

Annual Records Disposition Authority (RDA) Implementation Report for Public Colleges and Universities

RM-01 10/2020

After this Annual RDA Implementation Report form has been submitted, you will receive an email from the Alabama Department of Archives and History (ADAH) with a PDF copy of your completed report. ADAH staff may contact you to request additional information or clarification while processing your report.

*** Required**

1. Educational Institution Name: *

2. Fiscal year reported: *

Mark only one oval.

FY2020

FY2019

FY2018

FY2017

3. Today's date: *

Example: January 7, 2019

4. Name of agency staff member completing this report: *

The Alabama Department of Archives and History will contact you with follow-up questions about this Annual RDA Implementation Report, if necessary.

5. Agency staff member title: *

6. Email: *

7. Phone number: *

**Records
Management
Requirements
and Training
Opportunities**

Alabama's public colleges and universities have records management responsibilities mandated by the Code of Alabama 1975. Anyone elected or hired to work at any level of state or local government, as well as anyone who is paid in full or in part by state, county, or municipal funds, creates public records (Code of Alabama 1975 § 36-12-1 through § 36-12-2). Public colleges and universities in Alabama must obtain authorization from the State Records Commission (SRC) to dispose of public records (Code of Alabama 1975 § 41-13-21). The SRC provides this authorization through the Records Disposition Authority (RDA). The RDA is a document that establishes the minimum amount of time a record must be maintained (retention) and when it may be destroyed (disposition). The RDA identifies records which must be maintained permanently and provides the legal authority to destroy temporary records after they have fulfilled their required retention period.

Below are several survey-style questions about the records management responsibilities of public colleges and universities in Alabama. Please indicate how familiar you are with each topic or activity:

8. Alabama's state records laws codified in the Code of Alabama 1975:

Mark only one oval.

1 2 3 4 5

I am very unfamiliar. I am very familiar.

9. The existence and role of the State Records Commission:

Mark only one oval.

1 2 3 4 5

I am very unfamiliar. I am very familiar.

10. How to use the Records Disposition Authority (RDA) governing my institution:

Mark only one oval.

1 2 3 4 5

I am very unfamiliar. I am very familiar.

11. How to lawfully dispose of records which have fulfilled the RDA's retention requirements:

Mark only one oval.

1 2 3 4 5

I am very unfamiliar. I am very familiar.

12. How to preserve permanent records for use by future generations:

Mark only one oval.

1 2 3 4 5

I am very unfamiliar. I am familiar.

13. The Alabama Department of Archives and History Records Management Section offers free records management training to Alabama's public colleges and universities. Our training covers a variety of topics and includes an introduction to state records law, the roles of the State Records Commission and the RDA, and best practices for storing and lawfully destroying records. Would you and your colleagues be interested in receiving records management training in the coming fiscal year? *

Mark only one oval.

Yes

No

**Temporary
Records**

Temporary records are subject to the Records Disposition Requirements of your agency's RDA and include records destroyed onsite and at offsite agency facilities.

14. Does your institution have policies, processes, and procedures in place to track the destruction of obsolete records? *

Mark only one oval.

Yes

No

15. Does your institution have one or more staff member(s) who is/are designated to handle and document records destruction in accordance with state records requirements? *

Mark only one oval.

Yes

No

16. Has your agency destroyed obsolete temporary records (paper or electronic) during the past year? *

Mark only one oval.

- Yes
- No
- The institution is not currently tracking this information.

17. If your agency has NOT destroyed obsolete temporary records within the past reporting year, please select the reason below:

Mark only one oval.

- The institution is not currently tracking this information.
- The institution's records are under legal notice or subpoena.
- The institution's records are ineligible for destruction because the retention has not been fulfilled.
- The institution needs to maintain records for administrative reasons.
- The institution lacks the time or staff to destroy records.
- The institution lacks training on how to legally destroy records.

18. Total cubic feet of obsolete temporary paper records destroyed by your agency, both onsite and at facilities such as the State Records Center within the past reporting year:

1 box (15" x 12" x 10") equals 1 cubic foot

19. Total amount of obsolete temporary electronic records destroyed by your agency within the past reporting year (type the number in the blank, and then select the unit from the drop-down list below):

20. Unit of obsolete temporary electronic records:

Mark only one oval.

- kilobytes (KB)
 megabytes (MB)
 gigabytes (GB)
 terabytes (TB)

Please note that compliance with state records law requires destruction notices to be completed for the destruction of obsolete temporary records in both paper and electronic formats.

**Permanent
Records**

Permanent records cannot be destroyed. Please refer to pp. 14-15 of the College System RDA or pp. 13-14 of the Public Universities RDA for examples of permanent records series.

21. Does your institution have procedures in place to store permanent records long-term? *

Mark only one oval.

- Yes
 No

22. Does your institution have one or more centralized location(s) where historically significant records (like chancellors' administrative papers) are maintained? *

Mark only one oval.

- Yes
 No

23. Does your institution have staff who are designated to handle the transfer of records that have permanent institutional or historical significance to a secure location? *

Mark only one oval.

Yes

No

COVID-19 Records

The state of Alabama is facing a historic challenge as we respond to the COVID-19 pandemic. To navigate this challenge, educational institutions are creating a wide variety of resources to inform and support staff members, students, and the public. As the state's government records repository and home to the state history museum, the ADAH wants to ensure that historic records documenting the pandemic are preserved for the future.

Educational institutions should ensure that their response related to the pandemic is documented and preserved. Types of records that institutions should be sure to save include, but are not limited to, the following:

- Informational materials related to COVID-19 (paper or electronic) such as graphics, posters, guidance, etc.
- Press releases
- Video recordings of announcements, press conferences, etc.
- Administrative files of agency leadership (including planning and policy documentation as the agency responds to the virus)
- Legal opinions and guidance
- Policies and procedures which were developed and/or modified in response to the virus
- Data and statistical information
- Any other information that may be historically significant

24. At this time, we are asking that institutions set aside and save COVID-19 records so that they will be available and preserved for future Alabamians. Records Management Section staff will be in touch in the future to transfer these documents to the Archives. *

Check all that apply.

I confirm that I have read the above statement.

Annual Reports

Annual reports provide valuable insight into an institution's activities. The ADAH is beginning an initiative this year to collect and preserve electronic annual reports from Alabama's public colleges and universities on an annual basis before the files become corrupted or lost. The electronic annual reports will be preserved and made available on our electronic records portal, Preservica.

25. Has your agency created any annual reports over the past twenty years? *

Mark only one oval.

Yes

No

26. What is the earliest date for which you have annual reports in an electronic format?

27. What is the latest date for which you have annual reports in an electronic format?

28. In which format(s) are your agency's annual reports published or maintained?
Select all that apply.

Check all that apply.

PDF or PDF/A

Microsoft Word

Microsoft Excel

HTML page

Blog (e.g., WordPress or Blogger)

Content Management System (e.g., Sharepoint, OneDrive, iGov)

Other: _____

Please email your agency's electronic annual reports and newsletters/bulletins to Katie.Ray@archives.alabama.gov, or email her to discuss alternative methods for submission (such as Dropbox or thumb drive). Please send only born-digital records (i.e. records produced in digital format), NOT records scanned or converted from paper format.

Agency Liaison
Primary Contact

This person acts as your agency's Records Liaison with the Alabama Department of Archives and History.

29. Last Name *

30. First Name *

31. Title *

Please enter the title that the Records Liaison holds at your agency.

32. Email *

33. Phone *

34. For how many years has this person been the Records Liaison for your agency? *

Mark only one oval.

Less than one year

1-2 years

2-5 years

5-10 years

10+ years

Agency Liaison Other
Contacts

Additional contacts at your agency who would like to receive Records
Liaison emails.

35. Last Name

36. First Name

37. Title

38. Email

39. Phone

40. Last Name

41. First Name

42. Title

43. Email

44. Phone

45. Last Name

46. First Name

47. Title

48. Email

49. Phone

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