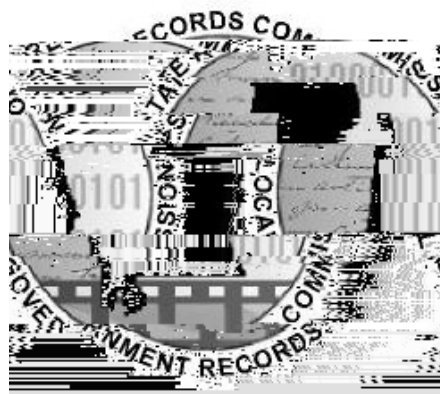


Public Universities of Alabama



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
October 26, 2022**

Functional and Organizational Analysis of Public Universities of Alabama

Sources of Information

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Historical Context

Historical Context – Public Universities

Agency Organization

Agency Function and Subfunctions

f **Admitting/Expelling Students.**

f **Conveying Knowledge.**

f **Evaluating Performance and Conferring Credentials.**

f **Advising and Assisting Students.**

Records Appraisal of Public Universities of Alabama

Records Appraisal

I. Temporary Records.

f **Recruitment Materials and Records (excluding reports, statistical information, or procedures).**

f **Distance Education Student Record Protection Plans.**

f **Alcohol Influence Reports.**

f **Employee Work History.**

II. Permanent Records.

Admitting/Expelling Students

f **Recruitment Materials and Records.**

f **Student Handbooks.**

Conveying Knowledge

f **Course and Curriculum Records (records of approved classes).**

f **Graduation Lists.**

f **Individual Student Academic Records (not including continuing education records not required to produce a transcript).**

Advising and Assisting Students

f **Student Publications (university-wide).**

f **Athletics Case Files/Infractions Files (files of substantiated allegations).**

f **Official Squad Lists.**

Conducting Research

f **Research Project Records (final reports and publications).**

f **Grant Records (data management plan and final grant reports/publications).**

f **Research Policies.**

Administering Internal Operations

f **Board of Trustees Records.**

f **Records of University-Wide Standing Committees – University-Wide Standing committee Minutes, Agendas, Packets, and Recommendations.**

f **Records of Other Committees – Committee Conclusions Not Reported in Standing Committee Minutes or Packets.**

f **President's/Chancellor's/Vice President's/Athletic Director's Files.**

f **Policies and Faculty Handbooks.**

f **Accreditation Records (final assessment/self-study reports and responses).**

f **Annual Reports.**

f **Publications and Publicity Materials.**

f **Class Gift Records.**

f **Records of Gifts and Bequests to the University.**

f **Permanent Financial Documentation.**

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Permanent Records List Public Universities of Alabama

Admitting/Expelling Students

Conveying Knowledge

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Administering Internal Operations: Managing Finances

Administering Internal Operations: Managing Human Resources

Public Universities of Alabama

Records Disposition Requirements

Admitting/Expelling Students

1.01 RECRUITMENT MATERIALS AND RECORDS.

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

1.03 Student Disciplinary Files.

1.04 Requests for Disclosure/Non-disclosure of Personally Identifiable Information.

1.05 STUDENT HANDBOOKS.

Conveying Knowledge

2.01 COURSE AND CURRICULUM RECORDS.

2.02 Academic Program Files.

2.03 Lesson Plans/Syllabi.

2.05 Documentation of Grades (Instructor's Copy).

2.13 Course/Teacher Evaluations.

Evaluating Performance and Conferring Credentials

3.01 College/Department Student Academic Files and Grade and Course Credit Records.

3.02 FINAL GRADES.

3.03 Grade Statistics.

3.04 GRADUATION LISTS.

3.05 INDIVIDUAL STUDENT ACADEMIC RECORDS.

3.06 Continuing Education Program Files.

3.12 Graduation Applications.

4.06 Alabama G.I. and Dependent's Educational Benefits Records.

4.07 U.S. G.I. and Dependents' Educational Benefit Records.

4.08 Alabama National Guard Educational Assistance Program (ANGEAP) Records.

Student Housing

4.14 Student Housing Records (Dorm Records).

Medical/Psychotherapy Care

4.15 Patient Records.

4.29 Injury Surveillance Forms.

4.30 OFFICIAL SQUAD LISTS (not intramural).

4.31 Team Scouting Reports.

4.32 Drug Test Results.

Enforcing Laws

5.01 Records of Driving Violations.

5.02 Alcohol Influence Reports.

5.03 Records of Non-Traffic Arrests and Tickets and Failure to Appear in Court.

5.04 Campus Parking Tickets.

5.05 Uniform Traffic Ticket and Complaint (UTTC) Records.

5.06 Uniform Traffic Ticket and Complaint (UTTC) Transmittal Forms and Receipt Books.

5.07 Daily Assist Tickets.

5.08 Uniform Arrest Reports.

5.09 Alabama Uniform Traffic Accident Reports (AUTAR).

5.10 Felony Awareness Patrol Reports.

5.11 Accident Logs.

5.16 Daily Accident and Activity Logs and Reports.

5.27 Investigation Files.

5.28 Consent to Search Forms.

5.29 Abandoned Vehicle Stickers.

5.30 Wrecker Logs.

5.31 Owner's Requests for Wrecker.

5.32 Wrecker and Wrecker Driver Information Sheets.

5.33 Alcohol Breath-testing Instrument Inspection Sheets.

5.34 Cross Reference Records.

5.35 Dispatch Records.

Conducting Research

6.01 RESEARCH PROJECT RECORDS.

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

6.02 Records of Research Presentations.

6.03 RESEARCH POLICIES.

6.04 Research Agreements.

6.05 Abstracts of Research Publications.

6.06 Sabbatical Files.

Administering Internal Operations: Managing the University

7.01 BOARD OF TRUSTEES RECORDS.

7.02 Records of University-Wide Standing Committees.

7.03 Records of Other Committees.

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

7.05 Minutes and Recordings of Meetings (Not including Board of Trustees and Standing and Ad Hoc Committees).

7.06 PRESIDENT'S/CHANCELLOR'S/VICE PRESIDENT'S/ATHLETIC DIRECTOR'S FILES.

7.07 POLICIES AND FACULTY HANDBOOKS.

7.08 ACCREDITATION RECORDS (Assessment/Self-Study Reports).

7.09 ANNUAL REPORTS (includes university, school/college, and unit reports).

7.10 REPRESENTATIONAL FINAL VERSIONS OF INFORMATIONAL AND PROMOTIONAL MATERIALS.

7.11 Informational and Promotional Working Files.

7.12 Photographs.

7.13 Audiovisual Recordings.

7.21 Routine Correspondence

7.26 RECORD OF GIFTS AND BEQUESTS TO THE UNIVERSITY.

8.07 Accounting Records.

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

8.14 Grant Records – Internally Funded.

8.15 Fiscal Operations Reports.

8.16 Unpaid Accounts Receivable.

8.17 Social Security Payment Files.

8.18 Social Security Reports and Deposits.

8.19 Unemployment Compensation Benefit Files and Reports.

Administering Internal Operations: Managing Human Resources

9.01 Job Recruitment Materials.

9.02 Affirmative Action/Equal Employment Opportunity Case Files.

Administering Internal Operations: Managing Properties, Facilities, and Resources

10.01 Capital Improvements Contract Records.

10.02 Property Inventory Records.

10.03 Receipts of Responsibility for Property.

10.04 Real Property Leasing/Rental Records.

10.05 Building Plans and Drawings.

10.06 Facility Maintenance and Upkeep Records.

10.07 Visitor/Service Personnel Log-In Sheets.

10.08 Identification Records.

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

10.10 Vehicle Records.

10.11 Vehicle Tag Records.

10.12 Fleet Activity Reports.

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

Requirement

Recommendations

