Public Colleges of Alabama
(Alabama College System, including Alabama Industrial Development Training, Alabama Skills Training Consortia, and the Veterinary Technology Program)

Functional Analysis
&
Records Disposition Authority

Revision
Presented to the
State Records Commission
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Note: Please see a separate document titled "General Schedule Records Disposition Authority" for commonly created records related to the following functions: Managing the Agency, Managing Finances, Managing Human Resources, and Managing Properties, Facilities, and Resources. The General Schedule should be used in conjunction with the agency-specific Records Disposition Authority.

The General Schedule Records Disposition Authority is available on the Alabama Department of Archives and History (ADAH) website under the "Manage Records" tab, or may be accessed directly at this link: https://archives.alabama.gov/RDA/?id=255

Functional and Organizational Analysis of the Alabama College System

Sources of Information

- Representatives of the Alabama College System, Department of Postsecondary Education, and the Alabama Commission on Higher Education
- Code of Alabama 1975 § 16-3-1 through 16-3-40; § 16-5-1 through 16-5-33; § 16-60-1 through 16-60-312
- Alabama Administrative Code Chapter 300-1-1 through 300-5-8
- Alabama Government Manual (1998)
- Department of Postsecondary Education Annual Reports (1985-2001) Alabama College System Audit Reports (1999-2001)
- Alabama College System General Record Schedules (August 1993)
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- American Association of Collegiate Registrars and Officers. Retention of Records: Guide for Retention and Disposal of Student Records. Washington DC: American Association of Collegiate Registrars and Officers, 2000
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Historical Context

In 1919, the legislature created the State Board of Education and the Department of Education to be the policy-making board and managing agency for public education in Alabama. The first state- operated trade school, the Alabama School of Trades, opened in Gadsden on September 14, 1925. In 1947, the legislature passed the Regional Vocational and Trade Schools Act (Code of Alabama 1975 § 16-60-190) authorizing the Board of Education to establish and maintain regional trade schools.

Governor George Wallace in the 1960s envisioned a plan to make education available and affordable to the citizens of Alabama. Part of Wallace's platform in 1962 was to create a "system of junior, community, and trade colleges based on the notion that educational opportunities should be available within easy commuting distance of every Alabama student." (Rogers, 572). The next year, the legislature passed the Alabama Trade School and Junior College Authority Act (Code of Alabama 1975 § 16-60-80), which allowed for the creation of new trade schools and junior colleges.

Also in 1963, Wallace approved a proposal to levy a two cent tax on beer to sponsor five junior

and five technical colleges. (Rogers, 611). During this same period, the State Board of Education assumed control of both the junior colleges and the trade schools. The board vested the management of those schools with the superintendent of the State Department of Education. Each institution operated independently seeking its own funding. In 1969, the legislature created a separate agency, the Alabama Commission on Higher Education, to coordinate activities at the postsecondary level.

Finally, in 1982, the legislature created the Department of Postsecondary Education (DPS), a parallel organization to the Department of Education, responsible for the operation of two-year colleges. The chancellor, appointed by the Board of Education, acts as chief executive officer of the DPS, and reports to the board. (Code of Alabama 1975 § 16-60-111 through 16-60-114). In the late 1980s, the Department of Postsecondary Education worked to reform the current system by seeking accreditation from professional associations such as the Southern Association of Colleges and Schools, merging or consolidating schools, and equalizing funding to create a more efficient system.

Agency Organization

The Alabama College System currently consists of nineteen community colleges, seven technical colleges, two junior colleges, the Alabama Industrial Training Institute (AIDT), and three skills centers. Among the institutions within the Alabama College System, community colleges provide both academic and vocation-technical training; junior colleges only provide academic instruction; whereas the technical colleges only provide vocation-technical training. Skills centers and AIDT also provide vocational education, but do not award a degree, instead offering only a certificate of training. This Records Disposition Authority encompasses the records of all colleges within the Alabama College System, but not the skills centers and the Alabama Industrial Training Institute. They will be covered by separate RDAs.

The State Board of Education is the policy-making board for public education. Two parallel agencies operate under its regulations. The Department of Education supervises elementary through high school education, while the Department of Postsecondary Education oversees public community, junior, technical colleges, and a senior institution.

The State Board of Education appoints a chancellor (chief executive officer) who recommends policies for the Alabama College System. This individual, functioning as the head of the Department of Postsecondary Education (DPE) which oversees institutions within the Alabama College System, is also responsible for ensuring the implementation of those policies. To perform its mandated function, DPE provides advice and assistance to member institutions of the Alabama College System in the areas of legal counsel, human resources, and instructional and student services. The department also submits a budget for the Alabama College System to the Board of Education for approval and serves as a source for collecting and gathering statistics on institutions within the Alabama College System.

DPE coordinates the search for presidents to be the leading administrative officials of each of these institutions, but each appointment is subject to approval by the State Board of Education. Upon appointment, these presidents report directly to the chancellor.

The Alabama Commission on Higher Education, a separate agency, also regulates certain aspects of the Alabama College System. This commission, which serves as a coordinating board for all of postsecondary education (universities and two-year colleges), has three main regulatory functions in relation to the Alabama College System: approving academic programs, regulating off-campus sites, and approving new instructional sites. It also serves as the chief information source in sending Integrated Postsecondary Education Data System statistics gathered by the Department of Postsecondary Education to the U. S. Department of Education, National Center for Education Statistics.

Agency Function and Subfunctions

The mandated function of the Alabama College System is to "provide accessible quality educational opportunities, promote economic growth, and enhance the quality of life for the people of Alabama." It is one of the agencies responsible for performing the Client Services – Education function of Alabama government.

In performance of its mandated function, the Alabama College System may engage in the following subfunctions.

- **Recruiting, Admitting, and Enrolling.** This subfunction encompasses all activities related to the recruitment, admission, and enrollment of students. Institutions within the Alabama College System are obligated to recruit potential students, who must apply and meet certain criteria before being admitted to that institution. Once admitted, students may enroll in classes.

- **Conveying Knowledge.** One of the teaching faculty's main responsibilities is to convey knowledge to students through the teaching of courses offered by the college. This subfunction includes the development of syllabi for a course of study, the conveyance of knowledge, and the subsequent evaluation of that course by students. Libraries and laboratories assist students in the learning process by making available material relevant to the student's course of study.

- **Advising and Assisting Students.** Member institutions of the Alabama College System provide students with services to help them obtain an education. Through academic or personal counseling, advisors assist students by assessing strengths, weaknesses, and interests. Knowledge of the student's profile enables the suggestion of a curriculum which will be of benefit to the student in obtaining a degree from that institution. Other assistance in the form of on-campus housing helps alleviate the burden of finding temporary housing while attending school. Those with special needs may request additional assistance.

- **Promoting School/Student Safety and Discipline.** As part of its mission, the Alabama College System seeks to promote the safety and security of its campuses and students. Campus police monitor events on campus and investigate and report on any incidents or accidents that may occur within the campus boundaries. Another primary

responsibility is the assignment and regulation of parking on campus to ensure the adequate delegation of limited space.

- **Sponsoring Student Activities.** To promote student social life and to provide opportunities beyond the classroom, colleges support student activities such as athletic events or other clubs/organizations. Students may pursue related interests and interact socially with other students. The diversity of clubs, organizations, events, publications, contests/competitions, elections, sports, and cultural activities provide a representation of the eclectic interests of students within the Alabama College System.

- **Evaluating Performance and Conferring Credentials.** This subfunction encompasses all activities related to the evaluation and credentialing of students. The assessment of knowledge gained is often ascertained through the provisions of a testing process. A student's performance is evaluated to determine if applicable standards are being met or exceeded. A final evaluation process occurs before conferring a degree on students who completed all necessary requirements. The institution may continue to serve students by providing transcripts or by offering continuing education courses.

- **Administering Grants.** Institutions within the Alabama College System obtain grant funding from state and federal government agencies or private entities. Federal agencies may provide direct grants to an institution or may utilize a state agency to provide such funding. In the latter situation, the state agency usually supplies a certain percentage of the total grant, but federal regulations still apply because the grant is ultimately linked to the federal agency. A few grants may be solely funded by a state agency.

  This subfunction has been subdivided into two main categories. Financial Aid and Assistance reflects college's assistance to students in applying for financial aid. Resource Development represents the college's efforts in applying for grants for strengthening institutions or for developmental aid which targets specific needs.

- **Administering Internal Operations.** The agency performs routine administrative tasks that support or otherwise enable its primary functions. This subfunction does not include records that fall under the "Other Administrative Records" category below.

- **Other Administrative Records.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

  Please see a separate document titled "General Schedule Records Disposition Authority" for commonly created records related to the following functions: Managing the Agency, Managing Finances, Managing Human Resources, and Managing Properties, Facilities, and Resources. The General Schedule should be used in conjunction with the agency-specific Records Disposition Authority.

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Analysis of Record Keeping System and Records Appraisal of the Alabama College System

Agency Record Keeping System

The Alabama College System currently operates a hybrid record keeping system composed of paper and electronic records. Member institutions of the Alabama College System are increasingly using computer systems and other new record-keeping technologies, such as digital imaging systems, for their business transactions and for internal management functions.

The Alabama College System has a website at: www.acs.cc.al.us, which is maintained by staff members of the Department of Postsecondary Education. Basic historical information and facts about the Alabama College System, including its current goals and vision, provide context. Background on the chancellor and trustees positions and brief biographical sketches of the board members provide a description of the leadership of the system. The website also includes a listing of board policies divided by category. Users may obtain lists of all institutions that are part of the Alabama College System and statistical information on individual institutions and the college system as a whole. For staff members of the Alabama College System, internal information for specific groups, such as business officers, may be obtained. Interested individuals may obtain job postings, contact information, and even directions. The website also provides web links to other educational related entities, prominent search engines, and nationally known news organizations. Each college also maintains its own website with varying degrees of information.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama College System: Temporary Records and Permanent Records.

I. <u>Temporary Records.</u> Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama College System are discussed below:

- **Student Admission Records – International Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll.** International students go through great difficulty to obtain documents, such as visas and birth certificates, for admission into colleges. For international applicants who enroll, the retention, which is the same for domestic applicants, "retain 5 years after student's last day of attendance," meets all applicable regulations. To alleviate the burden on students, colleges should, if possible, return such documentation to the student or retain the documentation of unsuccessful applicants for a longer period of time than for domestic applicants to allow them to request the return of such materials. The disposition "if possible, return to student; if not, retain 5 years after application term," is a sufficient period to accommodate the special needs of international students.

- **Alcohol Influence Reports.** These records document alcohol-related offenses and are recommended to be retained until adjudication of the incident in accordance with recommendations from the Alabama Law Enforcement Agency (ALEA).

- **Integrated Postsecondary Education System Reports (IPEDS).** The Department of Postsecondary Education, Division of Statistical Information, collects data on enrollment, financial aid funds, personnel, and college work study programs. Institutions within the Alabama College System submit this information to the Department of Postsecondary Education, where it is maintained permanently. Each institution only needs to maintain the data "5 years after the end of the fiscal year in which the records were created," for reference and administrative needs.

- **Enrollment Summaries.** This series documents the growth/decline in college enrollment, credit hour production, and the size of the current student body. The Department of Postsecondary Education requires the submission of this data from each of the members of the Alabama College System. The Department of Postsecondary Education maintains these records permanently through the Personnel and Enrollment Reporting System (PERS). Individual colleges only need to maintain the records for "5 years after the fiscal year in which the records were created," to fulfill reference and administrative needs.

II. <u>Permanent Records</u>. The Government Records Division recommends the following records as permanent.

Recruiting, Admitting, and Enrolling

- **Recruitment Bulletins.** These booklets, which are updated regularly by the college, provide background information on the college, application procedures, tuition rates, and information on major areas of study and course content. These publications sometimes include guidelines and regulations for students. Bulletins are often referred to as "college catalogs." Because bulletins provide an overview of the college and its changes over time, college catalogs should be retained permanently.

- **Course Catalogs.** Institutes of higher education may publish listings of all courses offered in a given semester or year. Course catalogs may include descriptions of classes, class availability, and pre-requisite courses, among other information. Course catalogs should be retained permanently to document course offerings of the institution over time.

Conveying Knowledge

- **Student (College) Handbooks.** Information included in the student handbook specifically targets the student and may be part of the college catalog or separated into a publication of its own. This series should be retained permanently because of the summary documentation it provides, on a periodic or annual basis, about policies and procedures, regulations, course offerings, graduation requirements, and sometimes student activities.

- **Master Course Syllabi.** This series documents courses taught at each of the colleges within the Alabama College System. Syllabi include a summary, proposed objectives, content, and outline of the course. This series provides an in-depth look at the change in course content over time and a sampling should be retained permanently for reference in creating new syllabi and for the perspective it could provide on the evolution of the curriculum of the Alabama College System.

Advising and Assisting Students

Permanent records providing summary documentation of this subfunction are found in student permanent records under Evaluating Performance and Conferring Credentials.

Promoting School/Student Safety and Discipline

The Alabama College System currently creates no permanent records under this subfunction.

Sponsoring Student Activities

- **Student Activity History Files.** Students within the Alabama College System participate in a variety of college activities which reflect the diversity of interests pursued on college campuses. This record series may be in the form of newspaper clippings, student newspapers, yearbooks, photographs, videotapes and audiotapes, meeting minutes, policies and procedures, programs, and publicity materials. Basic documentation of these activities should be maintained permanently as evidence of these student clubs and organizations, events, publications, contests and competitions, elections, sports, and cultural activities, which provide an understanding of the interaction of students in non-academic activities on campus.

Evaluating Performance and Conferring Credentials

- **Student Permanent Records.** This series consists of documents which make up the official record of individual students and includes necessary admissions, enrollment, and academic data. This series maintains continuing legal and administrative value for the college and for the student and needs to be kept permanently for possible verification of credentials.

- **Original Grade Sheets.** These records document the grade received by a student in a particular course of study. The American Association of Collegiate Registrars and Officers recommends this record series be maintained permanently as source documentation to verify a student's performance.

- **Change of Grade Forms.** This record series documents a professor's authorization to change a grade. The American Association of Collegiate Registrars and Officers recommends this series be maintained permanently as source documentation for this change.

Administering Internal Operations

- **Accreditation Reports (Self-Study or Assessment Reports).** The Southern Association of Colleges and Schools conducts an accreditation review with member institutions of the Alabama College System every ten years. These records document the effectiveness of the institution and determines whether a college will continue to receive accreditation. These reports provide a comprehensive overview of the college and should be maintained permanently for their historical value.

- **Executive Council/Cabinet Meeting Minutes.** This series documents the meetings of leading administrative officials, especially the executive council or cabinet. Minutes provide core documentation of actions taken by upper management within institutions of the Alabama College System.

- **Institutional Management Plans (IMP).** The Department of Postsecondary Education requires the submission of Institutional Management Plans annually by each member of the Alabama College System. The Institutional Management Plan documents the yearly objectives and planning goals to be accomplished within each program area of the college. The Department of Postsecondary Education uses the executive summary from each college to create an overall plan for the Alabama College System. These plans need to be maintained permanently as evidence of the goals established at the institutional level and for future comparison of the realities of what was actually accomplished.

- **Facilities Management Plans.** The Alabama Commission on Higher Education requires the submission of a Facilities Management Plan annually by each institution of the Alabama College System. This report documents the planning goals for the physical renovation or expansion of facilities. The Alabama Commission on Higher Education summarizes these reports for use in planning and prioritizing budget requests. These plans need to be maintained permanently at the institutional level as evidence of the physical expansion planned at each college.

- **Planning Assessment Reports.** Some of the colleges in the Alabama College System create, on an annual or periodic basis, a report which documents the achievement of projected goals at the institutional level. These reports serve as a comparison between the management goals versus the actual accomplishments.

- **Fundraising Foundation Enabling Documentation.** A foundation is often established at a two-year college for the primary purpose of fundraising for the institution. Documentation which allows the foundation to function must be maintained permanently to document this activity.

- **Final Survey Reports.** These records document various topics of college interest through the use of institutional surveys and analysis reports. The final survey reports should be maintained permanently to document trends on college campuses.

- **Fact Books.** This series provides key documentation at the institutional level of statistical

data on student body makeup, faculty, and finances, often on an annual basis.

- **Title VI Consent Decree Records.** This series, also known as reports of the monitoring committee, documents all activities required by consent decree. Because of the importance of this ruling, all such records should be maintained permanently.

- **Personnel Files of Alabama College System Presidents.** These personnel files document a college president's term of service in the Alabama College System. As the administrative leader of the college, these files need to be maintained permanently for their historical value.

Permanent Records List
Alabama College System

Recruiting, Admitting, and Enrolling

1. Recruitment Bulletins
2. Course Catalogs

Conveying Knowledge

1. Student (College) Handbooks
2. Records documenting the description of course content and an outline of the class structure – Master course syllabi

Sponsoring Student Activities

1. Student Activity History Files

Evaluating Performance and Conferring Credentials

1. Student Permanent Records
2. Record documenting the final grades of students, not including transcripts - Original grade sheets
3. Class Withdrawal Records – Withdrawal authorizations
4. Change of Grade Forms

Administering Grants

1. Endowment Scholarship Files – Endowment enabling documentation
2. Endowment Scholarship Files – Scholarship criteria records

Administering Internal Operations

1. Accreditation Reports (Self-Study or Assessment Reports)
2. Agendas and Minutes – Executive Council/Cabinet Meeting Minutes
3. Planning Files – Institutional Management Plans
4. Planning Files – Facilities Management Plans
5. Planning Files – Planning Assessment Reports
6. Fundraising Foundation Enabling Documentation
7. Survey Reports and Data – Final Survey Reports
8. Fact Books
9. Title VI Consent Decree Records
10. Personnel Files of Alabama College System Presidents

Alabama Industrial Development Training

1. Program Administrative Files
2. Records documenting interaction with companies that utilize the services of AIDT

Alabama Skills Training Consortia

1. Meeting Agendas, Minutes, and Packets of the Skills Training Consortia Board

Veterinary Technology Program

1. Accreditation Reports and On-Site Visit Files
2. Records documenting compliance with the United States Department of Agriculture (USDA) – Institute for Animal Care and use Committee (IACUC) Meeting Minutes
3. Records documenting compliance with the United States Department of Agriculture (USDA) – United States Department of Agriculture reports

All college permanent records will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Note: For other permanent administrative records, such as annual reports, newsletters, organizational charts, and informational and promotional materials, please see a separate document titled "General Schedule Records Disposition Authority."

The General Schedule Records Disposition Authority is available on the Alabama Department of Archives and History (ADAH) website under the "Manage Records" tab, or may be accessed directly at this link: https://archives.alabama.gov/RDA/?id=255

Alabama College System 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 Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama College System. The RDA lists records created and maintained by the Alabama College System in carrying out its mandated functions and activities. It establishes 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

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama College System. Copies of superseded schedules/RDAs 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.

- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.

- Certain records and records-related materials need not be retained as records under the disposition requirements in 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 government 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 that 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; and (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.

Records Disposition Requirements

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

Recruiting, Admitting, and Enrolling

1.01 Recruitment Bulletins. Records documenting the history, organization, and responsibilities of the college, and information on major areas of study and courses, usually in the form of a catalog. They may also be referred to as "college catalogs." They provide current and potential students with background information on the college.
Disposition: PERMANENT RECORD.

1.02 Campus Tour Records. Colleges may offer campus tours to prospective students and their families. This series encompasses tour registrations and other records relating to the college's administration of campus tours.
Disposition: Temporary Record. Retain 1 year.

1.03 Student Admission Records. Records documenting students' application for admission into the college degree programs. The files may include, but are not limited to, recruitment materials, applications, acceptance letters, placement records, test scores, and test profiles. This series does not include information to be placed in student permanent records.

a. **Applicants Who Enroll.**
   Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

b. **Domestic Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll.**
   Disposition: Temporary Record. Retain 2 years after application term.

c. **International Applicants Who Were Not Accepted or Who Were Accepted and Did Not Enroll.**
   Disposition: Temporary Record. If possible, return to student. If not, retain 5 years after application term.

1.04 Course Catalogs. This series encompasses records documenting course offerings of the college. It may contain information about class content, availability, and pre-requisite courses, among other information.
Disposition: PERMANENT RECORD.

1.05 Registration Records. Records documenting students signing up for courses or dropping and adding classes. These records also document the intention of an individual to audit a class. Examples of such records include, but are not limited to, audit authorizations, changes of course (add/drop), and registration forms. This series does not include information which must be maintained as part of the student's permanent record.
Disposition: Temporary Record. Retain 1 year after date submitted.

Conveying Knowledge

2.01 Student (College) Handbooks. Records documenting policies and procedures, regulations, course offerings, graduation requirements, and sometimes student activities, on an annual or periodical basis. This information is directed towards the college's students. It may be part of the college catalog or may be separated into the form of a student handbook.
Disposition: PERMANENT RECORD.

2.02 Records documenting the description of course content and an outline of the class structure.

a. **Master Course Syllabi.**
Disposition: PERMANENT RECORD. Retain a complete set of course syllabi for the years the college conducts a self-study and for the years the college is evaluated by the Southern Association of Colleges and Schools.

b. **Lesson Plans/Syllabi.**
Disposition: Temporary Record. Retain for useful life.

2.03 Academic Program Operational Files. Records documenting the administration of an academic program. This series includes, but is not limited to, class rolls, jury sheets, instructor's student files, and faculty class loads.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

2.04 Course/Teacher Evaluations. Records documenting evaluation of courses or professors by students. The evaluations are often summarized in a report, which is used by the college or the teacher to improve the course and its presentation.

a. **Completed Evaluation Forms.** Records documenting the evaluation of a course or professor by the students.
Disposition: Temporary Record. Retain until completion of summary report or 2 years after the end of the fiscal year in which the records were created if no report is created.

b. **Summary Reports.** Records documenting the summarization of comments made by students about a course or professor.
Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.

Library/Media Center Records

2.05 Accession/Deaccession Records. Records documenting items added to or removed from the library's collection. They include item descriptions and acquisition information, but not financial documentation such as purchase orders.
Disposition: Temporary Record. Retain until superseded or no longer useful.

2.06 Shelf Lists and Finding Aids. Records documenting inventory and location index of all library holdings. They assist library staff in physically locating books and other items in the library's collections.
Disposition: Temporary Record. Retain until superseded or no longer useful.

2.07 Cataloging Data and Card Files. Records documenting the cataloging of library holdings in OCLC or other standard bibliographical formats. Cataloging records may include data entry worksheets, separate databases of independent or regional library holdings; and card catalogs retained for convenience or to document items that were never cataloged electronically.

a. **Data entry worksheets.**
   Disposition: Temporary Record. Retain until verification of data in cataloging database.

b. **Databases of collections.**
   Disposition: Temporary Record. Retain until superseded or no longer useful.

c. **Card files (card catalogs).**
   Disposition: Temporary Record. Retain for useful life.

2.08 Interlibrary Loan Records. Records documenting the library's loaning or borrowing of books and other items that are requested by its patrons or those of other libraries.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created, or until return of item, whichever is longer.

2.09 Registration Files. Records documenting patrons' applications for library cards. These records preserve identifying information on individual borrowers.
Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.

2.10 Circulation Files. Records documenting the circulation of library materials to individual borrowers. This series includes all information that identifies patrons utilizing particular books or other library materials.
Disposition: Temporary Record. Retain for useful life.

2.11 Circulation and Attendance Reports and Statistics. Records documenting usage of the library and the overall circulation of library materials. This series includes monthly circulation and attendance reports.
Disposition: Temporary Record. Retain 1 year.

2.12 Library Use Agreements. These records document visitors' agreements to abide by library research and behavior guidelines while on library premises.
Disposition: Retain for useful life.

Advising and Assisting Students

Advising

3.01 Academic Advising and Counseling Records. Records documenting guidance provided to students by either academic advisors or trained counselors. These records may include information which would help the academic counselor assess the student's position or may include other documents such as advice given to students. One such example is STARS (Statewide Articulation Reporting System) guides for use in advising students on appropriate courses to be taken to transfer to four-year institutions and/or to fulfill degree requirements.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

3.02 Student Evaluation Records. Records documenting test scores which are not used for admission but as a counseling tool. These records may include, but are not limited to, ASSET, COMPASS, ACT, or SAT scores.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

Assisting

3.03 Disabled Student Files (Americans with Disabilities Act Files). Records documenting students' requests for accommodations, as well as the college's response to their requests.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

3.04 Student Housing Records. Records documenting the application for, assigning of, and use of the student housing or residence hall facilities by students. Records may include, but are not limited to, applications, credit reports, references, sign-up sheets, photographs, dorm room and mailbox assignments, inspection reports, reservation fees, and meal contracts.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

3.05 Student Health Insurance Program Enrollment and Claims Files. These files document the college's efforts to help students enroll in health insurance programs and establish and maintain coverage of students participating in health insurance programs, in accordance with established guidelines.

a. **General information on the program.**
   Disposition: Temporary Record. Retain until superseded.

b. **Student applications, correspondence, and enrollment cards and files.**
   Disposition: Temporary Record. Retain 4 years after end of student's enrollment in health insurance program.

c. **Student claims files.**

   Disposition: Temporary Record. Retain 2 years after the audit period in which the claim was filed.

Promoting School/Student Safety and Discipline

4.01 Student Disciplinary Records. Records documenting investigations and disciplinary actions brought against students for violations of college rules and regulations. This series includes those incidents not involving campus police.
Disposition: Temporary Record. Retain 5 years after final disposition of case.

4.02 Incident/Offense Case Files. Records documenting reported incidents/offenses occurring within campus police jurisdiction that violate either college rules and regulations or local, state, or federal law. Includes records that document actions taken by authorities in that particular case. This series may include, but is not limited to, records documenting an arrest and booking, surveillance tapes, warrants, and exhibit evidence.

a. **Felony Case Files.**
   Disposition: Temporary Record. Retain 25 years after final disposition of the case.

b. **Misdemeanor Case Files.**
   Disposition: Temporary Record. Retain 10 years after final disposition of the case.

c. **Juvenile Case Files.**
   Disposition: Temporary Record. Retain until subject's age of majority.

d. **Case Files that Do Not Result in Criminal Charges.**
   Disposition: Temporary Record. Retain 5 years.

4.03 Alcohol Influence Reports. These records document alcohol-related offenses.
Disposition: Temporary Record. Retain until adjudication of the incident.

4.04 Accident Records. Records documenting any accidents involving vehicles that occur within the campus police's jurisdiction. These records include private property accidents.
Disposition: Temporary Record. Retain 5 years.

4.05 Parking Records. Records documenting the use and/or violation of college parking facilities by students, employees, or visitors. These records may include, but are not limited to, parking permits, cards, and applications for these items. This series also includes tickets.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Sponsoring Student Activities

5.01 Student Activity History Files. Records documenting student clubs/organizations/honor societies, events, publications, contests and competitions, elections, sports, and cultural activities; may be in the form of newspaper clippings, student newspapers, yearbooks, photographs, videotapes and audiotapes, meeting minutes, policies and procedures, programs, and publicity materials.
Disposition: PERMANENT RECORD.

5.02 Student Activity Administrative Files. Records documenting routine administrative functions related to school activities which include, but are not limited to, financial records for club/organization fund-raising events, ballots for student government elections or cheerleader tryouts, and applications for club/organization or other student positions.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

5.03 Athletic Compliance Records. Records documenting the school's compliance with state regulations and requirements of applicable athletic association; may include letters of intent, student eligibility records, birth certificates, physical examination forms, waivers, application forms, entry forms, athletic book loan slips, schedules, participation requirements, and related records.
Disposition: Temporary Record. Retain 4 years after athlete ceases to participate.

5.04 Athlete Injury Insurance Claim Files. Records documenting injuries to and insurance claims made by college athletes and coaching staff.
Disposition: Temporary Record. Retain 4 years after settlement of claim.

Evaluating Performance and Conferring Credentials

6.01 Student Permanent Records (Student Academic Records, Official Transcripts). Records documenting a student's enrollment and matriculation in a college. The files are considered to be the official records of an individual student. These records include, but are not limited to, admissions, enrollment, and academic data.
Disposition: PERMANENT RECORD.

6.02 Credit Evaluation Records. Records documenting the request to approve the transfer of credits from another institution or the review of non-traditional experience for credit.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

6.03 Enrollment Verifications. Records documenting a request for verification of a student's enrollment in a particular institution and the supporting documentation to verify that request.
Disposition: Temporary Record. Retain until verification of enrollment.

6.04 Academic Progress Records. Records documenting each student's academic progress in college. This series includes, but is not limited to, advanced credit posting authorizations, curriculum change authorizations, course forgiveness, academic bankruptcy, student data change requests, degree audit records, academic action authorizations, and grade distribution analysis reports. This series does not contain academic data found in the Student's Permanent Records.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

6.05 Student Excuses. These records consist of documentation, such as doctors' notes and correspondence, submitted by students to explain or excuse absences.
Disposition: Temporary Record. Retain until the end of the term in which the record was created.

6.06 Examination Materials. Records documenting the level of knowledge acquired by a student in a class. These records include, but are not limited to, graded examinations, academic papers, and other student work.
Disposition: Temporary Record. Retain until closure of appeal period.

6.07 Records documenting the final grades of students, not including transcripts.

a. **Original Grade Sheets.** Records documenting a student's academic progress. This series is usually maintained by the registrar.
   Disposition: PERMANENT RECORD.

b. **Grade Books.** Records documenting a student's academic progress and includes name of teacher, class, names of students, and their grades. This series is created by professors.
   Disposition: Temporary Record. Retain for useful life.

c. **Grade Reports.** Records documenting the dissemination of grades to students. This series may include, but is not limited to, copies of grades mailed to students each semester.
   Disposition: Temporary Record. Retain for useful life.

6.08 Class Withdrawal Records.

a. **Withdrawal requests and supporting documentation.**
   Disposition: Temporary Record. Retain 5 years.

b. **Withdrawal authorizations.**
   Disposition: PERMANENT RECORD.

6.09 Change of Grade Forms. Records documenting the professor's authorization to change a student's recorded grade.
Disposition: PERMANENT RECORD.

6.10 Graduation Evaluation File. Records documenting the student's application for graduation, and the evaluation of that student to determine if applicable qualifications have been met.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

6.11 Requests for Transcripts. Records documenting requests from former students for copies of their records to be sent to other educational institutions or employers and the response to the request.
Disposition: Temporary Record. Retain 1 year after date of submission.

6.12 Continuing Education Records. Records documenting each student's involvement in continuing education courses. Includes all registration and course completion documents. This series includes records involving supplemental training for business and industry.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

Administering Grants

Note: If the record is involved in any loan, claim, or expenditure questioned by program audit, compliance review, investigation or other review, the record must also be maintained until the issue is resolved.

Financial Aid Assistance: Federal Financial Aid Funding

7.01 Title IV Program Files - Campus-Based and Pell Grant Records. Records documenting such programs under Title IV including, but not limited to, the Federal Pell Grant Program, Federal Supplemental Educational Opportunity Grant, Federal Perkins Loan Program, and the Federal Work-Study Program.

a. **Campus-Based and Pell Grant Records Administrative Files and Supporting Documentation.** Records documenting the administration of programs under Title IV including, but not limited to, the Federal Pell Grant Program, Federal Supplemental Educational Opportunity Grant, Federal Perkins Loan Program, and the Federal Work-Study Program.
   Disposition: Temporary Record. Retain 3 years after the end of the award year in which the aid was awarded.

b. **Fiscal Operations Reports and Application to Participate (FISAP) and supporting records.** Records documenting the institution's eligibility to participate in Federal Title IV programs. This series also consists of an operations report on prior year expenditures and student population served as well as an application to request funding for the upcoming year.
   Disposition: Temporary Record. Retain 3 years after the end of the award years in which the report was submitted.

c. **Perkins repayment records.** Records documenting the payment of the borrower on the loan.
Disposition: Temporary Record. Retain 3 years after the date on which a loan is assigned to the Department of Education, cancelled, or repaid.

d. **Perkins original promissory notes and repayment schedules.** Records documenting the obligation of the borrower to repay the loan. This series includes promissory notes and repayment schedules.
Disposition: Temporary Record. Retain until the loan is satisfied or the documents are passed to another entity to enforce payment.

7.02 Title IV Program Files - Federal Family Education Loan Program (FFEL) and Direct Loans. Records documenting such programs under Title IV including but not limited to the Federal Family Education Loan Program and the Federal Direct Loan Program.

a. **Records related to the borrower's eligibility and participation in FFEL and the Federal Direct Loan Program.** Records documenting the application and approval or denial of loan funds through FFEL or the Federal Direct Loan Program.
Disposition: Temporary Record. Retain 3 years after the end of the award year in which the student last attended.

b. **FFEL and the Federal Direct Loan Program Administrative Files and Supporting Documentation.** Records documenting the administration of FFEL and the Federal Direct Loan Program. This series includes but is not limited to such records as reports.
Disposition: Temporary Record. Retain 3 years after the end of the award year in which the report was submitted.

7.03 U.S. G.I. and Dependent's Educational Benefits Files. Records documenting the educational training of students entitled to VA benefits.
Disposition: Temporary Record. Retain 3 years after termination of enrollment.

7.04 Veteran's Vocational Rehabilitation Files. Records documenting the eligibility of veterans to participate in the Veteran's Vocational Rehabilitation Program.
Disposition: Temporary Record. Retain 3 years after termination of enrollment.

Financial Aid Assistance: State Financial Aid Funding

7.05 State Waiver Scholarship Files. Records documenting tuition waivers awarded to college students for such accomplishments as leadership, academics, and the performing arts.
Disposition: Temporary Record. Retain 5 years after the end of the award year.

7.06 Alabama G.I. and Dependent's Educational Benefits Records. Records documenting the eligibility of and awarding of funds to students who are dependents of a service-related disabled veteran, deceased veteran, or the disabled veteran himself/herself.
Disposition: Temporary Record. Retain 8 years from date of certification of eligibility.

7.07 Alabama National Guard Education Assistance Program (ANGEAP) Records. Records documenting the eligibility and educational costs of ANGEAP applicants.
Disposition: Temporary Record. Retain 5 years after date of certification on application.

7.08 Police Officers and Firefighters Survivors Program Files. Records documenting the eligibility and education costs of students who receive assistance through the Police Officers and Firefighters Survivors Educational Assistance Program.
Disposition: Temporary Record. Retain 5 years after date of certification on an institutional invoice.

7.09 Alabama Scholarships for Dependents of Blind Parents Files. Records documenting the eligibility of recipients participating in or applying for assistance through the program as well as program costs and billing information.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

7.10 Alabama Student Assistance Program Files. Records documenting an institution's application for these funds, the awarding of eligible students, the receipts of funds, and in some cases, the return of funds.
Disposition: Temporary Record. Retain 5 years after student's last day of attendance.

Financial Aid Assistance: Private Financial Aid Funding

7.11 Scholarship Award Files. Records documenting the awarding of scholarships to prospective students. This series includes but is not limited to correspondence, applications, recommendations, grade listings, statements of need, accounting records, and approvals or disapprovals.
Disposition: Temporary Record. Retain 3 years after the end of the award year.

Financial Aid Assistance: Other Sources

7.12 Endowment Scholarship Files. Records documenting the establishment, guidelines, and administration of funds set up by individuals or corporations, in which the interest on a principal amount is awarded to students.

a. **Endowment Enabling Documentation.** Records documenting the establishment of funds from which, on the interest, scholarships may be awarded.
   Disposition: PERMANENT RECORD.

b. **Scholarship Criteria Records.** Records documenting the criteria, established by donors, under which the endowment scholarship will be awarded.
   Disposition: PERMANENT RECORD.

c. **Subsidiary Documentation.** Records documenting the administration of endowment scholarships to college students.
   Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

7.13 Other Financial Aid Funding Files. Records documenting the eligibility of and awarding of funds to students from sources which have not been mentioned under the subfunction "Administering Grants."
Disposition: Temporary Record. Retain 5 years after student's last day of attendance; or until the fulfillment of applicable regulations, whichever is longer.

7.14 Unsuccessful Financial Aid Application Files. Records documenting the unsuccessful application for scholarships.
Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the application was received.

Administering Internal Operations

8.01 Accreditation Reports (Self-Study or Assessment Reports). Records documenting accreditation reviews by accrediting agencies in the form of self-study, assessment, or other formal reports.
Disposition: PERMANENT RECORD.

8.02 Records of Professional Associations and Activities. Records documenting all professional associations, such as the American Association of Community Colleges, connected with the Alabama College System.
Disposition: Temporary Record. Retain for useful life.

8.03 Agendas and Minutes. Records documenting meetings in institutions of the Alabama College System.

a. **Executive Council/Cabinet Meeting Minutes.** Records documenting meetings between leading administrative officials, specifically the executive council/cabinet.
   Disposition: PERMANENT RECORD.

b. **Meeting Minutes of Other College Committees or Organizations.** Records documenting meetings of committees or various departments.
   Disposition: Temporary Record. Retain 3 years after the fiscal year in which the records were created.

8.04 Planning Files. Records documenting yearly objectives and planning goals to be accomplished within each program area of the college or within such areas as capital expansion or maintenance.

a. **Institutional Management Plans.** Records documenting the yearly objectives and planning goals to be accomplished within each program area of the college, compiled into one document for each institution within the Alabama College System. The Department of Postsecondary Education requires the annual submission of this report.
   Disposition: PERMANENT RECORD.

b. **Facilities Management Plans.** Records documenting planning goals for the physical renovation or expansion of facilities. The Alabama Commission on Higher Education requires the submission of this plan from institutions within the Alabama College System.
Disposition: PERMANENT RECORD.

c. **Planning Assessment Reports.** Records documenting the achievement of projected goals for each institution, often on an annual basis.
Disposition: PERMANENT RECORD.

8.05 Fundraising Foundation Enabling Documentation. Records documenting the creation of a foundation for fund-raising activities for the college. This series may include, but is not limited to, articles of incorporation, by-laws, and annual financial reports.
Disposition: PERMANENT RECORD.

8.06 Survey Reports and Data. Records documenting various topics of college interests through the use of institutional surveys and analysis reports.

a. **Final Survey Reports.** Records documenting the final summarization of the data collected through the survey.
Disposition: PERMANENT RECORD.

b. **Survey Documentation.** Records documenting the questions asked by surveys and the answers provided by individuals.
Disposition: Temporary Record. Retain until completion of survey report.

8.07 Fact Books. Records documenting statistical data on student body makeup, faculty, and finances. This book is used as a quick reference for the colleges.
Disposition: PERMANENT RECORD.

8.08 Integrated Postsecondary Education System Reports (IPEDS). Records documenting enrollment, financial aid funds, personnel, and college work study programs through the submission of data by each college for the U.S. Department of Education, National Center for Education Statistics.
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

8.09 Enrollment Summaries. Records documenting the growth/decline in college enrollment, credit hour production, and the size of the current student body in each of the colleges through the Personnel and Enrollment Reporting System (PERS).
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

8.10 Institutional Reports. Records documenting summarized data collected on some aspect of the institution into some consolidated form.
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

8.11 Presentation Materials. Records documenting the presentations of staff members of the Alabama College System at official functions. This series consists of formal presentation materials prepared for and distributed prior to and during workshops, conferences, professional meetings, seminars, workshops, and in-service training programs.
Disposition: Temporary Record. Retain for useful life.

8.12 Test Site Materials. Records documenting the use of college facilities to administer such examinations as the GED or SAT. Materials maintained on the campus may include, but are not limited to, such items as copies of tests or pass/fail records.
Disposition: Temporary Record. Retain for useful life.

8.13 Complaints/Legal Case Files. Records documenting complaints against the college or official actions taken against the institution in court.
Disposition: Temporary Record. Retain 6 years after resolution of the complaint or case.

8.14 Compliance Records. Records documenting a college's participation and compliance with federal or state regulations, such as, but not limited to, the Americans with Disabilities Act, the Student Right to Know Act, or the Family Educational Rights and Privacy Act. This series specifically relates to transition plans and self-evaluation records.
Disposition: Temporary Record. Retain superseded evaluations 3 years after the end of the fiscal year in which the record was created.

8.15 Title VI Consent Decree Records. Records documenting all activities required by the consent decree.
Disposition: PERMANENT RECORD.

8.16 Search Committee Files. Records documenting the process of a search committee advertising for, interviewing, selecting, and hiring an individual to fill an administrative, staff, or faculty position. Examples include, but are not limited to, applications, correspondence, resumes, evaluation forms, and any other supporting documentation.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

8.17 Personnel Files of Alabama College System Presidents. Records documenting a college president's term of service in the Alabama College System.
Disposition: PERMANENT RECORD.

8.18 Faculty Tenure and Promotion Files. Records documenting the process of academic review for promotion or tenure.
Disposition: Temporary Record. Retain until statute of limitations is met or until settlement of claim, whichever is longer.

8.19 Fidelity Bonds. Records documenting the payment for fidelity insurance by Alabama College System officials to guarantee personal honesty. These bonds are renewed annually.
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

8.20 Work Study Files. Records documenting the participation of students in the College Work Study Program.
Disposition: Temporary Record. Retain 3 years after submission of the Fiscal-Operations Report for that award year.

Other Administrative Records

Note: For all other administrative records, please see a separate document titled "General Schedule Records Disposition Authority" for commonly created records related to the following functions: Managing the Agency, Managing Finances, Managing Human Resources, and Managing Properties, Facilities, and Resources. The General Schedule should be used in conjunction with the agency-specific Records Disposition Authority.

The General Schedule Records Disposition Authority is available on the Alabama Department of Archives and History (ADAH) website under the "Manage Records" tab, or may be accessed directly at this link: https://archives.alabama.gov/RDA/?id=255

Alabama College System Records Disposition Authority: Alabama Industrial Development Training (AIDT)

Records Disposition Requirements

This section of the RDA lists records created and/or maintained by Alabama Industrial Development Training (AIDT) as a result of activities and transactions performed in carrying out its functions.

Main Office

9.01 Program Administrative Files. Records documenting the activities of an agency or division. This series consists of the meeting summaries of the advisory council and subject files documenting the administration of various projects for companies. Typical records in these files include administrative correspondence, memoranda, reports, agency publications, and other materials concerning agency policy, procedures, organization, programs, and fiscal or personnel matters.
Disposition: PERMANENT RECORD.

9.02 Records documenting interaction with companies that do not utilize the services of AIDT. Records documenting meetings with companies/prospects before a decision is made about coming to Alabama and using the services of AIDT. These files contain contact reports, letters, and miscellaneous documents.
Disposition: Temporary Record. Retain 3 years.

9.03 Records documenting interaction with companies that utilize the services of AIDT. Records documenting training projects, including management instruction for supervisors. Types of records in these project files may include, but are not limited to, project file information sheet; summaries of meetings, copies of instructor contracts, official letter of commitment (LOC) sent to company, signed LOC received back from the company, closure letter and/or memorandum, AIDT service appraisals, and trainee summary reports. Project files should be maintained permanently to document training services provided to companies in Alabama.
Disposition: PERMANENT RECORD.

9.04 Trainee Files. Trainee files are a series of different files indicating the path of the selection and interview process for a company for which AIDT is providing interviewing and screening assistance.

a. **Records documenting applicants accepted for an interview but not accepted into the class.** Records documenting individuals selected for an interview, including those who did not show up for the interview, those rejected after the interview, and those placed on standby. These records are filed by company name and interview date and are only needed for short term reference.
Disposition: Temporary Record. Retain 1 year.

b. **Records documenting applicants accepted for a class.** Records documenting applicant name, address, and interview date of those accepted for a class. Original applications of those accepted and a copy of the acceptance letter are also filed.
Disposition: Temporary Record. Retain 2 years from training completion.

Special Project Training Sites

9.05 Application Files. Records documenting the application process. These files include items such as applications for employment with the company, interview summary sheets, pre-employment training score sheets, and any correspondence from the applicant. These records need to be maintained three years from date of last activity.
Disposition: Temporary Record. Retain 3 years from date of last activity.

Alabama College System Records Disposition Authority: Alabama Skills Training Consortia

Records Disposition Requirements

This section of the RDA lists records created and/or maintained by the Alabama Skills Training Consortia as a result of activities and transactions performed in carrying out its functions.

Main Offices

10.01 Meeting Agendas, Minutes, and Packets of the Skills Training Consortia Board. The board, composed of presidents of all colleges serviced by the skills training consortium in that region, was established to oversee the planning and implementation of skills training program initiatives. The board is obligated to meet at least once a year. This series contains meeting agendas, minutes, and other supporting documents of the skills training consortia board. Disposition: PERMANENT RECORD.

Service Centers and Training Sites

10.02 Customer Service Files. Records documenting the assistance provided to and participation of individuals in employment and training services. These files include applications for assistance, determination of program eligibility, testing/assessment results, service or training plans, counseling notes, activity enrollment, and customer employment results.
Disposition: Temporary Record. Retain 6 years from the date of final customer participation.

10.03 Training Files. Records documenting individuals enrolled in short-term, non-credit, certificate/license training programs (such as truck driving). These files include student pre-qualifying documents, training progress, training outcomes, and certificate/license issued. This series is created and maintained by the training site as opposed to the service center.
Disposition: Temporary Record. Retain 6 years from the date of training completion.

Note: Provisions of the Alabama College System RDA may also be implemented by the staff of the Skills Training Consortia for their routine administrative records.

Alabama College System Records Disposition Authority: Veterinary Technology Program

Records Disposition Requirements

This section of the RDA lists records created and/or maintained by the Veterinary Technology Program as a result of activities and transactions performed in carrying out its functions.

11.01 Accreditation Reports and On-Site Visit Files. Records documenting the on-site visit and resulting accreditation report every five to six years by the Committee on Veterinary Technician and Education Activities (CVTEA) of the American Veterinary Medical Association (AVMA) concerning the veterinary technology program at Snead State Community College. The accreditation report states status of accreditation and addresses essential requirements of a veterinary technology program. To maintain accreditation, the veterinary technology program also needs to create a biennial report which addresses the critical and major recommendations of the review committee. All of these reports and on-site visit files provide an in-depth look at the veterinary technology program and should be maintained permanently.
Disposition: PERMANENT RECORD.

11.02 Preceptorship Clinic Evaluations. Records documenting evaluations of clinics desiring qualification to use students who are trained to be veterinary technicians. At the end of the student's second year, s/he will go into the field for preceptorship, or practical experience with a veterinarian. Clinics that would like to qualify for using a student must fill out a form answering certain questions to ensure that the clinic meets standards. Clinics must re-submit these forms every four years, so that students work only in those clinics that keep up with changes in practice and technology.
Disposition: Temporary Record. Retain 4 years.

11.03 Preceptorship Student Files. Records documenting activities performed by students during preceptorship. These students must accomplish a certain diversity of tasks and turn in those forms to show that they have completed the preceptorship. During the course of the preceptorship, the students are evaluated based on their work. Because preceptorship occurs at the end of the student's second year, the state board examination is taken the same summer as the preceptorship. Therefore, these records need only to be maintained a short period for reference.
Disposition: Temporary Record. Retain 2 years.

11.04 Distance Education Files. Records documenting the feasibility of distance education. Because the veterinary technology program is the only one of its kind in Alabama, the program has been trying to establish some sort of distance education program. This attempt has been unsuccessful as of 2003 because of lack of funding, as well as training in proper equipment needed to implement a distance education program. Files are kept on the potential of distance education and on students who inquire about the possibility of such a program. These records only need to be kept for useful life.
Disposition: Temporary Record. Retain for useful life.

11.05 Student Rabies Immunization Files. Records documenting rabies immunization shots given to students. In the past, the program has initiated a student rabies immunization program for all students. The rabies vaccine was administered through the practitioner for the college. These records need to be maintained in accordance with guidelines for other immunization records - ten years. Because of price changes and problems with monetary collection, the program will probably not initiate these shots in the future but recommend that students get the vaccine from their doctors.
Disposition: Temporary Record. Retain 10 years after the end of the year in which the immunization was given.

11.06 Lab Animal Disposition Logs. Records documenting the admission and eventual disposition of all lab animals. These records should be maintained for six years after disposition of animal in case of possible liability.
Disposition: Temporary Record. Retain 6 years after disposition of animal.

11.07 Consent Forms. Records documenting consent provided by an owner before the veterinary technology program can care for an animal. These forms need to be maintained six years after return of animal in case of possible liability.
Disposition: Temporary Record. Retain 6 years after return of animal.

11.08 Lab Animal Health Certificates. Records documenting the health of guinea pigs and hamsters used in the program. These health certificates are shipped along with the animals and are completed upon delivery to indicate the condition of the animals. These records should be kept five years to ensure compliance with federal law that requires documentation of transportation date and sale of such animals.
Disposition: Temporary Record. Retain 5 years.

11.09 Records documenting care of animals in the Veterinary Technology Program.

a. **Animal Medical Care Files.** Records documenting medical care of animals in the veterinary technology program, including the anesthetized animal log, radiology log, and radiographs. These records need to be maintained seven years for administrative use.
Disposition: Temporary Record. Retain 7 years.

b. **Rabies Certificates for Animals.** Records documenting all rabies immunizations provided to animals in the veterinary technology program. Alabama law requires that animals be immunized for rabies every year. These certificates should be maintained three years to provide a sufficient history of immunization.
Disposition: Temporary Record. Retain 3 years.

c. **Subsidiary Documentation of Animal Care.** Records documenting subsidiary information of animal care which may include, but is not limited to, clinical pathology lab submission sheets, surgery flow sheets, and clinical medicine flow sheets. This information is temporary in nature and only needs to be maintained for short term reference.
Disposition: Temporary Record. Retain 1 year.

11.10 Records documenting compliance with the Drug Enforcement Administration (DEA).

a. **Drug Enforcement Administration Certificates.** Records documenting registration by the veterinary technology program with the Drug Enforcement Administration of the U. S. Department of Justice to use controlled substances. This registration is valid for three years. (21 CFR 1301.13).
Disposition: Temporary Record. Retain 3 years after issuance of registration.

b. **Drug Enforcement Administration Controlled Drug Logs and Order Forms.** Records documenting all controlled drug forms, including inventory and dispensing records. "Every inventory and other records… shall be kept by the registrant and be available, for at least two years from the date of such inventory." (21 CFR 1304.04)
Disposition: Temporary Record. Retain 2 years from creation.

11.11 Records documenting compliance with the United States Department of Agriculture (USDA).

a. **Institute for Animal Care and Use Committee (IACUC) Meeting Minutes.** Records documenting meetings of the IACUC. The USDA requires the veterinary technology program to establish and maintain its own IACUC committee to review protocol for the treatment of animals and to implement those policies. The committee consists of an individual from the community, a veterinarian, and other representatives from the institution. These meeting minutes provide key documentation of decisions within the program on the care of animals and should be maintained permanently.
Disposition: PERMANENT RECORD.

b. **United States Department of Agriculture Reports.** Records documenting the periodic inspection of the veterinary technology program by the United States Department of Agriculture (USDA) to ensure that the program is following proper protocol for animal housing, utilization of equipment, and safety. The reports which cite violations prove to be a valuable resource for the program to determine past and periodic problems.
Disposition: PERMANENT RECORD.

11.12 Radiation Exposure Records. Records documenting exposure of the veterinary technology program's personnel and students to radiation. The state Department of Public Health requires the program to keep up with this information. It should be maintained six years after the person is deceased to serve as evidence for potential lawsuits.
Disposition: Temporary Record. Retain 6 years after individual is deceased.

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

Requirement

Under the Code of Alabama 1975, § 41-13-21, "no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission." This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama College System (hereafter referred to as the agency) as stipulated in this document.

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

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency's approved RDA.

- Permanent records in the agency's custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.

- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the

agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on April 16, 2025.

_____ _____

Steve Murray, Chairman Date
State Records Commission

Receipt Acknowledged:

_____ _____

Roy W. Johnson, Chancellor Date
Alabama College System

Note: This RDA has been updated to reflect the adoption of the "General Schedule Records Disposition Authority" at the State Records Commission's April 22, 2026, meeting.

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