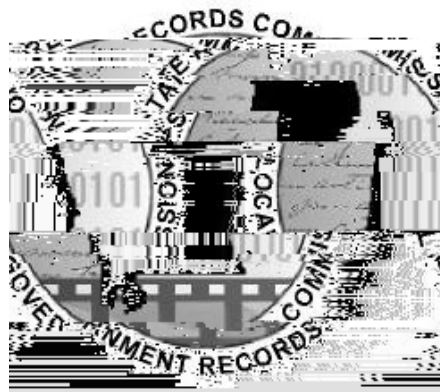


# Public Universities of Alabama



## Functional Analysis & Records Disposition Authority

Revision  
Presented to the  
State Records Commission  
October 26, 2022



# **Functional and Organizational Analysis of Public Universities of Alabama**

## **Sources of Information**

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*f*  
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## **Historical Context**

### **Historical Context – Public Universities**

## **Agency Organization**

## **Agency Function and Subfunctions**

*f* **Admitting/Expelling Students.**

*f* **Conveying Knowledge.**

*f* **Evaluating Performance and Conferring Credentials.**

*f* **Advising and Assisting Students.**





# **Records Appraisal of Public Universities of Alabama**

## **Records Appraisal**

### **I. Temporary Records.**

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

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

*f* **Alcohol Influence Reports.**

*f* **Employee Work History.**



## **II. Permanent Records.**

### **Admitting/Expelling Students**

*f* **Recruitment Materials and Records.**

*f* **Student Handbooks.**

### **Conveying Knowledge**

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

*f* **Graduation Lists.**

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

## **Advising and Assisting Students**

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

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

*f* **Official Squad Lists.**

## **Conducting Research**

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

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

*f* **Research Policies.**

## **Administering Internal Operations**

*f* **Board of Trustees Records.**

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

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

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

*f* **Policies and Faculty Handbooks.**

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

*f* **Annual Reports.**

*f* **Publications and Publicity Materials.**

*f* **Class Gift Records.**

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

*f* **Permanent Financial Documentation.**

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# Permanent Records List Public Universities of Alabama

## Admitting/Expelling Students

## Conveying Knowledge

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**Administering Internal Operations: Managing Finances**

**Administering Internal Operations: Managing Human Resources**

**Public Universities of Alabama**

## **Records Disposition Requirements**

### **Admitting/Expelling Students**

#### **1.01 RECRUITMENT MATERIALS AND RECORDS.**



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

**1.03 Student Disciplinary Files.**

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

**1.05 STUDENT HANDBOOKS.**

### **Conveying Knowledge**

**2.01 COURSE AND CURRICULUM RECORDS.**

**2.02 Academic Program Files.**

**2.03 Lesson Plans/Syllabi.**

## **2.05 Documentation of Grades (Instructor's Copy).**

**2.13 Course/Teacher Evaluations.**

**Evaluating Performance and Conferring Credentials**

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

**3.02 FINAL GRADES.**

**3.03 Grade Statistics.**

**3.04 GRADUATION LISTS.**

**3.05 INDIVIDUAL STUDENT ACADEMIC RECORDS.**

**3.06 Continuing Education Program Files.**

### **3.12 Graduation Applications.**

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

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

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

## **Student Housing**

### **4.14 Student Housing Records (Dorm Records).**

## **Medical/Psychotherapy Care**

### **4.15 Patient Records.**





**4.29 Injury Surveillance Forms.**

**4.30 OFFICIAL SQUAD LISTS (not intramural).**

**4.31 Team Scouting Reports.**

**4.32 Drug Test Results.**

**Enforcing Laws**

**5.01 Records of Driving Violations.**

**5.02 Alcohol Influence Reports.**

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

**5.04 Campus Parking Tickets.**

**5.05 Uniform Traffic Ticket and Complaint (UTTC) Records.**

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

**5.07 Daily Assist Tickets.**

**5.08 Uniform Arrest Reports.**

**5.09 Alabama Uniform Traffic Accident Reports (AUTAR).**

**5.10 Felony Awareness Patrol Reports.**

**5.11 Accident Logs.**

## **5.16 Daily Accident and Activity Logs and Reports.**

**5.27 Investigation Files.**

**5.28 Consent to Search Forms.**

**5.29 Abandoned Vehicle Stickers.**

**5.30 Wrecker Logs.**

**5.31 Owner's Requests for Wrecker.**

**5.32 Wrecker and Wrecker Driver Information Sheets.**

**5.33 Alcohol Breath-testing Instrument Inspection Sheets.**

**5.34 Cross Reference Records.**

**5.35 Dispatch Records.**

## **Conducting Research**

### **6.01 RESEARCH PROJECT RECORDS.**

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

### **6.02 Records of Research Presentations.**

### **6.03 RESEARCH POLICIES.**

### **6.04 Research Agreements.**

### **6.05 Abstracts of Research Publications.**

### **6.06 Sabbatical Files.**

## **Administering Internal Operations: Managing the University**

### **7.01 BOARD OF TRUSTEES RECORDS.**

**7.02 Records of University-Wide Standing Committees.**

**7.03 Records of Other Committees.**

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

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

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

**7.07 POLICIES AND FACULTY HANDBOOKS.**

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

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

**7.10 REPRESENTATIONAL FINAL VERSIONS OF INFORMATIONAL AND PROMOTIONAL MATERIALS.**

**7.11 Informational and Promotional Working Files.**

**7.12 Photographs.**

**7.13 Audiovisual Recordings.**





## **7.21 Routine Correspondence**

**7.26 RECORD OF GIFTS AND BEQUESTS TO THE UNIVERSITY.**

## **8.07 Accounting Records.**

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

#### **8.14 Grant Records – Internally Funded.**

**8.15 Fiscal Operations Reports.**

**8.16 Unpaid Accounts Receivable.**

**8.17 Social Security Payment Files.**

**8.18 Social Security Reports and Deposits.**

**8.19 Unemployment Compensation Benefit Files and Reports.**

## **Administering Internal Operations: Managing Human Resources**

**9.01 Job Recruitment Materials.**

**9.02 Affirmative Action/Equal Employment Opportunity Case Files.**







## **Administering Internal Operations: Managing Properties, Facilities, and Resources**

**10.01 Capital Improvements Contract Records.**

**10.02 Property Inventory Records.**

**10.03 Receipts of Responsibility for Property.**

**10.04 Real Property Leasing/Rental Records.**

**10.05 Building Plans and Drawings.**

**10.06 Facility Maintenance and Upkeep Records.**

**10.07 Visitor/Service Personnel Log-In Sheets.**

**10.08 Identification Records.**

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

**10.10 Vehicle Records.**

**10.11 Vehicle Tag Records.**

**10.12 Fleet Activity Reports.**

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

## **Requirement**

## **Recommendations**







