

UNIVERSITY OF ALABAMA

General Records Schedules

Approved 1997

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INTRODUCTION

Purpose of the University of Alabama General Records Schedules

The University of Alabama General Records Schedules provide for the disposition of specified, recurring series or classes of records common to several or all universities or university units. It applies to university records regardless of their medium or format.

These schedules specify the minimum length of time that university records must be retained by university officials. These schedules are designed to: (1) ensure that records are retained as long as they are needed to meet administrative, fiscal and legal requirements; (2) provide that archival records are retained for historical and other research purposes; and (3) encourage university officials to implement reliable and accountable documentation systems.

Records Governed by the University of Alabama General Records Schedules

Because these schedules refer to modern office records, university personnel will find these schedules most applicable to records created during the 1930's to the present. Request the assistance of University Archives about the retention of records predating 1930, to add new series to the schedules, or to revise existing series retentions.

Remember, the retention listed on the schedule for each records series is the minimum time period necessary to retain records under normal conditions. Maintain records involved in litigation until settlement of the case regardless of any disposition authorization that might otherwise be applicable. **Maintain records subject to audit until the publication of the final audit report.** Records should not be destroyed sooner than indicated or required for litigation or audit requirements.

Organization of the University of Alabama General Records Schedules

Functional Records Categories

In the University of Alabama General Records Schedules, record series are organized in categories corresponding to university activities or functions. A record series consists of any folders, documents, or volumes arranged under a single filing system or kept together as a unit because they relate to a particular subject or function, result from the same activity, or have a particular form. The categories in which the record series are grouped include:

The **Administrative** category (UA-2-1) includes the records documenting the general administration of each office or activity within a college. Examples: accreditation files, annual reports, policies and procedures, and meeting minutes and agendas.

The **Athletics** category (UA-2-2) includes the program records of the athletics program. Many of these materials are created to meet NCAA requirements.

The **Student/Education** category (UA-2-3) includes the records of student activities, student services, financial aid, admissions, registration, and academic progress. Examples: student government association records, student permanent records, grade and course credit records, requests for transcripts, and financial aid files.

The **Fiscal** category (UA-2-4) includes the records documenting the financial activity of the university.

The **Legal** category (UA-2-5) includes the records documenting the university's legal obligation to another party and the records of the university's legal counsel.

The **Personnel** category (UA-2-6) includes the records of personnel activities of the university.

The **Public Relations** category (UA-2-7) includes public information and media materials produced by the university as well as records of public events.

The **University Policy** category (UA-2-9) includes the records of law enforcement activity on the university campus.

The **Animal Resources** category (UA-2-10) includes the records documenting medical research.

These schedules apply to the records on the series level rather than individual documents found in office filing systems.

Implementing the University of Alabama General Records Schedules

When to Implement

The type of record and its disposition will help in determining an implementation cycle. In most cases, the schedules can be implemented on an annual basis. The schedules for fiscal records, however, are best implemented after the completion of applicable audits. For files that integrate records with more than one retention period, apply the longest time period to determine the disposition of the files. The established retention period applies to records regardless of format i.e., paper, microfilm, electronic media, videotape, audiotape, photographs, etc.

Records Disposition Categories

When implementing the University of Alabama General Records Schedules, university offices will find records that are due for immediate destruction, others that must be retained for a specified time before destruction, and records that must be retained permanently.

Records Due For Destruction

To protect the legal interests of the university, the university established policies and procedures for the proper destruction of university records. It is a common practice that this activity be monitored by University Archives. It is important to verify the actual destruction of records to ensure that records containing sensitive information cannot be reconstructed or that older records are not liberated and sold.

Temporary Records

The University of Alabama operates a storage facility for inactive records requiring retention for specific time periods. Contact University Archives for information concerning availability of the facility.

Permanent Records

Records identified on the University of Alabama General Records Schedules as "permanent" are to be retained by the University. These permanent records document functions and significant activities of the institution and provide evidence of the University's accountability as a public institution.

Duplicate and Record Copy

These schedules apply to records series containing the record copies of documents. The record copy of a document is that copy that is placed on file as the official copy. It is also referred to as the file copy. It does not necessarily have to be the original of a document (the document bearing the original signature) but may be a photocopy/carbon copy/printout of a letter or form that has been sent to the addressee and which serves as the file copy in the originating office. A duplicate copy is one other than the file copy. It is an extra copy of the official or record copy.

Definition of University Records as Public Records

Alabama law requires all public officials to create and maintain records that will provide detailed information regarding the activities and business carried out in their respective offices (Code of Alabama 1975, Section 36-12-2). These records are called "public records". The term "public records" includes "all written, typed or printed books, papers, letters, documents and maps made or received in pursuance of law by the public officers of the state, counties, municipalities and other subdivisions of government in the

transactions of public business and shall also include any record authorized to be made by any law of this state belonging or pertaining to any court of record or any other public record authorized by law or any paper, pleading, exhibit or other writing filed with, in or by any such court, office or officer." (Code of Alabama 1975, Section 41-13-1) Public records may or may not be open to public inspection.

The courts have defined "public writing," within the meaning of the Code of Alabama 1975, Section 36-12-40, as a "record...necessary to record the business and activities required to be done or carried on by a public officer so that the status and condition of such business and activities can be known by the public." (Stone v. Consolidated Publishing Company, 80-211 Supreme Court of Alabama [1981] and Chambers v. Birmingham News, 88-1087 Supreme Court of Alabama [1989]) In Stone v. Consolidated, the Supreme Court of Alabama also ruled that records created by state-supported universities are public records.

University Archives has set disposal guidelines for certain materials not of permanent value. The following examples do not need to be retained for the purposes of the university records schedules and may be disposed of in whatever way the university determines best:

1. Extra copies kept only for convenience, reading files, and suspense or tickler files;
2. Reproduced or published material received from other offices as a matter of courtesy or information. (Note: Materials received as reporting for accountability purposes should be scheduled with other records of that office.);
3. Catalogs, trade journals, and other publications received that require no action and are not part of an active case file;
4. Library or museum material received, assembled, or collected for information or exhibition purposes, such as posters, flyers, and brochures, and;
5. Stocks of blank stationery, blank forms, or other extra printed materials that become obsolete due to revision.

Assistance

For university officials needing further assistance with the management of their records, please contact the University Archives at 348-0500.

State-Supported Universities General Records Schedules Administrative Records

Universities create and maintain administrative records to carry out current agency goals and activities. This records disposition schedule is designed to assist in managing these records.

University offices use a variety of filing practices. Therefore, the records series listed in the schedule may not relate exactly to the files in the office. The records officer should use the series descriptions most closely related to the files in her/his office or contact the university archives for assistance.

The retention periods assigned to the following records are for the record copy; i.e., the copy maintained by the office authorized to administer the related activity.

UA-2-1-1

Accreditation Files

(Assessment/Self-Study Reports)

document accreditation reviews by accrediting agencies.

Disposition: Permanent.

UA-2-1-3

Annual Reports

document activities by each academic unit and university-wide. These reports are often used to develop a university-wide annual report summarizing information in each departmental

Disposition: Annual Reports: Permanent. Retain 2 copies. Other Reports: Retain until no longer useful, then destroy.

UA-2-1-4

Enrollment Statistics

include enrollment statistical reports created to document trends.....

in university enrollment for budgetary planning and other administrative uses.

Disposition: Permanent.

UA-2-1-5

Faculty Promotion and Tenure Policies

document departmental guidelines, policies, procedures, and administrative memoranda.

Disposition: Permanent.

UA-2-1-6

Academic Committees Meeting Agenda and Minutes

document the proposed and executed proceedings of university committees. Includes agenda that detail business to be considered at meetings in addition to minutes of the actual proceedings.

Disposition: Permanent.

UA-2-1-7

Board of Trustees Meeting Agenda and Minutes

document the proposed and executed proceedings of the university's board of trustees. Includes agenda that detail business to be considered at meetings in addition to minutes of the actual proceedings.

Disposition: Permanent.

UA-2-1-8

Unawarded Grants Files

contain applications and proposals by faculty and staff for grants that were not funded.

Disposition: Retain for 1 year, then destroy.

UA-2-1-9

General Correspondence

Documents non-policy decisions, requests for information, and routine office administration.

Disposition: Retain 3 years, then destroy.

State-Supported Universities General Records Schedules Athletics Records

This section includes records maintained by athletics programs within a university. Included are the records required to meet National Collegiate Athletics Association (NCAA) rules and regulations. The retention periods assigned to the following records are for the record copy; i.e., the copy maintained by the program responsible for meeting compliance review needs. The financial records of an athletics program are included in the fiscal records section of this schedule.

UA-2-2-1

Drug Dispensing Files

document the daily dispensing of drugs by athletics staff.

Disposition: Retain for 6 years, then destroy.

UA-2-2-2

Game Films

consist of films of university sporting events used to analyze the team's game performance

Disposition: Permanent.

UA-2-2-3

Game Programs

include informational guides created for sporting events to provide quick information about the teams.

Disposition: Permanent. Retain 2 copies of each game program.

UA-2-2-4

Athletic Injury Files

document injuries to university athletes and athletics staff. Includes accident reports, medical records, x-rays, photographs, affidavits, correspondence, billing information and other related records.

Disposition: Transfer records to Medical Clinic/Dispensary within 24 hours.

Remaining Records: Retain for 5 years, then destroy.

UA-2-2-5

Letters of Intent

document student athletes intentions of attending a specific university.

Disposition: Retain for 6 years or resolution of all official actions, whichever is longer, then destroy.

UA-2-2-6

Media Guides

consist of sports informational guides provided to the news media and the general public.

Disposition: Permanent. Retain 2 copies of each media guide.

UA-2-2-7

National Collegiate Athletics Association (NCAA) Case Files/Infractions Files

document the NCAA's investigation of suspected/confirmed infractions of rules and regulations.

Disposition: Permanent.

UA-2-2-8

NCAA Injury Surveillance Forms

provide information to the NCAA on the frequency and types of injuries in each sport.

Disposition: Retain for 1 year after year in which record was created, then destroy.

UA-2-2-9

Official Squad Lists

document the members of each sports squad.

Disposition: Permanent.

UA-2-2-10

Player Recruitment Files

document the recruitment of players for university sports programs.

Disposition: Retain for 6 years or resolution of all official actions, whichever is longer, then destroy.

UA-2-2-11

Recruiting Rules and Regulations

document the rules, regulations, and guidelines governing university athletics developed for compliance with NCAA guidelines.

Disposition: Permanent.

UA-2-2-12

Team Scouting Reports

document opposing teams' strengths and weaknesses prior to a sporting event.

Disposition: Retain until no longer useful, then destroy.

State-Supported Universities General Records Schedules Student/Education Records

The education section includes records relating to the student population of a university campus. Records documenting the functions of financial aid, admissions, registrar, academic affairs, student affairs, continuing education, fraternities and sororities, and student government records are included. The retention periods assigned to the following records are established for the record copy; i.e., the copy maintained by the office authorized to administer the related activity. The retention period for the record copy does not apply to copies of the same record maintained by other offices/departments for informational/reference use.

UA-2-3-1

Academic Counseling Files

(Student Counseling Files)

consist of records concerning individual students counseled by the university counseling service.

Disposition: Retain for 5 years after closure of the case file, then destroy.

UA-2-3-2

Academic Scholarship Awards Files

records concerning academic scholarship awards to prospective students. Includes correspondence, applications, recommendations, grade listings, statements of need, accounting records, and approvals or disapprovals.

Disposition: Records of Awarded Scholarships: Transfer records to Registrar's Office or other appropriate office, when award is approved. Other Records: Retain for 3 years or until release of audit, whichever is first, then destroy.

UA-2-3-3

Alabama G.I. and Dependent's Educational Benefits Files

(Alabama VA Files)

records concerning 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: Retain for 8 years from date of certification of eligibility, then destroy.

UA-2-3-4

Alabama National Guard Educational Assistance Program (ANGEAP) Files

records concerning the award of ANGEAP funds to university students who are active members of the Alabama National Guard.

Disposition: Retain for 5 years after date of certification of application, then destroy.

UA-2-3-5

College/Department Enrolled Student Academic Files

consist of individual student files maintained in individual college and department offices.

Disposition: Retain for 5 years after graduation or date of last attendance, then destroy.

UA-2-3-6

College Work Study (CWS) and Supplemental Educational Opportunity Grants (SEOG) Files

records concerning CWS and SEOG program monies awarded to university students.

Disposition: Records Created Prior to January 1, 1996: Retain for 5 years after submission of the Fiscal Operations Report for that award year, then destroy.

Disposition: Records Created On or After January 1, 1996: Retain for 3 years after submission of the Fiscal Operations Report for that award year, then destroy.

UA-2-3-7

Continuing Education Student Records

consist of continuing education program files documenting students enrolled in continuing educational classes. Note: CEU courses should be documented on the university's official student records.

Disposition: Retain for 5 years after graduation or date of last attendance, then destroy.

UA-2-3-8

Course and Curriculum Records (Course Proposals Files/Program of Instruction Approval Files)

include proposals and justifications for new classes, changes to courses, or new courses.

Disposition: Record Copy: Permanent. Duplicates: Retain until administrative use has ended, then destroy.

UA-2-3-9

Entrance Examination Test Scores and Report Files (for non-enrolled applicants)

includes 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.

Disposition: Retain for 1 year after the end of the application term for which the record was created, then destroy.

UA-2-3-10

Federal Family Educational Loan Program Files

(Guaranteed Student Loan [GSL], Stafford Loan, SLS, PLUS Files)

consists of records used to establish a student's eligibility for federal loan program awards.

Disposition: Records Created Prior to January 1, 1996: Retain for 5 years after the student borrower's last day of attendance, then destroy. Reports Created Prior to January 1, 1996: Retain for 5 years after date of completion, then destroy.

Disposition: Records Created On or After January 1, 1996: Retain for 3 years after the student borrower's last day of attendance, then destroy. Reports Created On or After January 1, 1996: Retain for 3 years after date of completion, then destroy.

UA-2-3-11

Foreign Students' Admission Files

consists of records concerning individual foreign students applying for university admission. Note: Records for applicants that do not enroll are not covered by the Family Educational Rights and Privacy act (FERPA).

Disposition: Enrolled Students: Transfer records to Registrar's Office for incorporation into official student file. Applicants Who Do Not Enroll: If possible, return to student. If not, retain for 5 years, then destroy.

UA-2-3-12

Fraternities and Sororities Files

consist of university administrative records concerning fraternities and sororities.

Disposition: Permanent.

UA-2-3-13

Grade and Course Credit Records

(Grade Sheets, Grade Reports, Faculty Grade Books)

consists of grade sheets submitted by instructors, grade change documentation, advanced credit posting authorizations and grade rolls.

Disposition: Permanent.

UA-2-3-14

Grade Statistics

reports created to provide statistical information on student grade point or quality point averages.

Disposition: Permanent.

UA-2-3-15

Graduate Students' Admission Files

Records related to the application for admission into the university graduate or professional schools. Note: Records for applicants who do not enroll are not covered by FERPA.

Disposition: Accepted Applicants Who Enroll: Transfer records or information needed by Registrar to Registrar's Office for incorporation into official student file. Applicants Not Accepted: Retain for 2 years, then destroy. Accepted Applicants Who Do Not Enroll: Retain for 2 years after application term and expiration of acceptance, then destroy.

UA-2-3-16

Graduation Applications and Authorizations

Applications for graduation and graduation authorizations to verify degree requirements.

Disposition: Retain for 1 year after graduation or date of last attendance, then destroy.

UA-2-3-17

Graduation Lists

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.

Disposition: Permanent.

UA-2-3-18

Individual Student Academic Records

(Official Academic Student Record)

records making up the official student record of an individual student for his/her period of enrollment at a university. Includes all admissions, enrollment, and academic documentation for an individual student.

Disposition: Permanent.

UA-2-3-19

Institutional Loan Files

include records concerning the award of institutional loans to eligible students.

Disposition: Retain for 5 years after the last day of the loan period, then destroy.

UA-2-3-20

Institutional Scholarship Files

include records concerning the award of institutional scholarships to eligible students.

Disposition: Retain for 5 years graduation or termination of enrollment, then destroy. In case of a one-year or limited term scholarship, retain for 5 years after the award year, then destroy.

UA-2-3-21

Pell Grant Files

consist of records concerning Pell Grants awarded to university students. Used to establish and verify a student's eligibility for Title IV Financial Aid program funds.

Disposition: Records Created Prior to January 1, 1996: Retain for 5 years after the award year, then destroy.

Disposition: Records Created On or After January 1, 1996: Retain for 3 years after the award year, then destroy.

UA-2-3-22

Recruitment Files

include records related to the recruitment of students.

Disposition: Reports, Statistical Information, and Procedures: Permanent.

Other Records: Retain for 2 years, then destroy.

UA-2-3-23

Requests and Disclosures of Personally Identifiable Information

document student requests that personally identifiable information, generally consisting of name, address and telephone number, be released upon the request of an individual or group.

Disposition: Retain for the life of the affected record, then destroy.

UA-2-3-24

Class Schedules

(Schedules of Classes, Institutional)

Schedules listing classes offered by the university for each school term.

Disposition: Permanent.

UA-2-3-25

Student Government Files

University administrative records concerning student government at a university.

Typical records in these files include constitution and bylaws, meeting agenda and minutes, correspondence, and other records of the Student Government Association.

Disposition: Permanent.

UA-2-3-26

Student Handbooks

includes handbooks produced by the university to provide current students with information on the university and its operation.

Disposition: Permanent. Retain 2 copies of each handbook.

UA-2-3-27

Student Requests for Nondisclosure of Directory Information

documents requests that the university not provide access to directory information consisting of name, address and telephone number.

Disposition: Retain for the life of affected record, then destroy.

UA-2-3-28

Student's Written Consent for Records Disclosure

documents requests to forward student academic transcripts to other agencies, educational institutions or to the student.

Disposition: Retain for the life of affected record or until terminated by the student, then destroy.

UA-2-3-29

Transfer Equivalents Files

consist of records of transfer of credit from other institutions of higher education accepted by a university.

Disposition: Retain until obsolete or superseded, then destroy.

UA-2-3-30

Transfer Students' Admission Files

includes records related to a transfer student's application for admissions. Note: Records of applicants who do not enroll or were not accepted are not covered by FERPA.

Disposition: Accepted Applicants Who Enroll: Transfer records to Registrar's Office for incorporation into official student file. Accepted Applicants Who Do Not Enroll: Retain for 2 years after application term, then destroy. Applicants Not Accepted: Retain for 2 years after application term, then destroy.

UA-2-3-31

Tuition and Fee Schedules

documents fee charges for each academic term.

Disposition: Permanent. Retain 2 copies of each tuition and fee schedule.

UA-2-3-32

Undergraduate Students' Admission Files

consist of application records for admission into the university undergraduate degree program. Note: Records for applicants who do not enroll or were not accepted are not covered by FERPA.

Disposition: Accepted Applicants Who Enroll: Transfer records to Registrar's Office for incorporation into official student file. Accepted Applicants Who Do Not Enroll: Retain for 2 years after application term and expiration of acceptance, then destroy. Applicants Not Accepted: Retain for 2 years after application term, then destroy.

UA-2-3-33

U.S. G.I. and Dependents' Educational Benefit Files

(VA or G.I. Bill Files)

Records concerning the educational training of students entitled to benefits administered through the U.S. Veterans Administration. Contains certification, discharge papers, course of study information, correspondence, certificates of training, marriage, licenses, birth certificates, registration forms, transcripts and other related records.

Disposition: Retain for 3 years after termination of enrollment period, then destroy.

State-Supported Universities General Records Schedule Fiscal Records

The fiscal records section includes records relating to financial matters of the institution. Included are records documenting accounting, accounts payable, accounts receivable, budgeting, federal programs and grants, inventory, payroll, and purchasing functions. The retention periods assigned to the following records are for the record copy; i.e., the copy maintained by the office authorized to fulfill fiscal and audit needs. The approved retention periods are not to be used for duplicates of the same records maintained for administrative use by other university offices.

UA-2-4-1

Accounts Payable Files

Document the university's financial obligations to vendors and/or individuals incurred for purchases of products or services by the university.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-2

Accounts Receivable Files

Document money owed to the university, the creation of invoices, and payments received.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-3

Alumni Donation Files

Document source and amounts of alumni donations. Record alumni who are actively contributing to the university and the amount received from this source of income.

Disposition: Reports of individual donors: Permanent.

Financial Information: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-4

Annual Financial Statements

Year-end report of the university's financial situation showing assets and liabilities by funding areas. Documents the annual funds, revenues, and expenditures of the university.

Disposition: Permanent.

UA-2-4-5

Annual Payroll Earnings Records

(Payroll Earnings Reports)

Summaries of the university employee's payroll earnings for each pay period and year-to-date.

Disposition: Permanent.

UA-2-4-6

Authorization Letters

(Allocation Letters)

Document awards of federal financial aid to the university.

Disposition: Retain for 5 years after release of audit report, then destroy.

UA-2-4-7

Bank Deposit Records

Document institution deposits to the various bank accounts maintained by the university.

Disposition: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-8

Bank Reconciliations

Document the differences between bank statement balances and actual balances.

Disposition: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-9

Bank Statements

Provide a periodic statement of bank balances and dates that checks cleared through an account.

Disposition: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-10

Budgets-Annual

Document the anticipated revenues and proposed expenditures for a given time period.

Disposition: Permanent.

UA-2-4-11

Budget Request Files

Include the departments' requests for funding from the university and the university's request to the state for funding.

Disposition: Retain until no longer useful, then destroy.

UA-2-4-12

Cancelled Warrants

Document each disbursement made by the university. Include warrants written for federal grant programs, college work study and regular operational expenditures. Note: File College Work Study (CWS) records separately. Note: no grant fund account checks should be disposed of prior to the end of the grant period and the closure of the files.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-13

Cash Books

Records of the institution's cash transactions including a year-to-date balance.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-14

Cash Disbursement Journals

Used to record individual disbursements of cash.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-15

Cash Journals

Records of cash received.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-16

Cash Receipts

Document the receipt of funds by the Business Office.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-17

Certifications of Deposit

Document deposits made by other departments or other departments or offices of monies collected by the university Business Office for the general fund or other funds.

Disposition: Retain for 3 years after the end of the fiscal year in which the transaction occurred, then destroy.

UA-2-4-18

Chart of Accounts

A list of the accounts used by the university listing each account assigned and its number or code.

Disposition: Year End Chart of Accounts: Permanent. Other: Retain until no longer useful, then destroy.

UA-2-4-19

Check Registers

Records of original entry for all cash disbursements paid by check.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-20

Collection Reports

Summary of all funds received by the Business Office. May be generated daily, weekly, or monthly.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-21

Competitive Bid Records

Document vendor responses to a university's invitation to bid (ITB) and the review and acceptance or rejection of bids.

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

UA-2-4-22

Endowment Fund Reports- Annual

Annual report of funds received and expended from endowment accounts.

Disposition: Permanent.

UA-2-4-23

Endowment Fund Reports- Periodic

Lists generated on a periodic basis of funds collected or expended from endowment accounts.

Disposition: Retain for 3 years after the fiscal year in which the report was produced, then destroy.

UA-2-4-24

External and Internal Audit Reports

Final reports of university, state or independent auditors.

Disposition: Permanent.

UA-2-4-25

Fiscal Operations Reports

Document the institution's eligibility to disburse Title IV funds and state grants. Consists of fiscal operations, reports, agreements to participate and related correspondence.

Disposition: Retain for 5 years after release of audit report, then destroy.

UA-2-4-26

General Ledgers

Record of final entry for all final transactions.

Disposition: Permanent.

UA-2-4-27

Invoices

Bills for goods shipped or services rendered. Usually matched to purchases and delivery slips and attached to voucher for payment.

Disposition: Retain for 7 years after the invoice is paid, then destroy.

UA-2-4-28

Journal Entries

Means of entering details of a transaction into the accounting system. Initial entries are made in a journal and later posted to a ledger.

Disposition: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-29

Journals

First record of a financial transaction; original entries for funds received.

Disposition: Retain for 3 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-30

Unpaid Accounts Receivable

(Past Due Accounts Receivable, Bad Debt Actions, Delinquent Action Reports)

Overdue accounts such as library fines, parking tickets, loan payments or for services rendered.

Disposition: Retain for 7 years after settlement of unpaid account, then destroy.

UA-2-4-31

Property Inventory Control Records (Non-consumable)

Record the value of items, location and the fiscal obligations associated with the property.

Disposition: Retain for 3 years after removal from inventory, then destroy.

UA-2-4-32

Purchase Orders

Authorize purchase of goods and/or services by staff and faculty.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-33

Registers

Track each transaction made on a specific date. Registers may list employees and their pay, each purchase order and date, etc.

Disposition: Retain for 7 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-34

Requisitions

Used by university staff and faculty to order goods and services.

Disposition: Retain for 7 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-35

Social Security Payment Files

Document the quarterly payments made by the university into the social security fund.

Disposition: Retain for 50 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-36

Social Security Reports and Deposits

Document the monthly report of wages and social security contributions paid by the university to each employee.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-37

Student Accounts Files

Records concerning individual student accounts. Include charges, adjustments of tuition fees, refunds, outstanding fees for damages or damaged or overdue books, payment of parking tickets and, record of payment or other credits.

Disposition: Retain until settlement of account and release of audit report, then destroy.

UA-2-4-38

Subsidiary Ledgers

Document the monies received and disbursed under each account/fund.

Disposition: Retain for 3 years after the fiscal year in which the last transaction occurred, then destroy.

UA-2-4-39

Travel Expense Records

(For records not attached to vouchers)

Document the expenses incurred by staff and faculty on official travel.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-40

Vouchers

Record of cash disbursements used to establish control over expenditures.

Disposition: Retain for 7 years after the fiscal year in which the transaction occurred, then destroy.

UA-2-4-41

W-2 Listings

Records documenting salaries paid and taxes withheld.

Disposition: Retain for 4 1/2 years after the end of the tax year, then destroy.

State-Supported Universities General Records Schedule Legal Records

The legal records section includes records relating to the university's compliance with federal and state laws and institutional regulations. Included are unemployment compensation, student disciplinary, grievance, affirmative action, equal employment opportunity, contracts and civil rights compliance records. The retention periods assigned to the following records are established for the record copy; i.e., the copy kept by the creating/authorized office responsible for meeting these legal requirements.

UA-2-5-1

University Grievance Files

Records concerning grievances initiated by faculty, staff and students.

Disposition: Minutes: Permanent. Other Records: Retain for 3 years after action taken on case and settlement of all claims due, then destroy.

UA-2-5-2

Affirmative Action/Equal Employment Opportunity Case Files

Records created and received concerning charges or complaints made against the university relating to violations of affirmative action or equal employment opportunity regulations.

Disposition: Compliance Reviews: Permanent. Other Records: Retain for 5 years after resolution of charges and final disposition of the case, then destroy.

UA-2-5-3

Affirmative Action Position Applicant Files

Records of affirmative action procedures followed for university position openings. Include position request and authorization forms, job descriptions, appointment activity record, proof of citizenship, chronological data on search and correspondence.

Disposition: Retain for 5 years after the end of the year in which the record was created, then destroy.

UA-2-5-4

Contracts, Leases, and Agreements

Materials related to the negotiation, fulfillment and termination of the contracts, leases, and agreements entered into by the university. Note: These may be filed separately or together.

Disposition: Real Property Leases and Capital Improvement Contracts: Permanent. Other Contracts, Leases, and Agreements: Retain for 7 years after the terms of the document are fulfilled, then destroy.

UA-2-5-5

Equal Employment Opportunity Commission (EEOC) Reports

Annual and other periodic reports required by the federal government to ensure equal employment opportunities.

Disposition: Retain for 5 years after the end of the year in which the record was created, then destroy.

UA-2-5-6

Notices of Claim and Requests for Separation

Provide information to the State Department of Industrial Relations relating to unemployment compensation.

Disposition: Retain for 5 years after the end of the calendar year in which the record was created, then destroy.

UA-2-5-7

Racial/Ethnic Statistical Reports

Provide racial/ethnic statistical information. Used to ensure compliance with all federal and state regulations addressing civil rights and equal employment opportunity concerns.

Disposition: Permanent.

UA-2-5-8

Student Disciplinary Files

Records concerning investigations and disciplinary actions taken against students for violations of university rules and regulations.

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

UA-2-5-9

Unemployment Compensation Benefit Files

Records informing the university that former employees are eligible for unemployment benefits and when these employees receive compensation charged against the university's account.

Disposition: Retain for 5 years after the end of the year in which the records were created, then destroy.

UA-2-5-10

Unemployment Compensation Reports Received

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.

Disposition: Retain for 5 years after the end of the calendar year in which the records were created, then destroy.

UA-2-5-11

Unemployment Compensation Reports Submitted

Reports documenting the quarterly submission of payroll and statistical information to DIR.

Disposition: Retain for 5 years after the calendar year in which the records were created, then destroy.

State-Supported Universities General Records Schedules Personnel Records

The personnel records section includes records relating to personnel policies and activities. Included are staff, faculty and student employment-related records. The retention period assigned to the following records are established for the record copy; i.e., the copies maintained by the creating/authorized office responsible for program administration.

UA-2-6-1

Employee Leave Reports

Provide a summary of employee leave time (annual, sick, and military).

Disposition: Retain for 3 years, then destroy.

UA-2-6-2

Employee Tax Records

Establish personal deductions and tax withholdings to estimate an employee's tax liability to the federal and state government.

Disposition: Retain for 4 years after the fiscal year in which the record was created, then destroy.

UA-2-6-3

Faculty Handbooks

Faculty handbooks created to inform new and current university faculty of benefits, regulations, and personnel policies.

Disposition: Permanent. Retain 2 copies of each faculty handbook issued.

UA-2-6-4

Faculty Sabbatical Records

(Faculty Development Leave Records)

Records concerning the review and approval of sabbatical leave for individual faculty members. This may be maintained in the Personnel Case Files.

Disposition: Retain for 3 years after leave is taken or denied, then destroy.

UA-2-6-5

Faculty Search Committee Files

Search files created during the process of advertising, interviewing, selecting and hiring an individual to fill a faculty vacancy within the university.

Disposition: Meeting Minutes: Permanent.

All other records: Retain for 5 years after the end of the year in which the record was created, then destroy.

UA-2-6-6

Faculty Service Reports

(Faculty Activity Reports)

Reports for the academic year and each term that list faculty members and their teaching and advisory assignments, research, administrative duties and public service.

Disposition: Permanent.

UA-2-6-7

Faculty Tenure and Promotion Case Files

Files created during the process of academic review for promotion or tenure.

Disposition: Records of Final Action: Permanent.

UA-2-6-8

Individual Staff and Faculty Personnel Files

Document an individual's employment at a university. May contain, but are not limited to, applications, job descriptions, resume, personnel action forms, documentation of promotions and demotions, retirement plan participants, letters of recommendation and related correspondence.

Disposition: Permanent.

UA-2-6-9

Individual Faculty Service History Files

Document a faculty member's employment at a university. May contain, but are not limited to, applications; vita; contracts; copies of published articles or other publications; copies of conference papers; notes of the faculty tenure and promotion committee; letters of recommendation; and related correspondence.

Disposition: Permanent.

UA-2-6-10

Staff and Faculty Job Applications

Job applications received by a university from individuals seeking jobs. These applications are not necessarily received in response to a job opening.

Disposition: Retain for 3 years after the end of the year in which the record was created, then destroy.

UA-2-6-11

Staff Leave Slips

(Leave Applications or Applications for Leave)

Document the annual, sick, or other leave taken by an employee during a specific pay period.

Disposition: Retain for 3 years, then destroy.

UA-2-6-12

Presidential Search Committee Files

Search files created during the process of advertising, interviewing, selecting and hiring an individual to fill a presidential vacancy.

Disposition: Permanent.

UA-2-6-13

Staff Employee Handbooks

Created to inform new and current university staff of employment benefits, regulations and personnel policies.

Disposition: Permanent. Retain 2 copies of each staff employee handbook.

UA-2-6-14

Student Time Reports

Provide a record of the hours worked by a work-study student.

Disposition: Retain for 5 years after submission of the Fiscal Operations Report for that award year, then destroy.

UA-2-6-15

Time Sheets and Work Logs

Document the hours worked by an individual and may vary in form and number of employees listed.

Disposition: Retain for 10 years, then destroy.

UA-2-6-16

Work Study Students Employment Records

Document the work of students within a university-funded work study program.

Disposition: Retain for 5 years after the student ceases to participate, then destroy.

UA-2-6-17

Departmental Work-Study Files

Files maintained in individual departments and offices on work-study students.

Disposition: Retain for 3 years after last date of participation in department program, then destroy.

UA-2-6-18

Administrative Staff Search Files

Search files created during the process of advertising, interviewing, selecting and hiring an individual to fill a staff vacancy within the university.

Disposition: Applicants Not Hired: Retain for 2 years, then destroy.

State-Supported Universities General Records Schedules Public Relations Records

Public relations records section includes records relating to public relations and information about the institution. Included are student and campus publications, informational publications and publicity materials. The retention periods assigned to the following records are established for the record copy; i.e., the copy maintained by the creating/authorized office responsible for the public affairs needs of the university.

UA-2-7-1

Commencement Programs

Printed for commencement exercises.

Disposition: Permanent. Retain 2 copies of the commencement program.

UA-2-7-2

Bulletins

(University Catalog)

Produced by a university to provide current and potential students with information on the organization and obligations of the university, degrees offered, staff, class descriptions, basic curricula, rights of the student and other related information.

Disposition: Permanent. Retain 2 copies of each catalog.

UA-2-7-3

Student Newspapers

Published on a periodic basis by university students.

Disposition: Permanent.

UA-2-7-4

News Releases

Statements or announcements concerning the university and its work issued for distribution to the news media and the public.

Disposition: Permanent.

UA-2-7-5

Newsletters

Published by campus organizations or groups for the information of its members and the campus population at large.

Disposition: Permanent.

UA-2-7-6

Press Service Files

Copies of news releases or articles from newspapers or received from a clipping service which relate to the programs of the university.

Disposition: Permanent.

UA-2-7-7

Publicity Photographs

Serve as illustrations in university publications or as visual displays of university activities. Include contact prints, negatives, enlargements from negatives and transparencies. Note: For each item there should be an identification that includes names of individual(s) or subject pictured, the occasion, the place and the date.

Disposition: Permanent.

UA-2-7-8

Recruitment Materials, General

Materials used to recruit students to attend the university. Include videos, publications, posters, advertisements, flyers or buttons/pins.

Disposition: Permanent.

UA-2-7-9

Speeches of University Officials

Statements of university officials prepared for delivery at meetings, interviews, conventions, or other public functions. The format may be paper, audio or video tape, as well as motion picture film.

Disposition: Permanent.

State-Supported Universities General Records Schedules University Police

UA-2-9-1

Daily Activity Reports and Work Schedules

Document the daily activities and work schedules of the campus police department. Contain information on the officer, shift, car number, mileage, calls responded to, violations, and any pertinent information for campus or administrative purposes.

Disposition: Retain for 1 year, then destroy.

UA-2-9-2

Alabama Uniform Traffic Accident Reports

Document all traffic accidents that occur within university police jurisdiction. Contain information on time and location of accident, description of the drivers and vehicles involved, victim information, narrative and diagrammed description, roadway description, and witness information.

Disposition: Retain for 5 years, then destroy.

UA-2-9-3

Campus Parking Tickets

Document citations issued to faculty/staff and students, and 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, permit number- if applicable, student or faculty/staff name, and violation.

Disposition: Retain for 3 years after the year in which the incident occurred, then destroy.

UA-2-9-4

Alabama Uniform Traffic Ticket and Complaint Forms

Describe and report traffic offenses that occur within the university police's jurisdiction. Contains date and time of traffic stop, driver and vehicle information, violation, and court date.

Disposition: Retain for 2 years, or until the case is adjudicated, whichever is longer, then destroy.

UA-2-9-5

Arrest Reports

Document the date and time of arrest, arrestee's name, address and personal information, location of arrest, and for what they were arrested.

Disposition: Retain for 25 years or expiration of statute of limitations for capital or specific felony offenses, whichever is longer, then destroy.

UA-2-9-6

Alabama Uniform Incident/Offense Reports

Document incidents/offenses and accidents that occur on the university campus and surrounding streets that violate university and/or local laws and regulations. Contain case number, type of report, date, time, complainant or victim, address and details of report.

Disposition: Retain for 10 years, then destroy.

UA-2-9-7

Cross Reference Cards

Provide a cross reference or summary of the incidents or offenses involving a single individual. Contains name, address, personal information, social security numbers, date of incident/offense, and type of incident/offense.

Disposition: Retain until no longer useful, then destroy.

UA-2-9-8

Vehicle Emergency Assistance Waivers

Documents vehicle assistance and serves as a waiver of responsibility in the event that a police officer is asked to render assistance to faculty, staff, and students with a broken down vehicle (flat tire, dead battery, engine trouble).

Disposition: Retain for 2 years, then destroy.

UA-2-9-9

Parking Services Complaint and Assistance Reports

Documents parking services assistance rendered to individuals whose car keys are locked in their car or, whose car has a dead battery, is out of gas, or requires towing. This report is completed in conjunction with the waiver.

Disposition: Retain for 2 years, then destroy.

UA-2-9-10

Dispatch Records

Document the dispatch of a campus police officer to investigate a disturbance, or possible crime on the institution's campus.

Disposition: Retain for 3 years, or until the case is adjudicated, whichever is longer, then destroy.

State-Supported Universities General Records Schedules Animal Resources Records

UA-2-10-1

Institutional Animal Care and Use Committee Files

Document requests for approval to use animals in research projects made by the principle investigators and the subsequent actions on the requests. Committee minutes and agenda are governed by UA-2-1-6.

Disposition: Retain for 3 years after completion of all project activity, then destroy.