alabama State Legislature in May, 1963. The university has campuses in Mobile and Baldwin counties.

University of West Alabama

The University of West Alabama was chartered in 1835 as a church-related female academy and remained primarily a school for girls until the early part of the 20th century. In 1883, the institution, under the direction of Julia Tutwiler, obtained its first state appropriation and became Livingston Female Academy. The academy continued as a private institution with some state support until 1907, when the state assumed active control. It remained under its own board of trustees until the Legislature created the State Board of Trustees for all normal schools in 1911. In 1919, the board was abolished, and all state normal schools were placed under the supervision of the State Board of Education. In 1929, the school became State Teachers College, Livingston, Alabama, with the

authority to confer the degree of Bachelor of Science. Although the institution had begun accepting male students soon after 1900, the student body remained predominantly female through the 1950's. The name was again changed by the legislature to Livingston State College in 1957, to Livingston University in 1967 (with its own Board of Trustees), and to The University of West Alabama 1995.

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 utilize 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.
- **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 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.** The police department of each university is responsible for executing laws and keeping the peace. The majority of the department's activities relating to enforcing laws involves patrolling the roads of the campus. Officers write warnings or citations for violations of traffic laws and arrest serious violators when applicable. The department's personnel also coordinate all protection details for school officials and assist in directing traffic at some large events.

- **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 comprehensive exams and/or completion of a thesis or dissertation and its defense.

- **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. 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

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. (RDA page 3-2)
- **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. (RDA page 3-8)
- **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 twenty-five years after separation of an employee from the university. Medical resident files are kept seventy-five years to document practice at the university's hospital. (RDA page 3-19)

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

Admitting/Expelling Students:

- **Recruitment Materials and Records (Reports and Procedures).** These records are summary documentation of the recruitment process and are necessary to document the activities of this subfunction. (RDA page 3-2)
- **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. (RDA page 3-3)

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. (RDA page 3-3)
- **Library/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. (RDA page 3-3)

Advising and Assisting Students:

- **Student Publications (university-wide).** University-wide student publications, which may include newspapers, yearbooks, and magazines, document the university and its students. The publications may be useful in examining student life and how much a university focused on promoting student life. (RDA page 3-6)
- **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 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 the actions of the university. (RDA page 3-7)
- **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 record of the university. (RDA 3-7)

Evaluating Performance and Conferring Credentials:

- **Grade Sheets Submitted by Instructors/Class Lists.** 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). (RDA page 3-11)

- **Grade Statistics.** These reports are created to provide statistical information on student grade point or quality point averages and are necessary to document grade trends. (RDA page 3-11)
- **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. (RDA page 3-11)
- **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. (RDA page 3-11)

Conducting Research:

- **Research Project Records.** These records are created over the course of a research project and document procedures, steps taken, and results. The records may be included with grant records and include lab notebooks. The records are necessary to document the research process as well as its results. (RDA page 3-12)
- **Research Policies.** These records document the policies of a university and/or department regarding its research at a given time. They document what policies were in place as well as the evolution of research policies at a university. (RDA page 3-12)

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. (RDA page 3-13)
- **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. (RDA page 3-13)
- **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. (RDA page 3-13)

- **Policies and Faculty Handbooks.** These records, which include staff manuals, document the guidelines, policies, and procedures of the universities. (RDA page 3-13)
- **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. (RDA page 3-13)
- **Annual Reports.** The annual reports are summary documentation of the activities of the university and include enrollment statistical reports. (RDA page 3-13)
- **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. (RDA page 3-15)
- **University Budget.** The university budget is the official final budget for the university for the year. It is necessary to document the budget the university worked under for a given year. (RDA page 3-15)
- **External and Internal Audit Records (final report and responses).** These records are created by university, state or independent auditors to document their audits. They are necessary to document the results of the audit and the university's response. (RDA page 3-16)
- **Grant Records (final reports).** 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. (RDA page 3-16)
- **Search Committee Files (president/chancellor).** These records document the university's process of searching for and selecting candidates for president/chancellor. (RDA page 3-18)

Permanent Records List Public Universities of Alabama

Admitting/Expelling Students:

- 1.01 Recruitment Materials and Records (reports and procedures)
- 1.05 Student Handbooks

Conveying Knowledge:

- 2.01 Course and Curriculum Records (records of approved classes)
- 2.07 Library/Archives Records (accession/deaccession records, collection catalog information, and control files for manuscripts and artifacts)

Providing Financial Assistance, Housing, Care, Activities, and Guidance:

- 3.16 Student Publications (university-wide)
- 3.25 Athletics Case Files/Infractions Files (files of substantiated allegations)
- 3.27 Official Squad Lists

Evaluating Performance and Conferring Credentials:

- 5.02 Grade Sheets Submitted by Instructors/Class Lists
- 5.03 Grade Statistics
- 5.04 Graduation Lists
- 5.05 Individual Student Academic Records (not including continuing education records)

Conducting Research

- 6.01 Research Project Records (final reports and publications)
- 6.03 Research Policies

Administering Internal Operations:

- 7.01 Board of Trustees Records
- 7.02 Records of University-wide Standing Committees
- 7.06 President's/Chancellor's/Vice President's/Athletic Director's Files
- 7.07 Policies and Faculty Handbooks
- 7.08 Accreditation Records (final assessment/self-study reports and responses)
- 7.09 Annual Reports (includes enrollment statistical reports)
- 7.21 Permanent Financial Documentation (tuition and fee schedules, annual endowment fund reports, charts of accounts, general ledgers, annual financial statements, and

- annual payroll earnings records)
- 7.24 University Budget
- 7.30 External and Internal Audit Records (final report and responses)
- 7.31 Grant Records (final grant reports)
- 7.47 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 Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the public universities of Alabama. The RDA lists records created and maintained by the public universities of Alabama 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 public universities of Alabama 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 university records manager, the university archivist, or 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 records created by the public universities of Alabama. 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 records-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 university 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. They may be disposed of without documentation of destruction.

- Any record created prior to 1900 shall be regarded as permanent unless there is a specific action by the State Records Commission to authorize its destruction.

Records Disposition Requirements

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

■ 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.

REPORTS AND PROCEDURES: PERMANENT.

Other Records: Retain for useful life.

Prior to disposition, check with the university archives for possible extended retention.

- 1.02 Students' 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.

Letters of Recommendation for applicants who enroll: Retain until admitted.

Accepted Applicants Who Do Not Enroll: Retain 1 year after application term.

Applicants Not Accepted: Retain 1 year after application term.

Residency Reclassification Records: 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.

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, be/not be released. Also includes requests to forward student academic transcripts to other agencies, educational institutions or to the student.

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.

PERMANENT.

■ **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.

RECORDS OF APPROVED CLASSES: PERMANENT.

Records of classes not approved: Retain for useful life.

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

Retain for life of appeals process.

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

Retain for life of appeals process.

- 2.04 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.

Retain for life of appeals process.

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

Retain for life of appeals process.

- 2.06 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.

Retain 3 years.

- 2.07 LIBRARY/ARCHIVES RECORDS.** These are records created in the management of the library and/or archives.

ACCESSION/DEACCESSION RECORDS, COLLECTION CATALOG INFORMATION, AND CONTROL FILES FOR MANUSCRIPTS AND ARTIFACTS: PERMANENT.

Accession/deaccession Records, Collection Catalog Information, and Control Files for Books: Retain for useful life.

Registration and Circulation Records, Photocopy Order/Receipts, Interlibrary Loan Files, and Reference Retrieval Files: Retain 3 years after end of the fiscal year in which the records were created or in which disputes were settled, whichever is longer.

Control Worksheets/Logs (Archives Manuscripts Control [AMC], Book Cataloging Forms, and Inventory Control Records): Retain 1 year after data verification.

Condition Reports of Non-permanent Records, Finding Aides, and Holdings Inventory Records: Retain until superseded or obsolete.

Recording Hygrothermograph Charts: Retain 5 years.

- 2.08 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.

Filled out evaluations: Retain until completion of summary report or 3 years if no report is created.

Summary Reports: Retain 3 years.

■ Advising and Assisting Students

Guidance

- 3.01 Academic Counseling Records.** These records document individual students assisted by the university academic counseling service.

Retain for 5 years after termination of enrollment.

- 3.02 Student's Advisor Records.** These records document academic advisors' performance of their duties with their assigned students.

Retain for 5 years after termination of enrollment.

Financial Assistance

- 3.03 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.

Retain 3 years after end of the fiscal year in which the records are created.

- 3.04 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.

Records of Awarded Scholarships: Retain 6 years after receipt.

Records of Scholarships Not Awarded: Retain 3 years.

- 3.05 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.

Retain for 8 years from date of certification of eligibility.

- 3.06 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.

Retain for 3 years after termination of enrollment.

- 3.07 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.

Retain for 5 years after date of certification of application.

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

Retain 3 years after termination of enrollment.

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

Retain 3 years after submission of the Fiscal Operations Report for that award year.

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

Retain until final disposition of the loan.

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

Retain for 5 years after expiration of scholarship.

- 3.12 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.

Retain for 5 years after the award year.

Student Housing

- 3.13 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.
Retain until student account is closed.

Medical/Psychological Care

- 3.14 Patient Records.** These records document medical care provided at the institution's health center.
Retain 10 years after last visit.

Student Activities

- 3.15 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.

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

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

UNIVERSITY-WIDE: PERMANENT.

Non-university-wide: Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.

- 3.17 University/Student Newspaper and Magazine Files.** These records document the day-to-day operation of the school newspaper and/or magazine, but do not include financial records.
Retain 3 years.

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

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

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

Retain 3 years.

- 3.20 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 ten years.

Retain 10 years.

Athletic Activities

- 3.21 Drug Dispensing Records.** These records document the daily dispensing of drugs by athletic department staff.
Retain 6 years.
- 3.22 Game Films.** Consists of university produced films of university sporting events.
Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.
- 3.23 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.
- Medical records: Retain 10 years.
- Non-medical records: Retain 5 years.
- 3.24 Letters of Intent.** These records document student athletes' intentions of attending a specific university.
Retain 6 years or until resolution of all official actions, whichever is longer.
- 3.25 ATHLETICS CASE FILES/INFRACTIONS FILES.** These records document the investigation of suspected/confirmed infractions of rules and regulations
- FILES OF SUBSTANTIATED ALLEGATIONS: PERMANENT.
- Files of unsubstantiated allegations: Retain 6 years after closure.
- 3.26 Injury Surveillance Forms.** These records provide information on the frequency and types of injuries in each sport.
Retain 1 year after end of the year in which the record was created.
- 3.27 OFFICIAL SQUAD LISTS** (not intramural). These records document the members of each sports squad. PERMANENT.
- 3.28 Team Scouting Reports.** These records document opposing teams' strengths and weaknesses prior to a sporting event.
Retain for useful life.
- 3.29 Drug Test Results.** These records document the results of drug tests.
Retain 6 years.

■ **Enforcing Laws**

- 4.01 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.
Retain 3 years.
- 4.02 Alcohol Influence Reports.** These records document incidents of driving under the influence of alcohol.
Retain 85 years.
- 4.03 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.
Retain 5 years.
- 4.04 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.
Retain 3 years after final disposition.
- 4.05 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.
Retain until final disposition of the case.
- 4.06 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.
Retain 5 years.
- 4.07 Daily Assist Tickets.** These records document assistance provided by officers.
Retain 5 years.
- 4.08 Uniform Arrest Reports.** These records document the date and time of arrest, arrestee's name, personal information, location of arrest, and cause of arrested.
Retain 2 years after disposition of case.
- 4.09 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.
Retain 5 years.
- 4.10 Felony Awareness Patrol Reports.** These are reports made by felony awareness patrols.
Retain 5 years.

- 4.11 Accident Logs.** These are logs of accidents responded to by university police.
Retain 3 years.
- 4.12 Records of Fatalities, Stolen Vehicles, and Wanted Persons.** These are records of police responses to incidents involving fatalities, stolen vehicles, and wanted persons.
Retain 3 years.
- 4.13 Traffic Homicide Records.** These are records of traffic accidents resulting in death.
Retain 5 years after disposition of case.
- 4.14 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.
- Records of Felonies: Retain 25 years after final disposition of the case.
- Records of Misdemeanors: Retain 10 years after final disposition of the case.
- 4.15 Violation Tally Reports and Summaries.** These records are summary reports of violations.
Retain 3 years.
- 4.16 Daily Accident and Activity Logs and Reports.** These records are created to document the daily activities of officers.
Retain 2 years.
- 4.17 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.
Retain 1 year.
- 4.18 Alabama Criminal Justice Information System Printouts.** These records are printouts of information from the CJIS system.
Retain 1 month.
- 4.19 Use of Force Reports.** These records document use of force by officers.
Retain 5 years.
- 4.20 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.
Retain 1 year.
- 4.21 Confiscated/Abandoned/Stored Vehicle Records.** These records document activities related to the confiscation and removal of abandoned vehicles.
Retain 3 years.

- 4.22 Motorist Assistance Records.** These records, which include waivers, document assistance of motorists by officers.
Retain 1 year.
- 4.23 Radar Logs.** These records document check-out, use, and/or repair/calibration of radar equipment.
Retain 5 years.
- 4.24 Bomb Threat Records.** These records document bomb threats received by the university.
Retain 3 years.
- 4.25 Driving and Criminal History Communication Logs.** These records document communications regarding driving and criminal histories.
Retain 3 years.
- 4.26 Recordings of Police Communications and Actions.** These records document calls for emergency assistance and/or recordings of radio communications and/or police activities.
Retain recorded information until final disposition of all cases for which it provides evidence.
- 4.27 Investigation Files.** These records document investigations by the department.
- Records of Felonies: Retain 25 years after final disposition of the case.
- Records of Misdemeanors: Retain 10 years after final disposition of the case.
- 4.28 Consent to Search Forms.** These records document the consent by subject to a police search.
Retain 5 years.
- 4.29 Abandoned Vehicle Stickers.** These records are used to track how long a vehicle has been abandoned.
Retain 7 days.
- 4.30 Wrecker Logs.** These records document the use of wrecker services.
Retain 3 years.
- 4.31 Owner's Requests For Wrecker.** These records document the request by a vehicle's owner for a wrecker.
Retain 3 years.
- 4.32 Wrecker and Wrecker Driver Information Sheets.** These records provide information on the wrecker services utilized by the police.
Retain for useful life.
- 4.33 Alcohol Breath-testing Instrument Inspection Sheets.** These records document the inspection of alcohol-breathing instruments.
Retain until disposition of alcohol breath-testing instrument.

4.34 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.

Retain until no longer useful.

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

Retain 3 years.

■ **Evaluating Performance and Conferring Credentials.**

5.01 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.

Retain 5 years.

5.02 GRADE SHEETS SUBMITTED BY INSTRUCTORS/CLASS LISTS. These records document the grades given by an instructor to the members of a particular class.

PERMANENT.

5.03 GRADE STATISTICS. These reports are created to provide statistical information on student grade point or quality point averages.

PERMANENT.

5.04 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.

PERMANENT.

5.05 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.

Continuing Education Records not required to produce a transcript: Retain for 5 years after date of last attendance.

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

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

Retain 5 years.

5.07 Changes of Course (Drop/add). These records document the student's change of courses.
Retain 1 year.

5.08 Comprehensive Examination Records. These records document a student's grades on comprehensive exams.
Retain 5 years.

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

Individual Student Transfer Evaluations: File with individual student academic records.

Other: Retain for useful life.

5.10 Graduation Authorizations. These records document graduation authorizations to verify degree requirements.
Retain 5 years after date of student's last attendance.

5.11 Graduation Applications. These records document the application for graduation.
Retain 1 year after date of student's last attendance.

■ **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. These records include Lab Notebooks.

FINAL REPORTS AND PUBLICATIONS: PERMANENT

Lab Notebooks: Retain until completion of final report. Prior to disposition, check with staff members of the university legal section and archives for possible extended retention. Examples of records requiring a longer retention are those associated with patents.

Other records: Retain until completion of final report.

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

6.04 Research Agreements. These records document agreements regarding research projects.
Retain 6 years after expiration of agreement.

- 6.05 Abstracts of Research Publications.** These records document publication abstracts.
Retain 5 years.

■ **Administering Internal Operations**

Managing the University:

- 7.01 BOARD OF TRUSTEES RECORDS.** These records may include meeting agenda, minutes, reports, and proposals, as well as documentation of the award of honorary degrees and citations.
PERMANENT.
- 7.02 RECORDS OF UNIVERSITY- WIDE STANDING COMMITTEES.** These records are created by university-wide standing committees and may include minutes and recommendations. PERMANENT.
- 7.03 Records of Other Committees.** These records are created by committees other than university-wide standing committees.
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.
Retain until the official minutes are adopted and signed.
- 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.
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.
PERMANENT.
- 7.07 POLICIES AND FACULTY HANDBOOKS.** Document university guidelines, policies, and procedures.
PERMANENT.
- 7.08 ACCREDITATION RECORDS (Assessment/Self-Study Reports).** These records document accreditation reviews by accrediting agencies.

FINAL ASSESSMENT/SELF-STUDY REPORTS AND RESPONSES:
PERMANENT.

Other records: 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.

PERMANENT.

- 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.
Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.
- 7.11 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.
Retain for useful life.
- 7.12 Telephone Logs/Calendars.** These records are used to document contacts and scheduling.
Retain for useful life.
- 7.13 Records documenting legal cases.** These records document legal cases involving the university.
Retain 6 years after final settlement. Prior to disposition, check with the university archives for possible extended retention.
- 7.14 University Grievance Files.** These records document grievances initiated by faculty, staff, and students and may contain grievance committee meeting minutes.
Retain for 3 years after action taken on case and settlement of all claims due.
- 7.15 Records of Non-Academic Committees.** These records are created to document meetings and actions of university committees.
Retain 3 years.
- 7.16 Routine Correspondence (includes requests for information).** These records are correspondence regarding routine matters.

Routine correspondence that relates to finances: Retain 3 years after end of the fiscal year in which the records were created.

Routine correspondence that does not relate to finances: Retain for useful life.
- 7.17 Mailing Lists.** These records are created to enable distribution of information.
Retain for useful life.
- 7.18 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.
Retain 3 years after end of the fiscal year in which the records were created.

7.19 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.

Retain 3 years after end of the fiscal year in which the RDA is superseded.

7.20 Information Systems Documentation. These records include hardware/software manuals and diskettes, and warranties.

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

7.21 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.

PERMANENT.

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

Retain 3 years after end of the year in which the records were created or for period during which assessment and collection may be made under the applicable statute, whichever is longer.

7.23 Cash Register Receipt Detail Tapes. These records are used to verify the cash register receipts.

Retain until reconciliation of cash register receipts.

7.24 Budget Records. These records document the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.

UNIVERSITY BUDGET: PERMANENT.

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

7.25 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.

Retain 3 years after end of the fiscal year in which the records were created.

7.26 Accounting Records. These records are records of original entry such as journals, registers, and subsidiary ledgers; and records of funds deposited outside the state treasury. These records document receipts and disbursement of funds by the university.

Retain 3 years after end of the fiscal year in which the records were created.

7.27 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.

Retain 3 years after end of the fiscal year in which the records were created.

- 7.28 Contractual records established for the purpose of services or personal property.** These records document contracts entered into by the university.

Retain 6 years after expiration of the contract.

- 7.29 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.

Sealed Bids: Retain in office. (Code of Alabama 1975, Section 41-16-24).

Other Bids: Retain for 10 years after the award of the contract, then destroy.

- 7.30 EXTERNAL AND INTERNAL AUDIT RECORDS.** These records are created by university, state or independent auditors to document their audits.

FINAL REPORT AND RESPONSES: PERMANENT.

Other Records: Retain 3 years after the end of the fiscal year in which the records were created.

- 7.31 GRANT RECORDS.** These records include applications and proposals by faculty and staff for grants, and supporting documentation and reports.

FINAL REPORTS: PERMANENT.

Records of funded grants: Retain 6 years after submission of final report.

Records of unfunded grant applications: Retain 1 year.

- 7.32 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.

Retain for 7 years.

- 7.33 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.

Retain for 3 years after end of the fiscal year of settlement of unpaid account.

- 7.34 Social Security Payment Files.** These records document the payments made by the university into the social security fund.

Retain for 50 years after the fiscal year in which the transaction occurred.

- 7.35 Social Security Reports and Deposits.** These records document the monthly report of wages and social security contributions paid by the university to each employee.

Retain for 7 years after the fiscal year in which the transaction occurred.

- 7.36 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.

Retain for 5 years after the end of the year in which the records were created.

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

Retain for 5 years after the end of the tax year.

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

Reports of individual donors: Retain 5 years after last donation.

Financial information: Retain for 3 years after the fiscal year in which the transaction occurred.

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

Retain 7 years.

Managing Human Resources:

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

Retain 3 years after end of the fiscal year in which the records were created.

- 7.41 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.

Compliance Reviews: Retain 25 years.

Other Records: Retain for 5 years after resolution of charges and final disposition of the case.

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

Retain 3 years after end of the fiscal year in which the record was created.

- 7.43 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.

Review Records: Retain 10 years.

Other records: Retain 5 years.

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

Retain 5 years.

7.45 Application Materials. These records document applications for employment.

Unsolicited resumes/applications: Retain for useful life.

Unqualified applications for open positions: Retain 1 year.

Application materials for individuals considered for employment but not hired:
Retain 3 years.

Application materials for hired individuals: File with personnel file.

7.46 Position Classification Records. These records document position classifications.

Retain 3 years after reclassification/elimination of the position.

7.47 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.

PRESIDENT/CHANCELLOR SEARCH COMMITTEE FILES: PERMANENT.

Other records: Retain 3 years.

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

Retain for 3 years after last date of employment.

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

Retain 3 years after end of the fiscal year in which the records were created.

7.50 Payroll Deduction Authorizations. These records document authorization of payroll deductions.

Retain 6 years after separation of employee from the university.

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

Retain 3 years after the end of the fiscal year in which the records were created.

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

Retain 3 years after the end of the fiscal year in which the records were created.

- 7.53 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).

Medical Resident's File: Retain 75 years.

Records of final leave status and documentation of salary and employment dates:
Retain 25 years after separation of employee from the university.

Faculty Tenure and Promotion Files (not including letter): Retain until completion of formal action and appeal period.

Other (including faculty tenure and promotion letters): Retain 6 years after separation of employee from the university.

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

Retain for useful life.

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

Retain 6 years after termination of participation in program.

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

Retain 6 years after separation of the employee from the university.

- 7.57 Department/Unit Personnel Files.** These records are created by supervisors to document employee performance. They may be duplicated in the employee's work history file.

Retain until separation of an employee from the university.

- 7.58 Training and Professional Development Records.** These records document university provided of training and professional development.

Retain 3 years.

Managing Properties, Facilities, and Resources:

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

Retain 6 years after expiration of the contract.

- 7.60 Property Inventory Records.** These records document the property inventory of the university.

Retain 3 years after end of the fiscal year in which the records were created.

- 7.61 Receipts of Responsibility for Property.** These records document the individual responsible for property not under the university's immediate control.

Retain until return of item to property manager.

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

Retain 6 years after expiration of the lease.

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

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

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

Records for expendable items: Retain 3 years.

Records for capital items: Retain for life of building or item.

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

Retain 6 months.

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

Retain 1 year.

- 7.67 Weapons Registration Forms (ATF 5 and ATF 10) and Weapon Retirement Forms.** These records document custody of weapons.

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

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

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

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

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

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

Retain 2 years.

Requirement and Recommendations for Implementing the Records Disposition Authority

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 public universities of Alabama as stipulated in this document.

One condition of this authorization is that the university submit an annual Records Disposition Authority (RDA) Implementation Report on university records management activities, including documentation of records destruction, to the State Records Commission in January of each year. In addition, the university should make every effort to establish and maintain a quality record-keeping program by using the following guidelines:

- The university should designate a records liaison/university records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the university, 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 university’s approved RDA.
- Permanent records in the university’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 university-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 university 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 university and inspect records destruction documentation. University records managers, university archivists, and/or Government Records Division archivists are available to instruct the university staff in RDA implementation and otherwise assist the university in implementing its records management program.

The State Records Commission adopted this records disposition authority on August 3, 2005.

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

Date

Receipt acknowledged:

(University)

Date