

**THE UNIVERSITY OF ALABAMA**  
**RECORDS MANAGEMENT**  
**POLICY AND PROCEDURES**

**University Archives  
Records Management  
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University of Alabama  
Box 870266  
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# TABLE OF CONTENTS

Introduction

Definition of Terms

Policies and Procedures

I. Additions and Amendments to Records Retention Schedules

II. Discontinuation of a University Office

III. Storage of Inactive Records

IV. Retrieval of Records

V. Destruction of Records

## INTRODUCTION

To promote efficiency and economy at The University of Alabama and to aid University offices in the management of their recorded information, the University Archives has published this manual. The manual provides guidelines on record policies and procedures as well as general record schedules. Office records not found in this manual will be scheduled with the help of the University Records Officer and the Work Group. The University of Alabama is in compliance with the General Records Schedule approved by the State Records Commission of Alabama.

## DEFINITION OF TERMS

Some words such as “record” have specific meanings when used in the records management context. The following list has been provided to define these words and other common records management terms.

ACTIVE RECORD - A record consulted frequently in the conduct of current business.

ARCHIVAL RECORD - A permanent record which is non-current and which is not required to be retained in the office in which it originated.

ARCHIVE - An area utilized for the permanent storage of valuable records.

CUBIC FEET - A measurement of volume.

CUT OFF - The termination of files at specific intervals to permit their transfer, retirement, or disposal in complete blocks.

DISPOSITION - The decision concerning the final status of records, which determines whether they will be retained, transferred or otherwise, disposed of.

FILE SERIES - Documents, volumes or groups of records kept together as a unit because they will be retained, transferred or otherwise, disposed of.

HOUSEKEEPING RECORDS - Records that relate primarily to the performance Of administrative “housekeeping” operations which the immediate office and not to the performance of the mission of the office.

INACTIVE RECORD - A record no longer needed to conduct current business.

MICROGRAPHICS - The act of producing or reproducing information in miniature form.

NONOFFICIAL RECORD - Information or convenience copy.

NONRECORD MATERIAL - Material not usually included with the definition of records, such as unofficial copies of documents kept only for convenience or reference, stacks of publications and processed documents, library or museum material intended solely for reference or exhibition.

OBSOLETE RECORD - A record no longer of value.

OFFICIAL RECORD - The record referred to for official information.

RECORD - All recorded information, regardless of media or characteristics, made or received and maintained by an institution in pursuance of its legal obligation or in the transaction of its business.

RECORD RETENTION SCHEDULE - A timetable based upon the value of the record (administrative, legal, fiscal and/or historical) for the handling and location of the record during its creation through its life cycle until retirement or destruction.

RECORD HOLDING AREA – A secure, controlled space used for the storage of relatively inactive records, which still have value.

UNIVERSITY RECORDS – Any papers, books, maps, photographs, original microfilm or any other documentary material regardless of physical form or characteristics, made, produced, executed or received by any academic or administrative staff member in connection with the transaction of University business.

VITAL RECORDS – Records that are essential to resume or continue an organization; those necessary to recreate the institution's legal and financial position, those necessary to presume the rights of the institution, its employees and students.

## POLICIES AND PROCEDURES

I. Additions and Amendments to record retention and disposition schedules.

To add to or amend schedules, contact University Archives at 348-0500.

II. Discontinuation of a University office.

Before the termination of an office which has created or received University Records, notify the University Records Officer at 348-0500 to insure proper care of these records.

### III. Storage of Inactive Records

#### Policy

1. Each office will review its records at least once a year to separate active from inactive records and to remove inactive records from office space.
2. Only records that have been surveyed and scheduled will be placed in the University Archives or the University Archives Annex.
3. Records placed in the University Archives Annex are inactive records of value and will remain there until date of destruction.
4. Records of enduring value will be transferred directly from the originating office to the University Archives.
5. Control of records stored in the University Archives and the University Archives Annex remains with the office of origin.
6. Each office will review its records in the University Archives Annex at least once a year to dispose of records that have become obsolete.
7. Records Storage boxes, available from University Archives, must be used to store records in the Records Holding Area. (Each box measures 15" x 12" x 10" and will hold 1 linear foot of legal size paper and 1 ½ linear feet of letter size paper.)
8. Archival storage boxes, available from the University Archives, must be used to store records of permanent value. (Each box measures 15" x 12" x 10" and will hold the same volume as record storage boxes.)

\*If an office orders their own archival boxes, they need to meet the following requirements:

Archival boxes must be sulfur free and lignin free with a minimum pH of 8.5 and a 3% calcium carbonate buffer throughout the sheets and conform to the American National Standards Institute (ANSI) IT9.2 Standard (*Imaging Media--Photographic Processed Films, Plates, and Papers--Filing Enclosures and Storage Containers*). Archives boxes also must have a basis weight of 200 lbs. per thousand square feet and a Mullen bursting strength of 240 lbs. per square inch.

## Procedure

1. Load Storage Boxes:
  - a. type of box - please see Policies, items 7 and 8.
  - b. leave a 2 inch working space in each box to permit future reference to records.
  - c. do not put two record series in the same box unless they have the same retention period. If more than 2 inches remain in a box, crumble newspapers and place behind last file to prevent file from falling over in the box.
2. Label boxes for University Archives Annex (you do not have to label boxes for University Archives).
  - a. white labels, 4" x 6" (see example on next page)
  - b. information to be included on each label:
    1. shelf location (to be put on label after boxes are taken to storage)
    2. destruction date
    3. administrative division
    4. department
    5. office
    6. record series
    7. inclusive dates
  - c. place label under handle of each box

(Example of Label)

1. 401-075	2007
3. Financial Affairs	
4. Human Resources	
5. Payroll	
6. Time and Attendance Records	
7. 1999/01/14 – 1999/01/28	

3. List on indexes provided at end of Manual every box sent to University Archives or University Archives Annex. Call the University Records Officer if you would like to enter your indexes on a database and send them to Archives.
4. Call the University Records Officer to arrange a time for records to be removed from office.

#### IV. Retrieval of Records

##### Policy

1. Control of records placed in University Archives and the University Archives Annex remains with the office of origin.
2. Retrieval of records from the University Archives and the University Archives Annex is coordinated by the individual offices and the Archives.

Procedure

1. Check University Archives and Records Indexes to locate record.
  - a. If the record is located in the University Archives or the University Archives Annex, contact the Archives staff to request the record. The Archives staff can be reached by:

Tom Land  
Institutional Records Analyst  
phone: 348-0500  
e-mail: [tland@bama.ua.edu](mailto:tland@bama.ua.edu)  
fax: 348-1699

Kevin Ray  
Institutional Records Assistant  
phone: 348-0503  
e-mail: [kray@bama.ua.edu](mailto:kray@bama.ua.edu)  
fax: 348-1699

- b. Give the following information:

Your name and office

Record Group #, Accession #, Box #, Location

Name and date of record

(Example of Index)

**UNIVERSITY OF ALABAMA ARCHIVES**

<b>OFFICE:</b> Payroll	<b>RG:</b> 019
<b>DIVISION:</b> Financial Affairs	<b>ACC #:</b> 19993164
<b>STAFF:</b> Tom Land	<b>C. FT:</b> 3
<b>RESTRICTIONS:</b> Permission required	<b>DISPOSITION:</b> 2007

**BOX LOCATION ITEMS**

001	401-075	Time and Attendance	1999/01/14– 1999/01/28
002	401-075	Time and Attendance	1999/01/29– 1999/02/11
003	401-076	Time and Attendance	1999/02/12– 1999/02/25

- c. If the collection has not been processed, please give as much information as possible about the requested record.

## V. Destruction of Records

### Policy

1. This policy is applicable for all records not of enduring value.
2. No record will be destroyed without the written permission of the office involved.
3. Confidential records must be shredded, burned or otherwise physically destroyed as to leave their content unreconstructible. Determination of what constitutes confidential records is the responsibility of the division.
4. At least once a year, each office will review its records retention and disposition schedules and determine which records have become obsolete.
5. It is the responsibility of the individual office to destroy its obsolete records. The office is responsible for destruction whether the records are stored in Archives or remain on site. For records destroyed on site, a departmental representative will make a destruction report for the University Records Officer. The destruction report will include the following:

Record Series destroyed

Inclusive dates of series

Number of cubic feet of records destroyed

Method of destruction

Departmental Representative

6. The cost of destruction is the responsibility of the originating office if it is not covered by the University.