

**State Board of Education /
Department of Education**



**Functional Analysis
&
Records Disposition Authority**

**Revision
Presented to the
State Records Commission
July 22, 2003**

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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 State Board of Education / Department of Education

Sources of Information

- Representatives of the Department of Education
- Code of Alabama 1975 § 16-1-1 through 16-60-221
- Code of Alabama 1975 § 41-22-1 through 41-22-27 (Administrative Procedures Act)
- Alabama Administrative Code Chapter 290
- Alabama Government Manual (2002)
- Constitution of 1901, Article V § 114, 116, 118, 132; Article XIV, § 256-270; and Amendment 284
- Code of Federal Regulations (CFR)
- Harvey, Ira. *A History of Educational Finance in Alabama*. Auburn University: The Truman Pierce Institute of the Advancement of Teacher Education, 1989.
- Department of Education Annual Reports
- “Board Briefs” (October 10, 1996 and January 9, 1997)
- Alabama Education News, Vol. 20, No. 1-4 (November 1996 - January 1997)
- Disability Determination Services (DDS) Fiscal and Administrative Manual, 1989
- *Britnell v. Alabama State Board of Education*, 374 So.2d 282 (Ala. 1979)
- Holdings of the Department of Archives and History for Department of Education Government Records Division, State Agency Files (1985-ongoing)
- Department of Education website

Historical Context

The first provision for free public schools in Alabama was established by an act of the legislature in 1854. The act provided for a superintendent of education elected by the general assembly to serve for two years. The superintendent was assisted by three commissioners from each county and three trustees from each township. The provisions for election and service of this position changed several times, until the constitution of 1901 provided for the state superintendent of education to be popularly elected every four years. In 1919, an act of the legislature established the Department of Education and the State Board of Education. Then, in 1969, the legislature provided that the state superintendent of education would be appointed by the State Board of Education and would be the chief executive officer of the Department of Education.

Agency Organization

State Board of Education

The State Board of Education, created in 1919, determines policies for public education in the state of Alabama. Eight members, elected from districts, and the governor make up the State Board of Education. The governor serves as the president, and the vice president is elected by the members, who serve four-year terms and must be qualified voters of the district they represent.

The State Board of Education also constitutes the controlling authority for the Alabama community and technical colleges, and for Athens State University. On recommendations of the Department of Postsecondary Education and the Chancellor, the board makes rules and regulations for the government of each school, prescribes the courses of study to be offered, and the conditions for granting certificates, diplomas, and/or degrees. The board also appoints the president of each college, prescribes qualifications and tenure requirements for faculty, and establishes salary schedules.

The State Superintendent of Education, who is appointed by and serves at the pleasure of the board, is secretary and executive officer of the board for the public K-12 schools. The chancellor of the Department of Postsecondary Education serves as secretary to the board and as executive for overseeing community and technical colleges and Athens State University.

Superintendent of Education

The State Board of Education appoints an individual to serve at the pleasure of the board as the state superintendent of education. The state superintendent is Alabama's chief state school officer and, as such, has general control and supervision over the state's K-12 public schools. The State Board of Education determines the authority and duties of the state superintendent, subject to any regulations prescribed by Alabama law. The superintendent is responsible for administering public education as provided by the Constitution of Alabama, statutory enactments, and policies set by the board; and for administering and supervising the State Department of Education.

The Constitution of 1901 Article V establishes the state superintendent of education within the executive department as an elected official. Amendment 284 to the Constitution ratified in December 1969, excluded the office from the executive department and vested in the State Board of Education the general supervision of the public schools in Alabama and the authority to determine the duties of the superintendent.

Department of Education

The Department of Education, as mandated by Code of Alabama 1975 § 16-2-2, executes educational policy for the K-12 schools of the state as determined by the State Board of Education and authorized by law.

The Department of Education also serves as the agency responsible for reviewing and determining the eligibility of claims for Social Security disability insurance and Supplemental Security Income benefits. The Disability Determination Service (DDS), with offices in Birmingham and Mobile, operates in compliance with the regulations of the Social Security Administration. The programmatic areas of DDS are virtually independent of the department, but the administrative support operations (financial management, human resources management, and property management) are coordinated through the department's accounting, purchasing, and personnel areas.

An organizational chart is attached.

Agency Function and Subfunctions

The mandated functions of the State Board of Education are to establish policies, prescribe minimum course content, and exercise general control and supervision over the public elementary and secondary schools. It is one of the agencies responsible for performing the Policy and Statute Development and Regulatory functions of Alabama government.

The mandated functions of the Department of Education are to execute the educational policies of the State Board of Education and to monitor and regulate the school systems. It is one of the agencies responsible for performing the Health and Social Services and Education subcategory of the Client Services function of Alabama government.

In performance of its mandated functions, the State Board of Education / Department of Education may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** Upon recommendation by the superintendent and the department, the board considers and adopts policies, rules, and regulations for the construction of school buildings (Code of Alabama 1975 § 16-4-10), the maintenance of healthy (sanitary) conditions within the schools (Code of Alabama 1975 § 16-4-13), the operation and purchase of school buses (Alabama Administrative Code Chapter 290-2-4, Code of Alabama 1975 § 16-27-1), the implementation of standardized grading and instruction of students (Code of Alabama 1975 § 16-3-14 and § 16-4-14), the development of vocational education programs (Code of Alabama 1975 § 16-4-17), the training and certification of teachers for employment in Alabama (Code of Alabama 1975 § 16-3-16.1), and the identification of educational needs statewide (Code of Alabama 1975 § 16-3-22 and § 16-4-20). The power of the board to adopt rules and regulations is cited in the Code of Alabama 1975 § 16-3-13. The state superintendent of education, as mandated by the Code of Alabama 1975 § 16-3-2, serves as secretary and chief executive officer of the State Board of Education.
- **Developing Curricula.** The state superintendent of education serves as the executive secretary for the State Courses of Study Committee (Code of Alabama 1975 § 16-35-1 to § 16-35-5), which conducts continuing studies and evaluations of the courses taught in K-12 education. The committee prepares the contents of the courses of study for each grade and prepares a written recommendation for presentation to the State Board of Education for action on the minimum contents of courses of study and the maximum number of compulsory courses for each grade.

In response to the Code of Alabama 1975 § 16-6B-1 and § 16-6B-2, the State Board of Education establishes a core curriculum for public K-12 schools that meet the requirements codified by the legislature. These core curricula form part of the courses of study that are regularly evaluated and recommended to the board by the State Courses of Study Committee. The State Department of Education coordinates activities in the development of core curricula and their inclusion in the courses of study.

- **Selecting Textbooks.** The State Board of Education appoints a twenty-three-member State Textbook Committee to consider and recommend the textbooks to be used in public K-12 schools. The State Textbook Committee reviews sample textbooks submitted to the State Department of Education by publishers bidding on the state textbook contract. The committee holds public hearings to discuss the merits of the books and reports its findings plus a proposed list of textbooks to the State Board of Education for review and approval. The board has final approval over the list of approved texts and the establishment of a statewide textbook contract. Where possible, the committee selects at least six books for usage for each subject in each grade. The local textbook selection committees review and consider these books in order to select the individual texts to be used in each school system (Code of Alabama 1975 § 16-36-1 to § 16-36-6).
- **Overseeing the Construction and Maintaining an Inventory of All School Facilities.** The Code of Alabama 1975 § 16-4-21 requires the state superintendent to conduct and maintain a continuous inventory of all school buildings and sites and to assist in the construction of school buildings by studying school needs and reviewing building plans. This inventory is maintained as a computerized database that is purged of inactive or incorrect data on an annual basis. The state school architect maintains building plans during construction and works with local school officials to ensure compliance with all applicable state laws. The school architect also administers Public School and College Authority (PSCA) bond monies for capital improvement projects in the school systems and for school improvements funded by Public Educational Building Authorities (Code of Alabama 1975 § 16-18-1). Only after obtaining the approval of the state superintendent and the state school architect may construction begin (Alabama Administrative Code Chapter 290-020- 020-.03[7c]). Building plans, specifications, and schematics are also submitted to the Building Commission for review and approval (Code of Alabama 1975 § 41-9-141 and § 41-9-171).
- **Certifying Teachers.** The Code of Alabama 1975 § 16-23-1 provides for the certification of each person who serves as a teacher or in an instructional support position with the public schools of the state, or who serves as a private tutor. An individual must submit an application packet for review by the department's teacher certification staff when seeking certification for preschool through twelfth grade. Certificates are issued at the Class B (bachelor's degree), Class A (master's degree), and Class AA (sixth year) levels. Actions taken in regard to certification include the initial issuance, continuance, reinstatement, or revocation of a teacher's certificate. Under authority of the Code of Alabama 1975 § 16-23-5, certificates may be revoked, rendering the individual unable to teach within Alabama schools, for immoral conduct or unbecoming or indecent behavior.
- **Educating and Testing Teachers.** In order to ensure that teachers are prepared for their various duties, the state provides educational programs which take into account the spectrum of interests, abilities, and talents found in the school population (Alabama Administrative Code Chapter 290-030-030-.03[1a]). Teachers participate in educational programs as undergraduates, graduates, or postgraduate candidates preparing to become teachers or seeking to specialize in a field or major area. The State Board of Education also provides alternative programs for individuals who meet certain criteria for teaching

positions. The State Board of Education also requires teacher testing as a precondition for certification of prospective teachers. All teacher education programs must meet the criteria determined by the State Board of Education (Code of Alabama 1975 § 16-23-14). The State Board of Education mandates that all proposed teacher education programs be reviewed on a five-year cycle by a team of specialists appointed by the state superintendent. No teacher education program may be implemented prior to this review.

The department provides a placement service to comply with the Code of Alabama 1975 § 16-23-6. The department disseminates information about Alabama teaching and administrative vacancies to job hunters both within and outside the state. Vacancy notices are sent to these individuals based on their teaching fields and other information indicated on a short questionnaire. For those who are interested in teaching but have not completed a teacher education program, a special packet is sent including information about alternative certification programs, teacher certification, salaries and general information relating to education in Alabama.

- **Certifying School Bus Drivers and Mechanics and Conducting School Bus Safety Inspections.** The State Department of Education certifies school bus drivers and mechanics and conducts school bus safety inspections in accordance with state and federal law. As part of this subfunction, the department provides qualified instructors for driver training, designs written certification examinations, provides representatives for performance tests, and provides qualified inspectors for school bus equipment inspections (Alabama Administrative Code Chapter 290-020-040-.04, Code of Alabama 1975 § 16-27- 1 to § 16-27-7). The department also obtains from local school systems records documenting school bus accidents (Alabama Administrative Code Chapter 290-020-040-.07).
- **Establishing Student Assessment Programs.** In order to evaluate student achievement for the purposes of educational accountability, the board has established a unified, coordinated, statewide testing program. The department administers a standardized national achievement test and high school graduation examination. These tests establish a student's competency in various subjects, including reading, math, language, science, and social science and measure that competency against the standards established by the board or against national standards. The results of these tests are used to adjust core curricula and monitor student achievement improvements on the state and national levels. The department also monitors test administration procedures to ensure adherence to standardized testing conditions and to ensure security for the tests and test results in order to protect and provide accurate testing data.
- **Administering Education Accountability.** Title 16 Chapter 6B of the Code of Alabama 1975, the Education Accountability Plan, requires the State Board of Education to establish specific levels of student achievement, to provide for the identification of at-risk children, and to offer a program of assistance to schools and school systems managing these children. At-risk children are those children performing below the standards established by the board and one or more grade levels behind the national average. Schools are rated based on disaggregated data and assessed based on factors

such as number of paid free lunches, gender, and economic status. Schools and school systems with at-risk children must provide needed tutoring and enforcement of truancy laws, create alternative or disciplinary schools to provide counseling and instruction, encourage parental involvement in at-risk children's education, and encourage literacy of parents with at-risk children. The schools determine how to address the problem of low achievement through a process of self-study and examination. If the school or school system has shown no improvement within two years, the state superintendent designates a team of professionals to work with the school in the solution of its problems. As a final step, the state superintendent may intervene and assume direct management or appoint an individual(s) to run the day-to-day operations of the school (Code of Alabama 1975 § 16-6B-1 to § 16-6B-3). Schools and school systems may be released from state intervention only when the conditions improve to an acceptable level. At such time, the local board of education may petition the board by showing acceptable improvement.

This act also establishes a program of fiscal accountability with public K-12 education. The state superintendent and the state Department of Education monitor this accountability by analyzing annual budgets and financial statements, conducting audits in order to assess financial stability, and if fiscally unsound, providing budgetary assistance, advising in the day-to-day operations of the local board of education, or appointing a chief financial officer to manage the fiscal operations of the local board of education.

- **Coordinating the Delivery of Special Education Services.** In order to enhance the opportunities for exceptional students in achieving their potential, the department provides leadership to local school systems in the delivery of special education services. The department has the responsibility for ensuring services to students ages 3-21 who are classified as hearing or visually impaired, multi disabled, deaf/blind, orthopedically impaired, other health impaired, emotionally disturbed, mentally retarded, speech and language impaired, specific learning disabled, autistic, traumatically brain injured, developmentally delayed, and gifted. The responsibilities of the department include establishing guidelines and policies; monitoring programs for legal compliance; managing state and federal funds; supporting the development and implementation of quality programs; providing technical assistance; writing grant applications; developing and disseminating appropriate materials; and collaborating with various organizations, including higher education and advocacy groups. To meet the needs of those youth with disabilities residing in correctional facilities, the department provides services in cooperation with the Department of Corrections and J.F. Ingram State Technical College.
- **Coordinating Career and Technical Education Opportunities.** Also known as vocational education, career and technical education involves training at the high school level in a variety of specialized fields. The department coordinates the financing of vocational education in high schools with federal, state, and local funds, and the approval of these programs by the State Board of Education (Alabama Administrative Code Chapter 290-060-020 and 030). The department also provides coordination in the development and implementation of policies and rules; the development and submission of a state plan and the performance report for vocational education; and the development

and submission of other required federal financial reports (Alabama Administrative Code Chapter 290-060-030-.02 and .04). An annual report to the governor listing vocational education programs and detailing expenditures of federal and state monies is required by the Code of Alabama 1975 § 16-37-6.

- **Implementing Programs for Community Education.** The Department of Education partners with school systems to provide technical assistance, training, information, and funding to local school systems which choose to operate community education programs. The state provides limited financial assistance to school systems for hiring full-time or part-time staff members to coordinate before school, after school, evening, and summer programs for the enrichment of children, adults, and the community in general. Local school systems may also apply through the Department of Education for federal funding for dependent care grants or community learning center grants. The concept of full use of school facilities during out of school time is central to community education.

- **Administering U.S. Department of Education Funded Programs.** The State Department of Education receives federal funding from the U.S. Department of Education under the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act of 2001 (NCLB) which it manages and distributes to the local boards of education. The NCLB Title I Program is a federally funded compensatory program directed at improving education for educationally disadvantaged children. The Even Start Program and the Migrant Education Program are two examples of NCLB Title I funding efforts. The NCLB Title V Program provides initial funding to allow state and local educational agencies to implement innovative educational programs. The NCLB Title II Program provides states with financial assistance to strengthen the economic competitiveness of the U.S. by improving the skills of teachers. The Individuals with Disabilities Education Act, Part B, provides funding for the implementation of educational programs for children with disabilities. The State Department of Education coordinates the implementation of these federal programs by: providing leadership and guidance in the administration and development of educational programs; administering and distributing federal and state funds; preparing and issuing policies and procedures handbooks; and, monitoring compliance with federal minimum standards established by the U.S. Department of Education in 34 Code of Federal Regulations (CFR) Parts 74, 76, 77, 79, and 80.

- **Administering U.S. Department of Agriculture Funded Programs.** The State Department of Education provides nutritional foods to adults and school children through the receipt and disbursement of grants from the U.S. Department of Agriculture. The National School Lunch/School Breakfast Program is a federally assisted meal program that provides balanced, low-cost or free breakfasts and lunches to Alabama's K-12 students. The U.S. Department of Agriculture also funds child and adult day care centers and family day care homes sponsored by private nonprofit organizations or Title XX organizations to provide nutritious meals and snacks to eligible participants through the Child and Adult Care Food Program. The Temporary Food Assistance Program (TEFAP) and the Food Distribution Program distribute surplus food and price-supported

agricultural commodities to low income and disadvantaged families. The Summer Feeding Service and Special School Milk Programs provide meals, snacks, and dairy products to children in needy areas through food service sponsors when school is not in session. The State Department of Education coordinates the provisions of these federal programs by: providing leadership and guidance in the administration and development of child nutrition programs; administering and distributing federal and state funds; preparing and issuing a policies and procedures handbook on child nutrition programs; monitoring compliance with federal minimum standards established by the U.S. Department of Agriculture in 7 Code of Federal Regulations (CFR) Parts 210, 215, 220, 225, 226, 227, 235, 240, 245, 250, and 252; monitoring compliance with state law and rules of the State Board of Education; providing training at the local school level; establishing and maintaining food service vendor contracts for purchase of food commodities; and, establishing and maintaining contracts for storage and transportation of USDA donated commodities. The department monitors compliance with federal and state rules through the conduct of program audits and on-site evaluations. On-site evaluations are conducted within local school systems, commercial commodity warehouses, and food distributors (Code of Alabama 1975 § 16-3-11 and § 16-3-12, Alabama Administrative Code Chapter 290-080-030) (Child Nutrition Act, Public Law 89-642 and amendments) (National School Lunch Act, Public Law 79-396 and amendments).

- **Administering the Disability Determination Program.** The State Department of Education is the agency responsible for reviewing and determining the eligibility of claims for Social Security disability insurance and Supplemental Security Income benefits through the disability determination services (DDS) office. This disability determination is based on medical and other evidence obtained from physicians, psychologists, clinics, hospitals, schools, and other sources. Community and statewide outreach programs provide information and assistance to claimants with terminal illnesses, the homeless, and children with disabilities. The department currently maintains offices in Birmingham and Mobile. The program coordinates its personnel, financial, and property management processes through the State Department of Education but maintains its own record keeping systems. The program is administered by the states and U.S. territories under guidance of Social Security Administration regulations. These regulations set forth the performance expectations of the state disability determination agency and provide for 100 per cent federal funding for administrative and operating expenses.
- **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 State Board of Education / Department of Education

Agency Record Keeping System

The State Board of Education / Department of Education currently operates a hybrid record keeping system composed of paper, electronic, and microfilm records.

Paper Records: Most departmental records continue to be maintained in paper form. The departmental records management program operates out of its mail room. The program supervises the use of the departmental records storage warehouse on the Eastern Boulevard and coordinates the destruction of paper records. The Eastern Boulevard warehouse was leased for the purpose of storing non-record materials and publications prior to their distribution. Since that time, the warehouse has expanded to include the storage of records. The departmental procedures manual contains instructions for use of the warehouse and records destruction. The agency manages a total of eleven warehouses ranging in size from mini storage units to a facility on the Eastern Boulevard capable of housing over 5000 cubic feet of paper records.

Computer Systems: The department utilizes a combination of a client/server and mainframe operation within its computer systems. Much of the department's financial data resides on the IBM mainframe operated by the state data center. The student standardized testing information resides on a server. The department does not utilize the Local Government Financial System (LGFS) provided by the state, but maintains its own system called the Budgetary Expenditure Control System (BECS). BECS generates both specialized reports and reports similar to those generated by LGFS. The Anderson Corporation out of Atlanta developed the system for the department in the 1980's. Departmental data from BECS is integrated into the statewide accounting personnel system separate from the Government Human Resources System (GHRS) maintained by the state. Leave data is passed from the department's system to the GHRS on a biweekly basis. All output from BECS is stored on computer disk-read only memory (CD-ROM). This storage system was initiated in 1992. Each day a tape is downloaded onto a personal computer (PC) and written to CD-ROM. The department no longer maintains paper copies of BECS reports but relies on the BECS and the CD-ROM. Two Bull proprietary computer systems are being gradually phased out, and the information is being migrated onto a LAN operating from Windows NT servers. The department currently utilizes Office XP by Microsoft for its word processing needs and runs Microsoft Outlook as its electronic mail (E-mail) package. All departmental employees have access to the E-mail system; most have Internet access. Policies and procedures currently exist covering the use of state property, ownership of data, access, rights and authorities, and records disposition. An acceptable use policy has been drafted and is currently enforced for the use of computers, Internet, and electronic communications systems.

A complete system backup occurs weekly, every Friday night, and is stored offsite in a temperature control facility at Records Retention Services on Arba Street. The agency uses 8 mm, compact disks, ½" cartridge tapes to store the system backup. The four monthly backups are

rotated in offsite storage, with the fifth backup being maintained offsite for one year. Older student testing tapes are also maintained at the Arba Street facility.

The department for the teacher certification office that maintains and accesses all teacher records on this medium uses a Plasmon optical storage unit.

The disability determination services operate an IBM AS400 (iSeries), Model Number 820-9406. The network operating system uses Microsoft Windows. The staff uses Pentium III personal computers utilizing Microsoft Windows software. The AS400 and all file servers are backed up daily with the tapes being stored in fireproof cabinets or offsite until the next backup is completed. Email is provided through Microsoft Exchange, with Microsoft Outlook as the desktop client. The disability determination service follows state and federal policies and procedures regarding the proper use of the disability determination service computers, ownership of data, access, rights and authorities, or records disposition.

The department is connected to the Alabama Supercomputer Network (ASN) and maintains a website at www.alsde.edu/html/home.asp.

Other technologies: Several programmatic areas of the department are investigating the expanded use of digital imaging as a records stage medium. Such media are ideal for the storage and reproduction of the numerous handbooks and manuals published and distributed to the local schools by the department. The Information Systems Services program is responsible for ensuring that programmatic computer needs are met and that new applications and uses of technology are compatible with current departmental systems. Other storage technologies being investigated by the department include storage area networks (SANS) storage applications that are capable of handling volumes of data in the terabyte range. The technology initiatives program with the department is responsible for overall education technology needs planning. The program has issued an initial report providing an analysis of the information technology infrastructure within the state and the needs of the individual schools.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the State Board of Education / Department of Education: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the State Board of Education / Department of Education are discussed below:

- **Records documenting routine activities in the development of standards for curricula.** This series includes routine activities performed to help the state courses of study committee develop standards for curricula in Alabama schools. This series needs to be maintained five years for administrative use, because standards are usually superseded

within that period. Permanent documentation of this function may be found in the meeting minutes of the state courses of study committee.

- **Records documenting routine activities in the selection of state textbooks.** This series includes, but is not limited to, hearing notification records and support documentation for books submitted for adoption. The records need to be maintained six years, which is the period between one textbook adoption cycle and the next.
- **Textbooks Commonly Used in Schools.** The Code of Alabama 1975 § 16-36-64[j] states that “the State Superintendent of Education shall preserve in the offices of the State Department of Education or in another suitable location, one copy of each book which has been made the basis of any contract as the standard specimen of quality and excellence to be maintained in such books during the period of the contract.” The retention based on Alabama law is retain until expiration of the book contract. Textbooks unique to Alabama schools are permanent records.
- **Records documenting the final plans of building projects.** The Department of Education obtains a copy of plans for school construction projects. These plans are used for monitoring purposes to ensure that schools meet standards for a student ratio and for building codes; thus, this series only needs to be maintained until construction is completed.
- **Records documenting the funding and construction of building projects.** Types of information in this series include, but are not limited to, owner-architect agreement, construction contract, project comment letters from building commission stating approval or disapproval, and field inspection reports on the building. These records, which are a duplication of information, need to be maintained two years after final inspection for reference.
- **Records documenting the inventory of school buildings and sites.** The Code of Alabama 1975 § 16-4-21 requires the state superintendent to conduct and to maintain a continuous inventory of all school buildings and sites. This inventory is maintained as a computerized database that is purged of inactive or incorrect data on an annual basis. School systems are supposed to send information on schools to the Department of Education; however, the agency is working to obtain this data via the web. These records are useful until data is obsolete.
- **Records documenting valid teacher certifications.** The Department of Education issues certificates permitting individuals to teach in Alabama schools. These records documenting certification include, but are not limited to, the application that the individual submits, college transcripts, verification of teaching experience, copies of test scores, copies of certificates held in other states, and records of action taken by the Alabama Department of Education. These records need to be maintained six years after the teacher retires or is deceased to ensure adequate documentation that teachers are certified.

- **Records documenting non-certified teacher applications.** Individuals may attempt to apply for teacher certification but may not be qualified. These records need to be maintained sixty days for short term reference. Teachers who desire to apply again after six months or a year must start the application process anew.
- **Records documenting incomplete requests for certification.** Applicants may send documents, such as transcripts, without completing the application process. These records need to be maintained sixty days to await the arrival of a complete application. Teachers who desire to apply again must start the application process anew.
- **Records documenting annual certification statistics.** These statistics may include the number of elementary and early childhood certificates that were issued for the year, or the statistics could break down certificates by colleges and universities. The statistics need to be maintained for seven years to ensure sufficient history for comparison. Permanent documentation of annual certification statistics may be found in the department's annual report.
- **Records documenting the routine activities in educating and testing teachers.** This series includes, but is not limited to, records documenting conducting site visits and reviews, managing programs, approving higher degrees for pay purposes, approving cooperative teachers, evaluating teachers, and the Alabama Prospective Teacher Testing Program. These files need to be maintained five years for administrative reference.
- **Records documenting placing and recruiting teachers.** These records include, but are not limited to, vacancies in teaching fields, lists of jobs advertised, and requests for placement forms. These records are only useful for the current year.
- **Records documenting the successful application review, and certification of school bus drivers and school bus mechanics.** To become certified to be a bus driver, the individual must participate in a class, take a test, and pass a performance driving test. School bus mechanics have their own certification process. Records in this series document the certification process. Inactive files need to be maintained three years in case a driver decides to renew certification.
- **Records documenting the safety inspections of school buses.** Annually, the Department of Education conducts a safety inspection on every bus in the state. These forms include information on the mechanics of the bus, including minor and major infractions. Safety inspection records, which are arranged by year, then system, should be retained eight years, which is the average life span of a bus in Alabama.
- **Records documenting bus accidents.** The Department of Education has two ways of tracking bus accidents. The school system is supposed to send the Department of Education an accident report form. The agency also receives a printout from the Department of Public Safety, so that a comparison can be made at the end of the year to see if there have been any unreported accidents. These files need to be retained for eight years to ensure a sufficient history of bus accidents in Alabama.

- **Testing Materials.** These records are used in administering testing for students. The actual testing materials only need to be maintained until superseded. Copies of examinations which are unique to Alabama are maintained permanently.
- **Directories of Test Coordinators.** These directories include a listing of the school systems, addresses, and names of each test coordinator. For instance, the directory would have a listing for someone in Montgomery County to call if there were any questions. These directories, which are produced every year, are only useful while current; thus, the retention is one year.
- **Records documenting test security plans.** These records may include, but are not limited to, oaths which must be signed by anyone who works with testing, to ensure its security. These records need to be retained until superseded.
- **Records documenting test security breaches.** If a security breach does occur, the records documenting that offense should be retained ten years to help the Department of Education prevent such future actions.
- **Records documenting testing results.** These records document the results of testing and should be maintained ten years to ensure a sufficient history of that test and to ensure that new tests have been developed which supersede the old. A summary of testing results may be found in the permanent series school and school system report cards.
- **School Improvement Plans.** Schools that are on an alert status must submit an improvement plan to the Department of Education. Because the schools must report every year until status is updated, the records need only be retained three years for reference. This series is maintained permanently by the local boards of education (Local Board of Education RDA, 1.02)
- **Records documenting work of local education agency liaisons and special service teachers.** Special service teachers are contract workers who focus full time on schools that are on academic priority or alert. Liaisons, called team leaders, work between the state department and the special services teachers on a permanent basis. The liaisons go out to the schools frequently to review progress. Records documenting this function need only be maintained three years, because schools are usually off academic priority or alert by such time. Permanent documentation may be found in school and school system report cards and annual status reports on the condition of education in local boards of education.
- **Records documenting coordination of the delivery of special education services.** This series includes, but is not limited to, assistance and monitoring records, complaints, mediation, and due process hearing files. The Alabama Administrative Code requires that special education records be maintained five years to allow a sufficient time for individuals to file a grievance for discrimination.
- **Records documenting coordination of career and technical education opportunities.** These records include, but are not limited to, local education agency program application

plans, program planning files, enrollment by sex statistics, monitoring/follow-up visit reports, and program evaluations. These records need to be maintained in accordance with federal guidelines; thus, the retention is three years after submission of final expenditure report.

- **Teacher Data Sheets.** Every year, the Department of Education collects information on teachers who work with career/technical education. This data may include daily teaching schedules and personal information such as e-mail addresses. This information only needs to be maintained until superseded.
- **Supervised Work Experience Records.** Site coordinators report on students who are in cooperative education programs. Types of information included in these reports are lists of students, the names of the job sites, position, and locations of jobs. These records are useful for the current year.
- **Conference Reports.** Student organizations, such as the Future Farmers of America, have conferences which may be state, regional, or national. The Department of Education maintains files on these records with such information as who participated in the conference and who won awards. These files are only useful for short term administrative needs; thus, the retention is three years.
- **Records documenting the routine administration of the U. S. Department of Education funded programs.** This series documents managing and reporting on programs, establishing eligibility, determining funding criteria and project goals, reviewing funding proposals, and providing training. All of these records are subject to federal guidelines; therefore, the retention is three years after submission of final expenditure report. Permanent documentation of this function may be found in the Alabama state consolidated applications.
- **Records documenting the routine administration of the U. S. Department of Agriculture funded programs.** This series documents such activities as managing USDA food services, establishing eligibility and availability, reimbursing, sponsoring agencies participating in child nutrition programs, distributing and managing commodities, responding to complaints, evaluating programs, and conducting site visits and reviews. Federal guidelines govern the retention of these records; thus, the retention is three years after submission of final expenditure report (7 CFR 3015.21). Permanent records providing summary documentation of the administration of U. S. Department of Agriculture funded programs are found on the department's website.
- **Records documenting routine data on panel members.** Those who conduct medical examinations, also called panel members, must provide proof of insurance each year and must ensure patient confidentiality. Physicians may also be reviewed. These routine records need to be retained two years, because contracts are renewed each year with these panel members by the disability determination program.

- **Records documenting fee schedules.** The disability determination service must maintain a schedule of fees for sources that do examinations for the office. The fee schedules need to be maintained until audit, because it has a comparison of what the disability determination service pays in relation to Medicare and Medicaid. The office must be able to prove to auditors that its fees are comparable to other federal agencies.
- **Records documenting decisions sent to the Social Security Administration on disability claims.** This series refers not to the claim records, which are maintained by social security, but to the synopsis of the decision of the case, which is maintained for short term reference - two years - in case social security has questions. The synopsis contains applicants' identifying information, claim development information, and claim decision information.
- **Records documenting errors in quality assurance review of the claims process.** The disability determination service conducts in-house sampling of claims, and the Social Security Administration also designates certain claims samples. Records which document errors should be maintained three years to ensure a sufficient time to correct the problem.
- **Records documenting routine quality assurance review of the claims process.** The disability determination service conducts in-house sampling of claims, and the social security administration also designates certain claims samples. Routine records which do not document errors only need to be maintained for a short reference period of three months.
- **Records documenting work history of State Board of Education members.** The Department of Education maintains records documenting expense disbursement, pay, and years of service for the Board of Education members. These records are not duplicated within the records of the Personnel Department or the Finance Department but should be retained for retirement purposes. Board members are not participants of the state retirement systems, but their years of service count towards federal retirement benefits (Social Security). Payroll earnings records for the department should be maintained for a period of thirty-five years to document the work history and earnings of appointed and contracted staff whose service is not documented elsewhere. A thirty-five year retention is sufficient to cover the work span of an employee.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **State Board of Education Meeting Files.** These records consist of the packet of information submitted to each board member for action at the board meeting. They document policy and rule development of the department, resolutions proposed to the board, and required reporting by the department and other committees to the board. These files need to be maintained permanently for documentation on K-12 education in

Alabama, funding, policies, legislation, and progress/improvement. **(Bibliographic Title: Meeting Files of the State Board of Education)**

- **State Board of Education Meeting Agenda and Minutes.** The agenda and minutes of the board document actions of the board as voted on during meetings. This series should be maintained permanently because it supports documentation in the meeting files by indicating the decision and any discussion prior to the vote. **(Bibliographic Title: Meeting Agenda and Minutes of the State Board of Education)**

Developing Curricula

- **State Courses of Study Committee Meeting Agenda and Minutes.** These records warrant permanent retention for documentation of the discussions of the state courses of study committee in its considerations and development of the standards for the core curricula for state K-12 courses. Concerns for academic excellence in Alabama schools, discussion of the necessity of sex education, art, music, career/technical education, and physical education within Alabama's schools, as well as core needs in English, mathematics, history, and science, are among the topics before this committee for consideration. **(Bibliographic Title: Meeting Agenda and Minutes of the State Courses of Study Committee)**

Selecting Textbooks

- **State Textbook Committee Meeting Agenda and Minutes.** These records should be maintained permanently to document the actions and discussion of the state textbook committee in developing the state textbook contract. The committee conducts public hearings (which are documented in the minutes) to allow public opinion on the selection of books. An example of the concerns addressed within the committee would include teaching Darwinian evolutionary theory versus the Biblical creation story or traditional and non-traditional family composition. The actual listing of state approved textbooks would be located in the meeting minutes of the State Board of Education and on the department's website. **(Bibliographic Title: Meeting Agenda and Minutes of the State Textbook Committee)**
- **Textbooks Unique to Alabama Schools.** These textbooks document an inclusive selection of works used for teaching Alabama history and other state specific classroom topics. These textbooks should be maintained permanently to record trends. **(Bibliographic Title: Textbooks Unique to Alabama Schools)**

Overseeing the Construction and Maintaining an Inventory of All School Facilities

Permanent records providing summary documentation of this subfunction are found in the department's education directories.

Certifying Teachers

- **Records documenting revoked certificates.** Those who become teachers in Alabama are fingerprinted. If for some reason, the Department of Education learns that a teacher has been indicated in some criminal action, then that person's file is reviewed. Hearings may be conducted to determine if there is cause to revoke a teacher's certificate. The agency requests that these records be maintained permanently.

Educating and Testing Teachers

- **Examinations for Testing Teachers.** The State Board of Education mandates certain requirements for teachers to be certified in Alabama. These prerequisites often include taking a test to prove competency in basic skills and in special subjects. At least one copy of such examinations should be maintained permanently to document the types of questions asked to those seeking certification for teaching in Alabama. **(Bibliographic Title: Examinations)**
- **Summaries of Testing Results.** The Department of Education maintains summaries of the testing results, which should be maintained permanently to document the level of knowledge of teachers in Alabama in basic skills and in special subjects. **(Bibliographic Title: Summary Testing Results of the Alabama Prospective Teacher Test)**

Certifying School Bus Drivers and Mechanics and Conducting School Bus Safety Inspections

- **Alabama Minimum Specifications for School Buses.** These specifications are the minimum requirements which a bus must meet in order for it to be ordered by an Alabama school system. Periodic revisions are made to these specifications, which should be maintained permanently to document school bus safety in Alabama. **(Bibliographic Title: Minimum Specifications for Alabama School Buses)**

Establishing Student Assessment Programs

- **Test Development Committee Meeting Agenda and Minutes.** These minutes document what tests were put up for adoption, what changes have taken place, any new procedures, changes in the administration of the test, and alterations of the tests. These records need to be maintained permanently to document student assessment in Alabama. Permanent documentation of testing results is found in the permanent series school and school system report card, under administering education accountability. **(Bibliographic Title: Meeting Agenda and Minutes for the Test Development Committee)**
- **State Examinations.** A copy of all tests which are specifically designed to be used in assessing Alabama's students should be maintained permanently. As of 2003, the largest state indicator of achievement is the graduation examination, which an outside entity creates for the Department of Education based on Alabama's curricula. **(Bibliographic Title: Examinations to Determine Eligibility for a Student to Graduate from High**

School)

Administering Education Accountability

- **School and School System Report Cards.** The report cards were implemented under the tenure of Dr. Richardson and “score” schools and school systems on federal and state indicators including, but not limited to, the Stanford Achievement Test, Alabama graduation examination, expenditure per student, and dropout rate. These records should be maintained permanently for the comparative and evaluative look at each of the schools and school systems in the state of Alabama. **(Bibliographic Title: Report Cards for Schools and School Systems)**
- **Statistical Grading Scales of the School and School System Report Cards.** These scales define the grades on report cards for each of the indicators. For instance, these records would define the grade of “C” on the indicator of expenditure per student as a specific dollar amount. These records need to be maintained permanently for researchers to use the report cards to study education in Alabama. **(Bibliographic Title: Statistical Basis for Determining the School and School System Report Card Grades)**
- **Annual Status Reports on the Condition of Education in Local Boards of Education.** Local boards of education create yearly summaries of their activities. These reports are maintained permanently at the local level, with a copy of the report being sent to the Department of Education. These reports are then compiled by the department into a summary which represents the financial and academic conditions present within the schools and systems overseen by each local education agency. These reports provide a concise, yet detailed, look at the status of education on the local level and should be maintained permanently. **(Bibliographic Title: Annual Status Reports on the Condition of Education in Local Boards of Education)**

Coordinating the Delivery of Special Education Services

- **State Plans for Special Education Services.** Whenever congress enacts legislation which affects special education, the Department of Education must submit a plan to outline its proposed operations to implement the new requirements. This plan includes such information as a narrative of how the state is going to operate its special education program, how money is going to be spent, and how the state is going to monitor special education. It may also include such attachments as board of education rules, court orders, and other reference material. This series warrants permanent retention for its documentation of the provision of special education services in Alabama. **(Bibliographic Title: State Plans for Special Education Services)**

Coordinating Career and Technical Education Opportunities

- **State Plans for Coordinating Career and Technical Education Opportunities.** The process of requesting federal funding for career/technical education programs administered by the department requires the completion and submission of a

comprehensive state plan for consideration and approval by the federal government agency that has granting and monitoring authority. The plan reflects a statewide strategy or approach to the activities and procedures identified at public hearings as needing to be addressed by the programs. The plan provides information on the nature and extent of the problems, areas of need, current efforts, planned efforts, and available funding.

(Bibliographic Title: State Plans for Coordinating Career and Technical Education Opportunities)

Implementing Programs for Community Education

- **Summary Reports for State Funded Community Education Activities.** The Department of Education provides funding for school systems which hire a part-time or full-time staff member to coordinate community education programs. When the Department of Education creates summary reports of these programs, they should be maintained permanently to document Alabama's efforts to provide these services to communities. **(Bibliographic Title: Summary Reports for State Funded Community Education Activities)**
- **Summary Reports for Federally Funded Community Education Activities.** The Department of Education facilitates the process of local school systems receiving grants from the federal government for dependent care grants and similar programs. When the Department of Education creates final reports for these grants, these records should be maintained permanently to document community education. **(Bibliographic Title: Summary Reports for Federally Funded Community Education Activities)**

Administering U.S. Department of Education Funded Programs

- **Alabama State Consolidated Applications.** In the process of requesting federal funding for various programs administered by the department, each program unit is required to complete and submit a comprehensive state plan for consideration and approval by the federal government agency that has granting and monitoring authority. These plans reflect a statewide strategy or approach to the problems addressed by the federal programs and should be maintained permanently for its information on the nature and extent of the problems, areas of need, current efforts, planned efforts, and available funding. **(Bibliographic Title: Consolidated Applications by the State of Alabama)**

Administering U.S. Department of Agriculture Funded Programs

Permanent records providing summary documentation of this subfunction are found on the department's website.

Administering the Disability Determination Program

- **Proof of Credentials for Panel Members.** The disability determination service has an agreement with physicians and other medical sources (referred as panel members) across the state that perform evaluations for their agency. These panel members' files contain

credentialing information and, sometimes, quality control records. The agency requests that these records be maintained permanently in the agency's office for legal protection to prove that proper personnel were hired to perform this service.

Administering Internal Operations

- **Alabama Education Foundation Board of Trustees Meeting Minutes.** These records document the establishment of the foundation and the meetings of the foundation's board of trustees. Actions of the board documenting acceptance and establishment of perpetual trusts for education, donations of money and property to the benefit of education, allocation of funds, and the investing of these funds by the Retirement Systems of Alabama are recorded in the minutes. The corporation filings of the foundation are maintained by the Secretary of State, Corporations Division. **(Bibliographic Title: Meeting Minutes for the Alabama Education Foundation Board of Trustees)**
- **Education Directories.** These directories document the organization of public K-12 education in the state, staff names, administrators, addresses, and telephone numbers. They provide a unique yearly picture of the structure of education in Alabama. **(Bibliographic Title: State Publications)**
- **Historic Legal Case Files.** The legal case files of the department which have historical significance provide documentation of many educational issues the state has struggled and is currently grappling to resolve. Many of these issues involve desegregation and other precedent setting issues. Two examples of historically significant cases involving the department are: *Allen v. the State Board of Education* (CV81 697N) and *Alabama Coalition for Equity Incorporation and Alabama Nonprofit Corporation, et al. v. Fob James, Jr., et al.* (CV90 883GR and CV91 0117GR). *Allen v. the State Department of Education*, filed in 1981, questioned the pre-certification teacher testing procedure of the department as to their racial equity and the criteria for measuring basic skills competency. In response to this suit, the department realigned its testing programs and redesigned basic skill competency testing. A more current court suit, *Alabama Coalition for Equity Incorporation and Alabama Nonprofit Corporation, et al. v. Fob James, Jr., et al.* (CV90 883GR and CV91 0117GR), proposes to implement a more equitable funding mechanism for Alabama's K-12 schools. *Anthony T. Lee, et al. v. Macon County Board of Education, et al.* (CV 604-E) is actually a group of cases arising from the desegregation cases filed in the 1960s. The central case involved allegations against the governor, State Board of Education, and state superintendent of education. State defendants were brought back into the cases to actively participate in early 1997, when the courts determined that the state defendants were parties to all of the local cases. Most other statewide issues primarily deal with special education and facilities. These court cases and others like them provide valuable documentation of the efforts of the state and its people to provide education to its children. Using the examples and the guidelines above, staff members of the Department of Education should preserve the few case files that have historical significance and transfer those records to the Alabama Department of Archives and History. **(Bibliographic Title: Legal Case Files)**

- **Bonded Indebtedness Files.** Prior to incurring bonded indebtedness, a local school system must request the approval of the state superintendent of education. These files document the approval requests and the types and amounts of school bonds being issued in the state. **(Bibliographic Title: Bonded Indebtedness Files)**

III. Records No Longer Created.

- **Advisory Panel on Teacher Education and Certification Meeting Agenda and Minutes.** These records warrant permanent retention for their documentation of the Advisory Committee on Teacher Education and Certification and the committee's efforts to ensure quality professional development and training opportunities for teachers, as well as to ensure the building of a quality workforce of educators. With implementation of new strategies to allow higher education more flexibility in the education of teachers, this panel was disbanded and is no longer in existence. **(Bibliographic Title: Meeting Agenda and Minutes of the Advisory Panel on Teacher Education)**
- **Examinations and Summaries of Testing Results of the English Language Proficiency Test Program.** This program, administered from 1981 to 1992, required everyone seeking admission to certain teacher education programs at Alabama colleges and universities to pass the Alabama English Language Proficiency Test. This test was mandated by the State Board of Education. Copies of each examination, which was multiple choice and one essay, and summaries of testing results should be maintained to document the types of questions which were being asked to those persons seeking to enter certain teacher education program at Alabama colleges and universities and to document the testing results. **(Bibliographic Title: Examinations and Testing Results of the English Language Proficiency Test Program)**
- **Records documenting the administration of the English Language Proficiency Test Program.** This program required everyone seeking admission to certain teacher education certification programs at Alabama colleges and universities to pass the Alabama English Language Proficiency Test. This test was mandated by the State Board of Education. This program was administered from 1981 to 1992, so the materials no longer have any value to the Department of Education and should be destroyed.
- **Examinations and Summaries of Testing Results of the Alabama Basic Skills Test Program.** This program, administered from 1992 to 2002, required everyone seeking admission to certain teacher education programs at Alabama colleges and universities to pass the Alabama Basic Skills Test. This test was mandated by the State Board of Education. It covered basic skills in reading, writing, and mathematics. Copies of each examination, which was multiple choice with one essay, and summaries of testing results should be maintained to document the types of questions which were being asked to those persons seeking to enter certain teacher education programs at Alabama colleges and universities and to document the testing results. **(Bibliographic Title: Examinations and Testing Results of the Alabama Basic Skills Test Program)**

- **Records documenting the administration of the Alabama Basic Skills Test Program.** This program required everyone seeking admission to certain teacher education programs at Alabama colleges and universities to pass the Alabama Basic Skills Test. This test was mandated by the State Board of Education from 1992 to 2002. These records should be retained five years after the test was discontinued to provide a brief reference period.
- **Documentation Records of the Alabama Initial Certification Testing Program (AITCP) (Allen Case Records).** *Allen v. the State Board of Education* (CV81697N), filed in 1981, questioned the pre-certification teacher testing procedures of the department as to their racial equity and the criteria for measuring basic skills competency. A 1987 settlement agreement included provisions for redeveloping the testing program. These records consist of analysis and study reports, sample tests, test scores, and administrative documentation of the Alabama Initial Teacher Certification Testing Program (AITCTP) which was the testing process questioned in the Allen Case. These records should be maintained permanently because they provide source documentation for the legal case file included in the administering internal operations subfunction of this document. The AITCTP was suspended by the State Board of Education in 1988 because of a lack of funding. **(Bibliographic Title: Documentation Records of the Alabama Initial Certification Testing Program [AITCP] [Allen Case Records])**
- **Annual Reports of the State Superintendent.** This annual report provides a narrative description of the condition of public education in Alabama. It summarizes the accomplishments of the department and analyzes significant issues facing education. This report is currently not being published by the department. (Last issue dated 1994.) **(Bibliographic Title: Annual Reports of the State Superintendent)**

Permanent Records List
State Board of Education / Department of Education

Promulgating Rules and Regulations

1. State Board of Education Meeting Files
2. State Board of Education Meeting Agenda and Minutes

Developing Curricula

1. State Courses of Study Committee Meeting Agenda and Minutes

Selecting Textbooks

1. State Textbook Committee Meeting Agenda and Minutes
2. Textbooks Unique to Alabama Schools

Certifying Teachers

1. Records documenting revoked certificates*

Educating and Testing Teachers

1. Examinations for Testing Teachers
2. Summaries of Testing Results

Certifying School Bus Drivers and Mechanics and Conducting School Bus Safety

1. Alabama Minimum Specifications for School Buses

Establishing Student Assessment Programs

1. Test Development Committee Meeting Agenda and Minutes
2. State Examinations

Administering Education Accountability

1. School and School System Report Cards
2. Statistical Grading Scales of the School and School System Report Cards
3. Annual Status Reports on the Condition of Education in Local Boards of Education

Coordinating the Delivery of Special Education Services

1. State Plans for Special Education Services

Coordinating Career and Technical Education Opportunities

1. State Plans for Coordinating Career and Technical Education Opportunities

Implementing Programs for Community Education

1. Summary Reports for State Funded Community Education Activities
2. Summary Reports for Federally Funded Community Education Activities

Administering U. S. Department of Education Funded Programs

1. Alabama State Consolidated Applications

Administering the Disability Determination Program

1. Proof of Credentials for Panel Members*

Administering Internal Operations

1. Alabama Education Foundation Board of Trustees Meeting Minutes
2. Education Directories
3. Historical Legal Case Files
4. Bonded Indebtedness Files

Records No Longer Created

1. Advisory Panel on Teacher Education and Certification Meeting Agenda and Minutes
2. Examinations and Summaries of Testing Results of the English Language Proficiency Test Program
3. Examinations and Summaries of Testing Results of the Alabama Basic Skills Test Program
4. Documentation Records of the Alabama Initial Certification Testing Program (AICTP) (Allen Case Records)
5. Annual Reports of the State Superintendent

*indicates records that ADAH anticipates 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>

State Board of Education / Department of Education 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 State Board of Education / Department of Education. The RDA lists records created and maintained by the State Board of Education / State Department of Education 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 State Board of Education / Department of Education. 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 State Board of Education / Department of Education 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 agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

STATE BOARD OF EDUCATION MEETING FILES

Disposition: PERMANENT RECORD.

STATE BOARD OF EDUCATION MEETING AGENDA AND MINUTES

Disposition: PERMANENT RECORD.

Developing Curricula

STATE COURSES OF STUDY COMMITTEE MEETING AGENDA AND MINUTES

Disposition: PERMANENT RECORD.

Records documenting routine activities in the development of standards for curricula

Disposition: Temporary Record. Retain 5 years.

Selecting Textbooks

STATE TEXTBOOK COMMITTEE MEETING AGENDA AND MINUTES

Disposition: PERMANENT RECORD.

Records documenting routine activities in the selection of state textbooks

Disposition: Temporary Record. Retain 6 years.

Sample Copies of Textbooks

- a. TEXTBOOKS UNIQUE TO ALABAMA SCHOOLS
Disposition: PERMANENT RECORD.
- b. Textbooks commonly used in schools
Disposition: Temporary Record. Retain until expiration of the book contract.

Overseeing the Construction and Maintaining an Inventory of All School Facilities

Records documenting the final plans of building projects

Disposition: Temporary Record. Retain until construction completed.

Records documenting the funding and construction of building projects

Disposition: Temporary Record. Retain 2 years after final inspection.

Records documenting the inventory of school buildings and sites

Disposition: Temporary Record. Retain until data is obsolete.

Certifying Teachers

Records documenting valid teacher certifications

Disposition: Temporary Record. Retain 6 years after teacher is retired or deceased.

Records documenting non-certified teacher applications

Disposition: Temporary Record. Retain 60 days.

Records documenting incomplete requests for certification

Disposition: Temporary Record. Retain 60 days.

RECORDS DOCUMENTING REVOKED CERTIFICATES

Disposition: PERMANENT RECORD. Retain in office.

Records documenting annual certification statistics

Disposition: Temporary Record. Retain 7 years.

Educating and Testing Teachers

Records documenting educating and testing of teachers

a. EXAMINATIONS FOR TESTING TEACHERS

Disposition: PERMANENT RECORD.

b. SUMMARIES OF TESTING RESULTS

Disposition: PERMANENT RECORD.

c. Records documenting the routine activities in educating and testing teachers

Disposition: Temporary Record. Retain 5 years.

Records documenting placing and recruiting teachers

Disposition: Temporary Record. Retain 1 year.

Certifying School Bus Drivers and Mechanics and Conducting School Bus Safety Inspections

ALABAMA MINIMUM SPECIFICATIONS FOR SCHOOL BUSES

Disposition: PERMANENT RECORD.

Records documenting the successful application review, and certification of school bus drivers and school bus mechanics

Disposition: Temporary Record. Retain inactive files 3 years.

Records documenting the safety inspections of school buses

Disposition: Temporary Record. Retain 8 years.

Records documenting bus accidents

Disposition: Temporary Record. Retain 8 years.

Establishing Student Assessment Programs

TEST DEVELOPMENT COMMITTEE MEETING AGENDA AND MINUTES

Disposition: PERMANENT RECORD.

STATE EXAMINATIONS

Disposition: PERMANENT RECORD.

Testing Materials

Disposition: Temporary Record. Retain until superseded.

Directories of Test Coordinators

Disposition: Temporary Record. Retain 1 year.

Records documenting test security plans

Disposition: Temporary Record. Retain until superseded.

Records documenting test security breaches

Disposition: Temporary Record. Retain 10 years.

Records documenting testing results

Disposition: Temporary Record. Retain 10 years.

Administering Education Accountability

SCHOOL AND SCHOOL SYSTEM REPORT CARDS

Disposition: PERMANENT RECORD.

**STATISTICAL GRADING SCALES OF THE SCHOOL AND SCHOOL SYSTEM
REPORT CARDS**

Disposition: PERMANENT RECORD.

**ANNUAL STATUS REPORTS ON THE CONDITION OF EDUCATION IN LOCAL
BOARDS OF EDUCATION**

Disposition: PERMANENT RECORD.

**Records documenting the analysis of local education agency (LEA) budgets, program
applications, and financial reports**

Disposition: Temporary Record. Retain 3 years after submission of final expenditure report.

Records documenting local education agency audits

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

School Improvement Plans

Disposition: Temporary Record. Retain 3 years.

Records documenting work of local education agency liaisons and special service teachers

Disposition: Temporary Record. Retain 3 years.

Coordinating the Delivery of Special Education Services

STATE PLANS FOR SPECIAL EDUCATION SERVICES

Disposition: PERMANENT RECORD.

Records documenting coordination of the delivery of special education services

Disposition: Temporary Record. Retain 5 years.

Coordinating Career and Technical Education Opportunities

**STATE PLANS FOR COORDINATING CAREER AND TECHNICAL EDUCATION
OPPORTUNITIES**

Disposition: PERMANENT RECORD.

Records documenting coordination of career and technical education opportunities

Disposition: Temporary Record. Retain 3 years after submission of final expenditure report.

Teacher Data Sheets

Disposition: Temporary Record. Retain until superseded.

Supervised Work Experience Records

Disposition: Temporary Record. Retain 1 year.

Conference Reports

Disposition: Temporary Record. Retain 3 years.

Implementing Programs for Community Education

SUMMARY REPORTS FOR STATE FUNDED COMMUNITY EDUCATION ACTIVITIES

Disposition: PERMANENT RECORD.

Records documenting the routine administration of state funded community education activities

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

SUMMARY REPORTS FOR FEDERALLY FUNDED COMMUNITY EDUCATION ACTIVITIES

Disposition: PERMANENT RECORD.

Records documenting the routine administration of federally funded community education activities

Disposition: Temporary Record. Retain 3 years after submission of final expenditure report.

Administering U.S. Department of Education Funded Programs

ALABAMA STATE CONSOLIDATED APPLICATIONS

Disposition: PERMANENT RECORD.

Records documenting the routine administration of the U. S. Department of Education funded programs

Disposition: Temporary Record. Retain 3 years after submission of final expenditure report.

Administering U.S. Department of Agriculture Funded Programs

Record documenting the routine administration of the U. S. Department of Agriculture funded programs

Disposition: Temporary Record. Retain 3 years after submission of final expenditure report (7 CFR 3015.21).

Administering Disability Determination Program

Physician Records

- a. PROOF OF CREDENTIALS FOR PANEL MEMBERS
Disposition: PERMANENT RECORD. Retain in office.

- b. Records documenting routine data on panel members
Disposition: Temporary Record. Retain 2 years.

Records documenting fee schedules

Disposition: Temporary Record. Retain until audit.

Records documenting decisions sent to Social Security Administration on disability claims

Disposition: Temporary Record. Retain 2 years.

Records documenting quality assurance review of the claims process

- a. Records documenting errors in quality assurance review of the claims process
Disposition: Temporary Record. Retain 3 years.
- b. Records documenting routine quality assurance review of the claims process
Disposition: Temporary Record. Retain 3 months.

Administering Internal Operations

Agenda and Minutes

- a. Records documenting meetings of subsidiary committees within the agency
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Recordings of Meetings
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

ALABAMA EDUCATION FOUNDATION BOARD OF TRUSTEES MEETING MINUTES

Disposition: PERMANENT RECORD.

EDUCATION DIRECTORIES

Disposition: PERMANENT RECORD.

Legal Case Files

- a. HISTORIC LEGAL CASE FILES
Disposition: PERMANENT RECORD.
- b. Routine Legal Case Files
Disposition: Temporary Record. Retain 6 years after the case is closed.

Training Materials

Disposition: Temporary Record. Retain until superseded.

Training Rosters

Disposition: Temporary Record. Retain for useful life.

BONDED INDEBTEDNESS FILES

Disposition: PERMANENT RECORD.

Records No Longer Created

ADVISORY PANEL ON TEACHER EDUCATION AND CERTIFICATION MEETING AGENDA AND MINUTES

Disposition: PERMANENT RECORD.

English Language Proficiency Test Program (1981-1992)

- a. EXAMINATIONS AND SUMMARIES OF TESTING RESULTS OF THE ENGLISH LANGUAGE PROFICIENCY TEST PROGRAM
Disposition: PERMANENT RECORD.
- b. Records documenting the administration of the English Language Proficiency Test Program
Disposition: Destroy.

Alabama Basic Skills Test Program (1992-2002)

- a. EXAMINATIONS AND SUMMARIES OF TESTING RESULTS OF THE ALABAMA BASIC SKILLS TEST PROGRAM
Disposition: PERMANENT RECORD.
- b. Records documenting the administration of the Alabama Basic Skills Test Program
Disposition: Destroy.

DOCUMENTATION RECORDS OF THE ALABAMA INITIAL CERTIFICATION TESTING PROGRAM (AITCP) (ALLEN CASE RECORDS)

Disposition: PERMANENT RECORD.

ANNUAL REPORTS OF THE STATE SUPERINTENDENT

Disposition: PERMANENT RECORD.

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>

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

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 State Board of Education / Department of Education (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 April 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 board 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 board 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 July 22, 2003.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Ed Richardson, State Superintendent
Department of Education

Date

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.