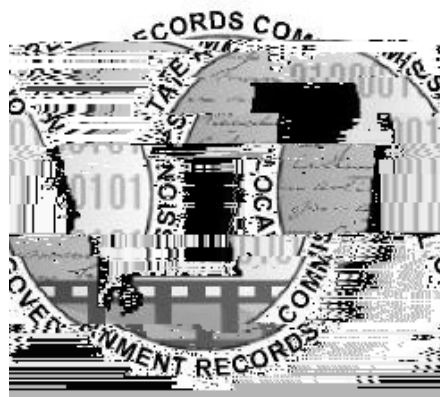


Public Universities of Alabama



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
April 20, 2022**

Functional and Organizational Analysis of Public Universities of Alabama

Sources of Information

Members of the University Records Committee
Code of Alabama 1975 § 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

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 uma.org/a -2358

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,

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 to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

Recr (eTdd083c 0.00Ad al)-6 (4w 0.39TJEMCa5 1 Tf0.46 0 Ttqed)-1 1 Tf-0.00 .6 (b)2.7 (a)-2 (w)2 (5

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.

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 – University-Wide Standing committee Minutes, Agendas, Packets, and Recommendations. These records, which may include minutes and recommendations, are necessary to document policy and rule development by the university.

Records of Other Committees – Committee Conclusions Not Reported in Standing Committee Minutes or Packets. These records are created by committees other than university-wide standing committees, also known as “ad hoc committees,” such as those formed to create or examine policies af2 (i)-2 (nut)-2 -n4 (c)4 c2 (nc)- Td[(f)-1 (o)-4 ()-2 -nd (e)-2 (o doc) develatiiver ndatteov.004 ndato docrsittations.

Class Gift Records. These docu

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
administ (ni5 (ea)-dr3-ea)-dr3-eaee 5.05EMC /LBody AMCID 59 BDC -30.08 -1.15 T

9.

Public Universities of Alabama Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 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 made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

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.

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

- 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

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 Equivalent Files (Articulation).

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.

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.

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

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.

4.22 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.

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.

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,

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 rad wp4ts-

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

Disposition: Temporary Record. These records are to be maintained in the current file.

Disposition: Temporary Record. Retain 3 years (b)(7)(e)-6(a)(4)(r)3(s)-1 (. >>6-1

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

- b. University-Wide Standing Committee Administrative Records. This series encompasses records generated in the course of organizing and administering university-wide standing committees. This may include, but is not limited to, committee attendance records and leadership ballots.

Disposition: Temporary Record. Retain for useful life.

7.03 Records of Other Committees.

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. **harE-3 (S(h)) (s)-1 (t)-2 (**

7.15 Records Documenting Legal Cases. These records document legal cases involving 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 § 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.

8.19 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.

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

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

Requirement

Index of Records Series

- Abandoned Vehicle Stickers, 28
- Abstracts of Research Publications, 29
- Academic Counseling Records, 21
- Academic Program Files, 17
- Academic Scholarship Awards Records, 21
- Accident Logs, 26
- Accounting Records, 34
- Accreditation Records (Assessment/Self-Study Reports), 30
- Administrative Reference Files/Working Papers/Preliminary Reports and Data/Informal Surveys, 31
- Affirmative Action Position Applicant Files, 37
- Affirmative Action/Equal Employment Opportunity Case Files, 37
- Alabama Criminal Justice Information System Printouts, 27
- Alabama G.I. and Dependent's Educational Benefits Records, 21
- Alabama National Guard Educational Assistance Program (ANGEAP) Records, 22
- Alabama Uniform Traffic Accident Reports (AUTAR), 26
- Alcohol Breath-testing Instrument Inspection Sheets, 28
- Alcohol Influence Reports, 25
- Annual Reports, 31
- Application Materials, 38
- Archives Records, 18
- Athletic Case Files/Infractions Files, 24
- Athletic Injury Records, 24
- Athletic Scholarship Award Records, 21
- Authorization/Allocation Letters, 37
- Board of Trustees Records, 29
- Bomb Threat Records, 27
- Bond Documents, 34
- Budget Records, 34
- Building Plans and Drawings, 41
- Campus Parking Tickets, 25
- Capital Improvements Contract Records, 40
- Cash Register Receipt Detail Tapes, 33
- Changes of Course (Drop/Add), 20
- Circulation Records, 18
- Class Gift Records, 33
- College/Department Student Academic Files and Grade and Course Credit Records, 19
- Comprehensive Examination Records, 20
- Confiscated/Abandoned/Stored Vehicle Records, 27
- Consent to Search Forms, 28
- Continuing Education Program Files, 20
- Contractual records established for the purpose of services or personal property, 34
- Copy of RDA, 32
- Course and Curriculum Records, 17
- Course/Teacher Evaluations, 19
- Cross Reference Records, 28
- Daily Accident and Activity Logs and Reports, 26
- Daily Assist Tickets, 26
- Daily/Monthly Assignment Rosters, 27
- Disabled Student Files (Americans with Disabilities Act Files), 23
- Dispatch Records, 28
- Distance Education Student Record Protection Plans, 32
- Documentation of Attendance, 17
- Documentation of Grades (Instructor's Copy), 18
- Donation Files, 37
- Donor (and prospective donor) information records, 33
- Driving and Criminal History Communication Logs, 27
- Drug Dispensing Records, 24
- Drug Test Results, 25
- Employee Administrative Hearing Files, 40
- Employee Benefits Plan Files, 40
- Employee Leave Records, 39
- Equal Employment Opportunity Commission (EEOC) and Racial/Ethnic Records, 38
- External and Internal Audit Records, 35

Facility Maintenance and Upkeep Records, 41
 Federal Student Loan Files, 22
 Federal Work Study (FWS) and Supplemental Educational Opportunity Grants (SEOG) Records, 22
 Felony Awareness Patrol Reports, 26
 Final Grades, 19
 Fiscal Operations Reports, 36
 Fleet Activity Reports, 41
 Fraternities, Sororities, Greek Council, and Student Organizations/Government Files (does not include financial records or routine correspondence that are listed elsewhere), 23
 Game Films, 24
 Grade Statistics, 19
 Graduation Applications, 20
 Graduation Authorizations, 20
 Graduation Lists, 19
 Grant Records – Internally Funded, 36
 Grant Records-Externally Funded, 35
 Identification Records, 41
 Individual Student Academic Records, 20
 Information Systems Documentation, 32
 Injury Surveillance Forms, 25
 Institutional Loan Records, 22
 Institutional Scholarship Records, 22
 Inter-Library Loan (ILL) Records, 18
 Internship Records, 18
 Investigation Files, 27
 Job Recruitment Materials, 37
 Lesson Plans/Syllabi, 17
 Letters of Intent, 24
 Mailing Lists, 32
 Master Copy of Exams, 18
 Minutes and Recordings of Meetings, 30
 Motorist Assistance Records, 27
 Notices of Claim and Requests for Separation, 38
 Official Squad Lists, 25
 Owner’s Requests for Wrecker, 28
 Patient Records, 23
 Payroll Deduction Authorizations, 39
 Payroll Deduction Records, 39
 Payroll Records, 39
 Pell Grant Records, 22
 Periodic Activity Reports, 40
 Permanent Financial Documentation, 33
 Personal Data of Credit Cardholders, 33
 Personnel Files for Department/Unit, 40
 Personnel Files Master-Employee Work History, 39
 Policies and Faculty Handbooks, 30
 Position Classification Job Description Records, 38
 President's/Chancellor's/Vice President's/Athletic Director's Files, 30
 Property Inventory Records, 40
 Publications and Publicity Materials, 31
 Radar Logs, 27
 Radio Equipment Requisitions and Letters of Insurance Coverage, 24
 Radio/Television Station Files and Logs, 23
 Real Property Leasing/Rental Records, 40
 Receipts of Responsibility for Property, 40
 Recordings of Meetings of Board of Trustees and Standing and Ad Hoc Committees, 30
 Recordings of Police Communications and Actions, 27
 Recordings of University Radio/Television Broadcasts, 23
 Records documenting legal cases, 32
 Records documenting the bid process, 34

