

UAB Records Retention Schedule

This Records Retention Schedule supports UAB’s [Records Retention Policy](#). Questions related to relevant records retention periods should be directed to your immediate supervisor or department administrator. The [University Compliance Office](#) is available for consultation, if needed.

Table of Contents

Administrative

This category includes records documenting the general administration of each office or activity within a college. Examples: accreditation files, annual reports, policies and procedures, and meeting minutes and agendas. **3**

Athletics

This category includes the program records of the athletics program. Many of these materials are created to meet NCAA requirements. **9**

Student Education

This category includes the records of student activities, student services, financial aid, admissions, registration, and academic progress. Examples: Student government association records, student permanent records, grade and course credit records, requests for transcripts, and financial aid files. **11**

- [Student Education Supplement A: Admissions Data/Documents for Applicants Who Do Not Enter](#) **72**
- [Student Education Supplement B: Admissions Data/Documents for Applicants Who Enroll](#) **74**
- [Student Education Supplement C: Registration and Attendance/Academic Progress Records](#)..... **76**
- [Student Education Supplement D: Certification Data/Documents](#)..... **79**
- [Student Education Supplement E: Publications, Statistical Data/Documents, and Institutional Reports](#) **80**
- [Student Education Supplement F: Family Educational Rights and Privacy Act \(FERPA\) Data/Documents](#) **81**
- [Student Education Supplement G: Federal Disclosure Records](#) **82**
- [Student Education Supplement H: Federal Student Financial Aid \(SFA\) Record Retention Requirements](#)..... **85**

Title IX

This series includes records specific to the administration of the Title IX program operations and compliance, in adherence to the UAB **TITLE IX SEX DISCRIMINATION, SEXUAL HARASSMENT, AND SEXUAL VIOLENCE POLICY**. **33**

Finance

This category includes the records documenting the financial activity of the university. **34**

Legal

This category includes the records documenting the university's legal obligation to another party and the records of the university's legal counsel. **52**

Human Resources

This category includes the records of personnel activities of the university. **53**

Table of Contents continued on next page >

Public Relations

This category includes public information and media materials produced by the university as well as records of public events. 64

University Police

This category includes the records of law enforcement activity on the university campus. 65

Facilities

This category includes records documenting the general administration of university real properties and facilities. 70

Research

This category includes records related to research awards to recipients, Public Health Service Awards, Federal Drug Administration, and HIPAA Privacy rule related to research 72

Patient Records

This category includes patient medical records for all UAB schools that have clinical operations. 74

Index of Responsibility by Unit 92

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
ACCESS RECORDS. This series documents access by employees to workstations and buildings.	1 year after access terminated.	University Procedure	Workstations: Information Technology Buildings: Facilities
ACCREDITATION RECORDS. This series consists of reports and supporting information documenting the process of becoming accredited and/or activities associated with reporting and/or confirming accreditation by professional, licensing, and certifying associations.	Retain records pertaining to current plus one previous accreditation period. Prior to destruction, offer to University Archives.	University Procedure	University Archives
ADMINISTRATIVE POLICY RECORDS. This series is typically arranged in alphabetical subject files, and may include chronological reading files, bound reports, tape recordings, photographs, electronic mail and other information types, all of which document the activities of the Provosts, Vice Presidents, Assistant/Associate Vice Presidents, Deans, and Assistant/Associate Deans.	Retain 3 fiscal years. Transfer to University Archives.	University Procedure	University Archives
ADMINISTRATIVE SUPPORT RECORDS. This series documents the administrative records that are used to carry out the functions of the office and may include video, audio, electronic, microform, and paper media.	Retain 3 fiscal years.	University Procedure	University Archives
ADMINISTERING INTERNAL OPERATIONS			
A. Managing the University			
1. Board of Trustee Records. This series may include meeting agenda, minutes, reports, and proposals, as well as documentation of the award of honorary degrees and citations.	PERMANENT RECORD.	(RDA 7.01)	University Archives
2. Records of University-wide Standing Committees. This series is created by university-wide standing committees and may include minutes and recommendations.	PERMANENT RECORD.	(RDA 7.02)	University Archives

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
3. Records of Other Committees. This series is created by committees other than university-wide standing committees.	Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 7.03)	University Archives
4. Recordings of Meetings of Board of Trustees and Standing and Ad Hoc Committees. This series is created during meetings to assist in the creation of minutes.	Retain until the official minutes are adopted and signed.	(RDA 7.04)	University Archives
5. Minutes and Recordings of Meetings (Not including Board of Trustees and Standing and Ad Hoc Committees). This series is created to document decisions reached at a meeting.	Retain for useful life.	(RDA 7.05)	University Archives
6. President's/Chancellor's/Vice President's/Athletic Director's Files. This series, which does not include routine correspondence, documents the policies of the university.	PERMANENT RECORD.	(RDA 7.06)	University Archives
7. Policies and Faculty Handbooks. Document university guidelines, policies, and procedures.	PERMANENT RECORD.	(RDA 7.07)	University Archives
8. Accreditation Records (Assessment/Self-Study Reports). This series documents accreditation reviews by accrediting agencies.	A. FINAL ASSESSMENT/SELF-STUDY REPORTS AND RESPONSES: PERMANENT RECORD. B. Other records: Retain until completion of next accreditation review.	(RDA 7.08)	University Archives
9. Annual Reports. (Includes university, school/college & unit reports). These records document activities by the university and by each unit.	PERMANENT RECORD.	(RDA 7.09)	University Archives

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
<p>10. Publications and Publicity Materials. This series includes publications concerning the university and its work and are issued for distribution to the public. Publicity materials document university activities and may include newsletters, programs, speeches, photographs, contact prints, negatives, enlargements from negatives, audio and video tapes, and transparencies. Note: for each item there should be an identification that includes subject, the occasion, the place, and the date.</p>	<p>Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.</p>	<p>(RDA 7.10)</p>	<p>University Archives</p>
<p>11. Trademarks Licensing Records and Samples. This series documents the legal authority for non-system agencies to use the logos and other symbols constituting the registered trademarks of the institution. The records consist of folders for each vendor or individual seeking legal use of institutional trademarks for any reason. This series may include but is not limited to: application; sample submitted as part of the application process; names and addresses of approved licensees; their annual gross dollar sales of institutionally trademarked items; invoices showing royalties paid to the institution for use of the trademarks; licensing agreements; samples of the requesting licensees' art work; and related documentation and correspondence.</p>	<p>A. Trademarks Licensing Records and Samples Approved: Retain 6 years after expiration of licensing agreement. B. Trademarks Licensing Records and Samples Denied: Retain 1 year.</p>	<p>(RDA 7.11)</p>	<p>University Archives</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
12. Website and Social Media Site(s).	PERMANENT RECORD. The university may maintain a website or participate in social media sites. The university is responsible for capturing and preserving the university website as often as significant changes are made.	(RDA 7.12)	University Archives
13. Administrative Reference Files/Working Papers/Preliminary Reports and Data/Informal Surveys. This series is created to assist in the completion of projects and/or reference and are usually only needed for a short period of time.	Retain for useful life.	(RDA 7.13)	University Archives
14. Telephone Logs/Calendars. This series is used to document contacts and scheduling.	Retain for useful life.	(RDA 7.14)	University Archives
15. Records Documenting Legal Cases. This series documents legal cases involving the university	Retain 6 years after final settlement. Prior to disposition, check with the university archives for possible extended retention.	(RDA 7.15)	University Archives
16. University Grievance Files. This series of documents grievances initiated by faculty, staff, and students and may contain grievance committee meeting minutes.	Retain for 3 years after action taken on case and settlement of all claims due.	(RDA 7.16)	University Archives
17. Records of Non-Academic Committees. This series is created to document meetings and actions of university committees.	Retain 3 years.	(RDA 7.17)	University Archives
18. Routine Correspondence (includes requests for information). This series is correspondence regarding routine matters.	A. Routine correspondence that relates to finances: Retain 3 years after end of the fiscal year in which the records were created.	(RDA 7.18)	University Archives

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
	B. Routine correspondence that does not relate to finances: Retain for useful life.		
19. Mailing Lists. This series is created to enable distribution of information.	Retain for useful life.	(RDA 7.19)	University Archives
20. Records documenting the implementation of the university's approved RDA. This series includes copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission.	Retain 3 years after end of the fiscal year in which the records were created.	(RDA 7.20)	University Archives
21. Copy of RDA. The agency's copy of the RDA is its legal authority to dispose of its records according to the listed disposition requirements.	Retain 3 years after end of the fiscal year in which the RDA is superseded.	(RDA 7.21)	University Archives
22. Information Systems Documentation. This series includes hardware/software manuals and diskettes, and warranties.	Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all PERMANENT RECORD records have been migrated to a new system.	(RDA 7.22)	Information Technology/ University Archives
23. Distance Education Student Record Protection Plans. This agreement between a university and a designated repository may be required by other states for universities that have distance education programs to ensure that students would have access to their records in case the university closes	Retain until superseded.	(RDA 7.23)	Sr. Vice President/Provost

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ADMINISTRATIVE			
DEVELOPMENT/ALUMNI RELATIONS. Note: Document retention requirements refer only to material maintained by the University. Records retained by separate campus foundation or alumni associations are subject to foundation or association policies and procedures.			Development and Alumni Affairs
A. Class Gift Records. This series of documents provides a record of gifts given to the institution by senior classes. These documents may include, but are not limited to, gift lists, gift histories, record of gift placement arrangements, and related documentation.	PERMANENT RECORD.	(RDA 7.24)	Development and Alumni Affairs
B. Donor (and prospective donor) information records. Information on individuals, organizations, foundations, or corporations.	Temporary Record. Retain for administrative use.	(RDA 7.25)	Development and Alumni Affairs
RECORD OF GIFTS AND BEQUESTS TO THE UNIVERSITY. This series of documents is related to gifts and bequests including copy of will, copies of deeds and titles, maps and surveys (if applicable), and records of establishment of and use of monies generated by trust fund or endowment.	PERMANENT RECORD.	(RDA 7.26)	Development and Alumni Affairs
COLLECTION OBJECT FILES. This series consists of files documenting objects that are parts of the museums and galleries collections on campus. Files include name of donor, value and description of item.	1 year after item removed from collection.	University Procedure	University Archives
CONSULTATION RECORDS. This series documents consultant services provided by University faculty and staff to private industry. May include but is not limited to correspondence, invoices and documentation of fees for services and equipment.	6 fiscal years after close of contract provided no litigation is pending.	University Procedure	Department Level
CONTROLLED SUBSTANCE RECORDS. This series documents the purchase, sale and use of controlled substances. These drugs are sold to the researchers, who keep logs of usage and return the logs when treatment completed.	2 years.	(21 CFR 1304.04)	Research

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ATHLETICS			
ATHLETIC ACTIVITIES – DRUG DISPENSING RECORDS. This series documents the daily dispensing of drugs by athletic department staff.	Retain 7 years. (RDA 4.24: 6 years)	University Procedure (RDA 4.24)	University Athletics
ATHLETIC ACTIVITIES – GAME VIDEOGRAPHY. Consists of university produced videography of university sporting events.	Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 4.25)	University Athletics
ATHLETIC INJURY RECORDS. This series documents injuries to university athletes and athletics staff as well as to members of intramural teams. The records include accident reports, medical records, x-rays, photographs, affidavits, correspondence, billing information, and other related records.	A. Medical records: Retain 10 years. B. Non-medical records: Retain 7 years. (RDA 4.26 5 years).	University Procedure (RDA 4.26)	University Athletics
ATHLETIC ACTIVITIES – LETTER OF INTENT. This series documents student athletes' intentions of attending a specific university.	Retain 6 years or until resolution of all official actions, whichever is longer.	(RDA 4.27)	University Athletics
ATHLETICS CASE FILES/INFRACTIONS FILES. This series documents the investigation of suspected/confirmed infractions of rules and regulations	A. Files of Substantiated Allegations: PERMANENT RECORD. B. Files of unsubstantiated allegations: Retain 6 years after closure.	(RDA 4.28)	University Athletics
ATHLETIC ACTIVITIES - INJURY SURVEILLANCE FORMS. This series provides information on the frequency and types of injuries in each sport.	Retain 1 year after end of the year in which the record was created.	(RDA 4.29)	University Athletics
ATHLETICS - OFFICIAL SQUAD LISTS (NOT INTRAMURAL). This series documents the members of each sports squad and corresponding financial, enrollment, and eligibility information.	PERMANENT RECORD.	(RDA 4.30)	University Athletics

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: ATHLETICS			
ATHLETIC TEAM SCOUTING REPORTS. This series documents opposing teams' strengths and weaknesses prior to a sporting event.	Retain for useful life.	(RDA 4.31)	University Athletics
ATHLETIC ACTIVITIES – DRUG TEST RESULTS. This series document the results of drug tests.	Retain 6 years.	(RDA 4.32)	University Athletics
ELIGIBILITY LISTS. This series consists of the lists of players certified as eligible to participate in outside competitions and their corresponding academic, medical, and NCAA forms information	PERMANENT RECORD.	NCAA By-laws 32.6.3 Statute of limitations	University Athletics
SPORT FILE. This series contains correspondence and memos to and from coaches, and is filed by sport.	6 calendar years.	University Procedure	University Athletics
STUDENT ATHLETE FILES. This series consists of files maintained on each student athlete as it relates to NCAA compliance.	6 years after student leaves the athletic program.	University Procedure	University Athletics

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
<p>ADMISSIONS APPLICATIONS – DENIED/DECLINED ADMISSION/NOT REGISTERED. This series consists of applications of graduate and undergraduate students who have made applications to the University and have been denied, declined admission or did not appear to register. Master record maintained at Admissions or Graduate School.</p>	<p>A. Master record: Maintained by Admissions or Graduate School: 1 year after application denied provided no litigation is pending.</p> <p>B. Duplicates: College or Department: 1 year after application denied provided no litigation is pending.</p> <p>C. Duplicates: College or Department: 1 year after application denied provided no litigation is pending.</p>	University Procedure	Undergraduate Admissions
<p>ADMISSIONS APPLICATIONS – DENIED/DECLINED ADMISSION/NOT REGISTERED – SCHOOL OF MEDICINE. This series consists of applications of students who have made applications to the Medical School and have been denied, declined admission or did not appear to register. Master record maintained at School of Medicine Admissions.</p>	<p>A. Master Record: Maintained by the School of Medicine Admissions: 5 years after application denied provided no litigation is pending.</p> <p>B. Duplicates: College or Department: 1 year after application denied provided no litigation is pending.</p>	AACRAO	School of Medicine
<p>ADMISSIONS APPLICATIONS - GRADUATE STUDENTS. This series consists of admissions applications of graduate students who have registered for classes. The master record of the Graduate School application for those students who register is transferred to the Graduate School Record and is maintained at the Graduate School. Any additional information requested by colleges or departments, such as writing samples or additional</p>	<p>A. Master Record: Transferred to Graduate School Record</p> <p>B. Master Record – Additional Application Information: 5 years after graduation or last date of attendance.</p> <p>C. Duplicates: College or Department: Retain until</p>	AACRAO	Graduate Admissions

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
application information, is held at the college or department.	obsolete, superseded or administrative value is lost.		
ADMISSIONS APPLICATIONS – PROFESSIONAL SCHOOLS. This series consists of admissions applications for students in professional schools such as the School of Medicine, School of Dentistry, School of Nursing, and School of Optometry. Those applicants must also have registered for classes. The master record of the application for those students who register is maintained at the school’s student affairs office.	A. Master Record: Maintained at the school’s Student Affairs Office: 5 years after graduation or last date of attendance. B. Duplicates: Department: Retain until obsolete, superseded or administrative value is lost.	University Procedure	Respective Professional School (Medicine, Dentistry, Nursing, Optometry)
ADMISSIONS APPLICATIONS - UNDERGRADUATE STUDENTS. This series consists of admissions applications of graduate and undergraduate students who have registered for classes. Master record maintained at Admissions.	A. Master Record: Maintained by Admissions: 5 years after graduation or date of last attendance. B. Duplicates: College or Department: Retain until obsolete, superseded or administrative value is lost.	AACRAO	Undergraduate Admissions
ADVISING RECORDS. This series consists of advisor copies of student records used to monitor academic progress and provide advice. May include but is not limited to copies of transcripts, grade reports, awards, notes of meetings, various forms and correspondence.	5 years after graduation or date of last attendance.	University Procedure	Committee on Academic Advising (CAA)
APPLICATION FOR DEGREE FORMS This series consists of forms sent by students to University Registrar. It is then used to flag the electronic records so that the Colleges can clear students for graduation. University Registrar maintains the original application and the colleges	5 years after graduation or date of last attendance.	University Procedure	University Registrar

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
maintain copies.			
APPLICATION/CONTRACT FOR ROOM AND BOARD. This consists of application for housing and meal plan for the academic year, specifying housing preference and meal plan choice for a one-year period.	5 fiscal years.	University Procedure	Student Housing and Residence Life
CLASS INFORMATION			
A. Administrative. This series consists of electronic or paper copy of grade submissions, class schedules, and class bulletins for each quarter or semester.	5 years after class completed.	University Procedure	University Registrar
B. Department/School/College. This series consists of electronic or paper copy of class syllabi, class record books, and course evaluations for each quarter or semester.	1 year.	University Procedure	Department/School/College
CLASS LISTS. This series consists of lists of students in each class, and is now generated as needed using the automated data warehouse.	Retain until obsolete, superseded, or administrative value is lost.	University Procedure	University Registrar
COMMENCEMENT RECORDS. This series consists of commencement program planning and may include but is not limited to attendance forms, programs, correspondence, student permissions and planning or committee records. Master record maintained at college.	Retain until administrative value is lost. Transfer programs to University Archives.	University Procedure	Vice Provost, Student and Faculty Success
COURSE AND PROGRAM RECORDS. This series includes course description, outlines, objectives, program documentation and the appropriate forms used to create classes.	Retain until obsolete, superseded or administrative value is lost. Prior to destruction, offer to University Archives.	University Procedure	University Registrar
COURSE AND CURRICULUM RECORDS. This series includes programs of instruction approval files, class/course schedules, university catalogs/bulletins, and proposals and	A. Records of Approved Classes: PERMANENT RECORD. B. Records of classes not	(RDA 2.01)	University Registrar

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
justifications for new courses and changes to courses.	approved: Retain for useful life.		
ACADEMIC PROGRAM FILES. This series includes materials on proposed academic programs that must be submitted to the Commission on Higher Education for approval. Much of the material in these files is duplicated in other commission records that have been designated as archival.	A. Records of Approved Classes: TEMPORARY. B. Records of classes not approved: Retain for 5 years.	(RDA 2.02)	University Registrar
COURSE SYLLABI/LESSON PLANS. This series is created to document what the teacher expects of the students and to outline assignments and due dates.	A. Retain for life of appeals process. B. University Recommendation: 1 year after grade changed provided no litigation is pending.	A. (RDA 2.03) B. University Procedure	Department/School/College
COURSES-INTERNSHIP RECORDS. This series documents activities of interns as part of class curriculum.	A. Retain for life of appeals process. B. University Recommendation: 1 year after grade changed provided no litigation is pending.	A. (RDA 2.07) B. University Procedure	Department/School/College
COURSES-MASTER COPY OF EXAMS This series is the master copy of every exam given in the conduct of a class in the curriculum of the university.	A. Retain for life of appeals process. B. University Recommendation: 1 year after grade changed provided no litigation is pending.	A. (RDA 2.06) B. University Procedure	Department/School/College
COURSE DOCUMENTATION OF ATTENDANCE (INSTRUCTOR'S COPY). This series includes last date of attendance reports or similar documentation used to determine compliance with federal loan guidelines.	Retain for 3 years after end of semester.	(RDA 2.04) (34CFR668.24)	Department/School/College

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
COURSE DOCUMENTATION OF GRADES (INSTRUCTOR'S COPY). This series includes class rolls, grade books, graded exams, papers, student e-mail, and other student work.	A. Retain for life of appeals process. B. University Recommendation: 1 year after grade changed provided no litigation is pending.	A. (RDA 2.05) B. University Procedure	Department/School/College
COURSE RECORDS OF SUPPLEMENTAL LEARNING CENTERS. This series documents the activities of supplemental learning centers, which some universities establish to assist in the learning process through tutoring in specific subject matter or skills. This series do not include records of libraries/learning centers.	Retain for 3 years.	(RDA 2.08)	Sr. Vice Provost, Student and Faculty Success
SPECIAL PROGRAM FILES. This series documents the sub function Conveying Knowledge through programs created by the University to reach out to the community. The Special Program Files focus on the published content of the community outreach programs. Many of the records created by these programs will be covered through series listed under Administering Internal Operations: however, core documentation of these programs and their products should be maintained permanently.	Records of Approved Classes: PERMANENT RECORD.	(RDA 2.09)	Sr. Vice Provost, Student and Faculty Success
CIRCULATION RECORDS. This series documents the borrowing of circulating library materials. This series may include but is not limited to the name and identification of the borrower, the titles of materials borrowed; the due date, overdue and fine payment notifications, and related documentation and correspondence.	Retain until the transaction is completed.	(RDA 2.10)	Sr. Vice Provost, Student and Faculty Success
INTER-LIBRARY LOAN (ILL) RECORDS. This series documents requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. Documents all lending	Retain for 3 years.	(RDA 2.11)	Vice Provost, Student and Faculty Success

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
and borrowing requests received and/or processed.			
ARCHIVES RECORDS. This series is created in the management of the archives.			
A. Accession/Deaccession Records, Collection Catalog Information, and Control Files for Manuscripts and Artifacts	A. PERMANENT RECORD.	(RDA 2.12)	
B. Accession/deaccession Records, Collection Catalog Information, and Control Files	B. Retain for useful life.	(RDA 2.12)	
C. Control Worksheets/Logs (Archives Manuscripts Control [AMC], Book Cataloging Forms, and Inventory Control Records)	C. Retain 1 year after data verification.	(RDA 2.12)	
D. Condition Reports of Non-PERMANENT RECORD Records, Finding Aides, and Holdings Inventory Records	D. Retain until superseded or obsolete.	(RDA 2.12)	
E. Recording Hygrothermograph Charts	E. Retain 1 year.	(RDA 2.12)	University Archives
COURSE/TEACHER EVALUATIONS. These evaluations are forms that are filled out by students enrolled in the class. The students rate the course and/or teacher. The evaluations are generally summarized in a report, which is used by the university and teacher to improve the course and its presentation.	Filled out evaluations: Retain until completion of summary report or 3 years if no report is created. Summary Reports: Retain 3 years.	(RDA 2.13)	Sr. Vice Provost, Student and Faculty Success
DEGREE CLEARANCE FORMS. This series is used by colleges to clear students for graduation.	A. Master record: Maintained by University Registrar: 5 years after graduation. B. Duplicates: Maintained by College: 1 year after graduation or date of last	University Procedure	University Registrar

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
	attendance.		
DROP-ADD FORMS. This series consists of electronic or hard copy drop-add forms used to change, add or drop courses after registration.	A. Electronic online data: 1 year after date submitted. B. Hard cover copies: 1 year after date submitted.	University Procedure	University Registrar
EDUCATIONAL SESSIONS. This series documents the educational sessions regarding NCAA compliance given by the Athletic Compliance Office.	6 calendar years.	University Procedure	Athletics
GRADE BOOKS. This series consists of either electronic or hard copy grade books.	1 year after final grade posted.	University Procedure	Department/School/College
GRADE CHANGE FORMS. This series consists of hard copy forms that are filled out by instructors and used to change previous grades of students. The forms are sent to the University Registrar from the departments. This procedure is currently being offered electronically.	A. Maintained at the University Registrar: PERMANENT RECORD. B. Duplicates: Maintained at the department or college offices: 1 year after grade changed, provided no litigation is pending.	University Procedure	University Registrar
GRADE COMPLAINT RECORDS. This series documents complaints made by students to the instructor, program chair and/or department head about grades.	1 year after complaint is resolved.	University Procedure	Department/School/College
GRADED MATERIALS. This series may consist of but is not limited to exams, papers, portfolio, and other materials either given to or received from students.	1 year after final grades are submitted.	University Procedure	Department/School/College
GRADUATE ASSISTANT FILES. This series documents problems, correspondence between graduate assistant employment office and student, notes and action papers. Master record of employment status maintained at Office	36 months after termination of employment.	University Procedure	Department Level

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
of Human Resources.			
GRADUATE ASSISTANT PROVISIONAL APPOINTMENTS. This series documents provisional graduate student hourly appointments and may include but is not limited to department estimates, verification of hours worked, worksheets, and department bills.	3 calendar years.	(29CFR1627)	Department Level
GRADUATE ASSISTANT UNREGISTERED REPORTS. This series documents graduate assistants who have insufficient credits or who are not registered for classes. May include but is not limited to computer generated report, department correspondence and action papers.	1 fiscal year.	University Procedure	Department Level
GRADUATE STUDENT FILES – DEPARTMENT COPY. This series consists of Application for Admission to Grad School, Degree Program List, grade transcripts, comprehensive exams, oral exam documentation, and related correspondence. Master record maintained at the Graduate School.	7 years after graduation or date of last attendance.	University Procedure	Department Level
GRADUATE STUDENT FILES – GRADUATE SCHOOL FILE. This series consists of Application for Admission to Grad School, Degree Program List, grade transcripts, comprehensive exams, oral exam documentation, and related correspondence. Master record maintained at the Graduate School.	A. Master record, graduates: PERMANENT RECORD. B. Master record, withdrawn: 5 years after withdrawal. C. Master record, accepted but not enrolled: 1 year after term for which application processed provided no litigation is pending.	University Procedure	Graduate School
INDEPENDENT STUDY RECORDS. This series documents departmental, college and/or instructor approval for students to enroll in independent study programs.	5 years after graduation or date of last attendance.	University Procedure	Department/School/College

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
INSTRUCTOR GRADE RECORDS. This series consists of electronic or hard copy grade books, logs, files or sheets maintained by professors or instructors and may include individual grade assignments. Final grades for classes are sent to University Registrar. See Graded Materials for individual student work product.	1 year after appeal process is complete.	University Procedure	Department/School/College
NAME CHANGE AUTHORIZATIONS - STUDENT	5 years after graduation or date of last attendance.	University Procedure	University Registrar
RETURNED DIPLOMAS. This series consists of diplomas that are returned to University Registrar because of a bad address or other problem encountered in mailing.	10 years.	University Procedure	University Registrar
ROOM CONDITION REPORTS. This series consists of reports documenting physical condition of residence hall room at move-in and move-out time. The reports are used to determine whether charges for damage to room are justified.	1 fiscal year provided no litigation is pending.	University Procedure	Student Housing and Residence Life
ROOM REGISTRATION CARD. This series consists of registration/sign-in card for conference users of residence hall facilities.	1 fiscal year.	University Procedure	Student Housing and Residence Life
COLLEGE/DEPARTMENT STUDENT ACADEMIC FILES AND GRADE AND COURSE CREDIT RECORDS. These records document individual students in individual college and department offices and 19 include grade change documentation, advanced credit posting authorizations, and student teaching program and certification records.	Retain 5 years.	(RDA 3.01)	Department/School/College
FINAL GRADES. These records document the grades given by an instructor to the members of a particular class.	PERMANENT RECORD	(RDA 3.02)	Department/School/College
GRADE STATISTICS. These reports are created to provide statistical information on student grade point or quality point averages.	Retain for useful life.	(RDA 3.03)	Department/School/College

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
GRADUATION LISTS. These records are lists of individuals who have successfully completed the degree requirements and have been graduated from the university. Note: This list may be part of the Board of Trustees minutes.	PERMANENT RECORD	(RDA 3.04)	Department/School/College
INDIVIDUAL STUDENT ACADEMIC RECORDS. These records consist of the official student record of an individual student for his/her period of enrollment at a university and include all academic documentation for an individual student, including transcripts, narrative evaluations, competency assessments, and academic action.	A. Continuing Education Records not required to produce a transcript: Retain for 1 year after date of last attendance. B. OTHER INDIVIDUAL STUDENT ACADEMIC RECORDS (includes continuing education records that are required to produce a transcript and Individual Student Transfer Evaluations): PERMANENT RECORD.	(RDA 3.05)	Department/School/College
CONTINUING EDUCATION PROGRAM FILES. These records consist of continuing education program files documenting students enrolled in continuing educational classes.	Retain 5 years	(RDA 3.06)	Department/School/College
CHANGES OF COURSE (DROP/ADD). These records document the student's change of courses.	Retain 1 year	(RDA 3.07)	Department/School/College
COMPREHENSIVE EXAMINATION RECORDS. These records document a student's grades on comprehensive exams.	Retain 5 years	(RDA 3.08)	Department/School/College
TRANSFER EQUIVALENTS FILES (ARTICULATION). These records document the process for transferring credit from other institutions of higher education accepted by a university.	A. Individual student transfer evaluations: File with individual student academic records B. Other: Retain for useful life.	(RDA 3.09)	Department/School/College

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
GRADUATION AUTHORIZATIONS. These records document graduation authorizations to verify degree requirements.	Retain 5 years after date of student's last attendance.	(RDA 3.10)	Department/School/College
GRADUATION APPLICATIONS. These records document the application for graduation.	Retain 1 year after date of student's last attendance.	(RDA 3.11)	Department/School/College
STUDENT ACADEMIC COUNSELING RECORDS. This series documents individual students assisted by the university academic counseling service.	Retain for 5 years after termination of enrollment.	(RDA 3.01)	Student Health and Wellness
STUDENT'S ADVISOR RECORDS. This series documents academic advisors' performance of their duties with their assigned students.	Retain for 5 years after termination of enrollment.	(RDA 3.02)	School/College Level
STUDENT ACADEMIC RECORD – TRANSCRIPT. This series consists of the student academic record and may include but is not limited to courses taken, grades, degree information, and test credits. This information is now kept in electronic format.	Maintained by University Registrar: PERMANENT RECORD.	University Procedure	University Registrar
STUDENT CORRESPONDENCE			
A. Administrative. This series consists of communications between students and University Registrar. This communication is now done mostly by electronic mail.	A. Hard Copy: 5 years after graduation or date of last attendance. B. Electronic auto-generated electronic mail: Maintain audit trail of when, why and to whom e-mail was sent for 5 years after graduation or date of last attendance. C. Electronic mail specific to a student issue or concern: 5 years after graduation or date of last attendance.	University Procedure	University Registrar

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
<p>B. Department/School/College. This series consists of communications between students and University Registrar. This communication is now done mostly by electronic mail.</p>	<p>A. Hard Copy: 5 years after graduation or date of last attendance.</p> <p>B. Electronic auto-generated electronic mail: Maintain audit trail of when, why and to whom e-mail was sent for 5 years after graduation or date of last attendance.</p> <p>C. Electronic mail specific to a student issue or concern: 5 years after graduation or date of last attendance.</p>	University Procedure	Department/School/College
<p>STUDENT EDUCATION RECORDS. This series consists of departmental copies of admission applications, transcripts, correspondence, drop/add forms, application for degree, registration information, change slips, notice of admission, student petition records and correspondence. Master record maintained at University Registrar or Graduate School. For additional information, see Student Records Management.</p>	Duplicates: 1 year after graduation.	University Procedure	University Registrar
<p>STUDENT EVALUATIONS OF FACULTY. This series consists of summary sheets reflecting student evaluations of faculty and courses.</p>	Retain until next review period of faculty member is complete.	University Procedure	Vice Provost, Student and Faculty Success
<p>STUDENT PERFORMANCE EVALUATION AND CONFERRING CREDENTIALS</p>			
<p>A. College/Department Student Academic Files and Grade and Course Credit Records. 1. These records document individual students in individual college and department offices and include grade change documentation, advanced credit posting</p>	Retain 5 years.	(RDA 5.01)	<p>1. University Registrar</p> <p>2. School of Education</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
<p>authorizations. 2. These records document individual students in individual college and department offices, and include student teaching program and certification records.</p>			
<p>B. Grade sheets submitted by instructors/class lists. These records document the grades given by an instructor to the members of a particular class.</p>	PERMANENT RECORD.	(RDA 5.02)	University Registrar
<p>C. Grade statistics. These reports are created to provide statistical information on student grade point or quality point averages.</p>	PERMANENT RECORD.	(RDA 5.03)	Institutional Effectiveness & Analysis
<p>D. Graduation lists. These records are lists of individuals who have successfully completed the degree requirements and have been graduated from the university. Note: This list may be part of the Board of Trustees minutes.</p>	PERMANENT RECORD.	(RDA 5.04)	University Registrar
<p>E. Individual student academic records. These records consist of the official student record of an individual student for his/her period of enrollment at a university and include all academic documentation for an individual student, including transcripts, narrative evaluations, competency assessments, and academic action.</p>	<p>A. Continuing Education Records not required to produce a transcript: Retain for 5 years after date of last attendance.</p> <p>B. Other Individual Student Academic Records (includes continuing education records that are required to produce a transcript and Individual Student Transfer Evaluations): PERMANENT RECORD.</p>	(RDA 5.05)	University Registrar
<p>F. Continuing Education Program Files. These records consist of continuing education program files documenting students enrolled in continuing educational classes.</p>	Retain 5 years.	(RDA 5.06)	School/College Level

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
G. Changes of Course (Drop/add). These records document the student's change of courses.	Retain 1 year.	(RDA 5.07)	University Registrar
H. Comprehensive Examination Records. These records document a student's grades on comprehensive exams.	Retain 5 years.	(RDA 5.08)	Department Level
I. Transfer Equivalents Files (Articulation). These records document the process for transferring credit from other institutions of higher education accepted by a university.	A. Individual Student Transfer Evaluations: File with individual student academic records. B. Other: Retain for useful life.	(RDA 5.09)	University Registrar
J. Graduation Authorizations. These records document graduation authorizations to verify degree requirements.	Retain 5 years after date of student's last attendance.	(RDA 5.10)	University Registrar
K. Graduation Applications. These records document the application for graduation.	Retain 1 year after date of student's last attendance.	(RDA 5.11)	University Registrar
STUDENT ADVISING AND ASSISTING: NON-DEGREE STUDENT PROGRAM FILES			
A. Student Services Program Files. This series includes Student Services Program Files. Student files for non-academic programs created to provide ESL certification, immigration services, veteran services, career placement, and other services beyond and/or in cooperation with those provided by academic programs. Any academic records related to certification should be maintained in accordance with Evaluating Performance and Conferring Credentials. Program may choose to return certain documentation to the student.	Retain 5 years	(RDA 4.01)	VP Student Affairs
STUDENT ADVISING AND ASSISTING: DEGREE SEEKING			

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
STUDENT PROGRAM FILES			
A. Academic Counseling Records. These records document individual students assisted by the university academic counseling service.	Retain for 5 years after termination of enrollment.	(RDA 4.02)	VP Student Affairs
B. Student Advisor Records. These records document academic advisors' performance of their duties with their assigned students.	Retain for 5 years after termination of enrollment.	(RDA 4.03)	VP Student Affairs
STUDENT ADVISING AND ASSISTING: FINANCIAL ASSISTANCE. This series consists of various sources and records of student financial assistance.			
A. Academic Scholarship Awards Records. These records document the application for, and award of scholarships to students and include correspondence, applications, recommendations, grade listings, statements of need, accounting records, and approvals or disapprovals.	Retain 3 years after end of the fiscal year in which the records are created.	(RDA 4.04)	Student Financial Aid
B. Athletic Scholarship Award Records. These records document athletic scholarship awards to students and may include correspondence, applications, recommendations, grade listings, accounting records, and approvals or disapprovals.	A. Records of awarded scholarships: Retain 6 years after receipt. B. Records of scholarships not awarded: Retain 3 years.	(RDA 4.05)	Student Financial Aid
C. Alabama G.I. and Dependent's Educational Benefits Records. These records document the award of Alabama G.I. and Dependent's Educational Benefits Program funds to university students who are the dependents of a disabled or deceased Alabama veteran or an individual who is a disabled veteran.	Retain for 8 years from date of certification of eligibility.	(RDA 4.06)	Student Financial Aid

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
D. U.S. G.I. and Dependents' Educational Benefit Records. These records document the educational training of students entitled to benefits administered through the U.S. Veterans Administration. Contains certification, discharge papers, course of study information, correspondence, certificates of training, marriage licenses, birth certificates, registration forms, transcripts, and other related records.	Retain for 3 years after termination of enrollment.	(RDA 4.07)	Student Financial Aid
E. Alabama National Guard Educational Assistance Program (ANGEAP) Records. These records document the award of ANGEAP funds to university students who are active members of the Alabama National Guard.	Retain for 5 years after date of certification of application.	(RDA 4.08)	Student Financial Aid
F. Federal Student Loan Files. These records are created to establish a student's eligibility for federal loan program awards.	Retain 3 years after termination of enrollment.	(RDA 4.09)	Student Financial Aid
G. Federal Work Study (FWS) and Supplemental Educational Opportunity Grants (SEOG) Records. These records document FWS and SEOG program monies awarded to university students.	Retain 3 years after submission of the Fiscal Operations Report for that award year.	(RDA 4.10)	Student Financial Aid
H. Institutional Loan Records. These records document the award of institutional loans to eligible students.	Retain until final disposition of the loan.	(RDA 4.11)	Student Financial Aid
I. Institutional Scholarship Records. These records document the award of institutional scholarships to eligible students.	Retain for 5 years after expiration of scholarship.	(RDA 4.12)	Student Financial Aid
J. Pell Grant Records. These records document Pell grants awarded to university students and are used to establish and verify a student's eligibility for Title IV financial aid program funds.	Retain for 5 years after the award year.	(RDA 4.13)	Student Financial Aid

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
STUDENT GRADUATION RECORDS. This series may include but is not limited to balance sheets, lack notices, petitions, and graduation related correspondence. Master record maintained by University Registrar, College Office or Graduate School.	A. Graduates: 1 year after graduation. B. Non-graduates: Retain 7 years after termination of attendance unless special circumstances are present.	University Procedure	University Registrar
STUDENT HEARING TAPES. This series consists of tapes of hearings before the Student Behavior Committee and the President Student Behavior Review Panel. Outcomes are recorded in the Student file.	A. Expelled students: Retain transcript of hearing PERMANENT Record. Once transcript is certified, tape can be destroyed. B. Other discipline: 10 years after case closed.	University Procedure	Student Conduct
STUDENT HOUSING AND RESIDENCE LIFE RECORDS (DORM RECORDS). These records document the application for, awarding of, and use of Student Housing and Residence Life facilities by students. Records may include applications, credit reports, references, sign-up sheets, photographs, and inspection reports.	Retain until student account is closed.	(RDA 4.14)	Student Housing and Residence Life
STUDENT PATIENT RECORDS. These records document medical care provided at the institution's health center.	Retain for 10 years after last visit.	(RDA 4.15)	Student Health and Wellness
DISABLED STUDENT FILES (AMERICAN WITH DISABILITIES ACT RECORDS). These records document students' requests for accommodations, as well as the college's response to their requests.	Retain 5 years after student's last day of attendance.	(RDA 4.16)	Disability Support Services
STUDENT ACTIVITIES			
A. Fraternities, Sororities, Greek Council, and Student Organizations/Government Files (does not include financial records or routine correspondence that are listed elsewhere). These records document the university's involvement with fraternities, sororities,	Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 4.17)	AVP, Student Services

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
intramural sports, scholastic teams, and other student organizations including their creation, discipline, and dissolution.			
B. Student Publications. University-wide student publications, which may include newspapers, magazines, game programs, and media guides, document the university and its students.	A. University-wide: PERMANENT RECORD. B. Non-university-wide: Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 4.18)	AVP, Student Services
C. University/Student Newspaper and Magazine Files. These records document the day-to-day operation of the school newspaper and/or magazine, but do not include financial records.	Retain 3 years.	(RDA 4.19)	AVP, Student Services
D. Recordings of University Radio/Television Broadcasts. These records document the programs provided by the university-operated stations.	Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 4.20)	AVP, Student Services
E. Radio/Television Station Files and Logs. These records document the administration and activities of university-funded radio and television stations.	Retain 3 years.	(RDA 4.21)	AVP, Student Services
F. Radio Equipment Requisitions and Letters of Insurance Coverage. The United States Department of Commerce requires documentation of requisitions and insurance for radio equipment used in radio wave broadcasts to be kept ten years.	Retain 10 years.	(RDA 4.22)	AVP, Student Services

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
<p>G. University Recreation Membership Applications/Release Forms. These records document use of facilities on campus. These documents may be from faculty, staff, students, or the public; however, funds are used to support student activities.</p>	Retain 1 year after expiration of contract.	(RDA 4.23)	AVP, Student Services
<p>STUDENT OFFICIAL GRADUATION LISTS. This series is compiled by the University Registrar after all clearances are completed and is done by semester.</p>	PERMANENT RECORD. Send copy of list to University Archives.	University Procedure	University Registrar
<p>STUDENT RECRUITMENT MATERIALS AND RECORDS. Recruitment materials are used to recruit students to attend the university and include videos, publications, posters, correspondence, advertisements, flyers or buttons/pins. Files also may be created for the recruitment of specific students.</p>	<p>A. Report and Procedures: PERMANENT RECORD</p> <p>B. Other Records: Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.</p>	(RDA 1.01)	Student Admissions
<p>STUDENT ADMISSION FILES. These files consist of application records for admission into the university degree program and are created for undergraduate, graduate, and transfer students. The files may include acceptance letters, placement records, medical records, test scores, test profiles, or reports of prospective university applicants. Statistical information on test score averages (GRE, ACT, SAT, CEEB files) may also be included.</p>	<p>A. Accepted applicants who enroll disposition: temporary record. retain 5 years.</p> <p>B. Accepted applicants who do not enroll disposition: Temporary record. Retain 1 year after application term.</p> <p>C. Applicants not accepted disposition: Temporary record. Retain 1 year after application term.</p> <p>D. Residency reclassification records: disposition: Temporary record. Retain for useful life. Note: Foreign</p>	(RDA 1.02)	Student Admissions

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
	students may request the return of some of this series.		
STUDENT DISCIPLINARY FILES. This series documents investigations and disciplinary actions taken against students for violations of university rules and regulations.	Retain 5 years after closure of case file or until the student leaves the university, whichever is longer.	(RDA 1.03)	Student Conduct
STUDENT REQUESTS FOR DISCLOSURE/NON-DISCLOSURE OF PERSONALLY IDENTIFIABLE INFORMATION. This series documents student requests that their personally identifiable information, which generally consists of name, address and telephone number, be/not be released. Also includes requests to forward student academic transcripts to other agencies, educational institutions or to the student.	Retain 1 year or until no longer applicable, whichever is longer.	(RDA 1.04)	University Registrar
STUDENT HANDBOOKS. These handbooks are produced by the university to provide information to students about the university and its operation.	PERMANENT RECORD.	(RDA 1.05)	Sr. Vice Provost
STUDENT LEAVE OF ABSENCE FORMS. This series consists of forms filed at the collegiate level. They are good for 1 semester and if filed, the student is held to the	A. Master record maintained by College Office: 5 years after graduation or date of last	University Procedure	Graduate School

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: STUDENT EDUCATION			
requirements for graduation that the student registered under.	attendance. B. Duplicates: Retain until administrative value is lost.		
STUDENT SCHOLARSHIP RECORDS. This series documents the application and award of scholarships to undergraduate and graduate students, and may contain committee records.	A. Awarded: 5 fiscal years after award. B. Not awarded: 1 year after application denied.	University Procedure	Student Financial Aid
TRANSCRIPT REQUEST FORMS. This series includes requests for transcripts by students that may be submitted electronically or in person.	1 year after date submitted.	University Procedure	University Registrar

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: TITLE IX RECORDS			
TITLE IX RECORDS: This series includes records specific to the administration of the Title IX program operations and compliance, in adherence to the UAB <i>TITLE IX SEX DISCRIMINATION, SEXUAL HARASSMENT, AND SEXUAL VIOLENCE POLICY.</i>	Retain for 7 Years from the date of record creation.	Title IX of the Education Amendments Act of 1972 (Federal law)	Title IX Coordinator

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
PERMANENT RECORD FINANCIAL DOCUMENTATION. This series includes financial documentation that is required by/of the University for PERMANENT RECORD retention and include: tuition and fee schedules, annual endowment fund reports, charts of accounts, general ledgers, annual financial statements, and annual payroll earnings records.	PERMANENT RECORD.	(RDA 8.01)	Asst. VP/Controller and Exec. Dir., Budget & Payroll
A-133 REPORTS. This series consists of copies of A-133 Reports.	A. Master record maintained at Financial Affairs: 10 fiscal years. B. Duplicates: Retain until administrative value has expired.	(OMB Circular A-133) B1	Asst. VP/Controller
ACCOUNTS RECEIVABLE – UNPAID. This series includes such documents as overdue accounts such as library fines, parking tickets, loan payments, or payments for services rendered and include past due accounts receivable, bad debt actions, and delinquent action reports.	Retain 1 year after completion of audit.	(RDA 8.16)	Asst.VP/Controller
ACCOUNTS PAYABLES. This series consists of supplier/vendor invoices submit for payment and documentation associated with the supplier/vendor payments.	10 fiscal years.	University Policy	Accounts Payable
ACCOUNTING RECORDS. This series includes may include, but are not limited to, records of original entry such as journals, registers, and subsidiary ledgers; records of funds deposited outside the state treasury, and electronic fund transfer files. These records document receipts and disbursement of funds by the university. For accounting records related to grants, see entry “Grant Records.”	The longest retention period will apply: A. RDA 8.07 Retain 1 year after completion of audit. B. RDA 8.13: Grant Records- Externally funded. C. RDA 8.14: Grant Records- Internally funded.	University Policy and A. (RDA 8.07) B. (RDA 8.13) C. (RDA 8.14)	Asst.VP/Controller

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
AUDIT RECORDS-EXTERNAL AND INTERNAL. This series is created by university, state or independent auditors to document their audits.	A. Final report and responses: Retain 6 years after the end of the fiscal year in which the records were created. B. Other records: Retain 1 year after completion of audit.	(RDA 8.12)	Asst.VP/Controller
AUTHORIZATION/ALLOCATION LETTERS. This series documents awards of federal financial aid to the university.	7 years.	(RDA 8.22)	Student Financial Aid
BANK STATEMENTS	7 years.	University Procedure	Exec. Dir., Budget & Payroll
BILLING RECORDS-SUBCONTRACTOR. This series consists of subcontractor information regarding billing and includes monthly reconciliation records, invoices and correspondence.	Retain 6 fiscal years after the contract has closed or 6 years after the submission of the final grant report to the sponsor, whichever is greater.	University Procedure	Grants and Contracts Accounting
BID PROCESS RECORDS. This series documents the bid process, including requests for proposals and unsuccessful responses.	A. Sealed bids over \$15,000: Retain 7 years after end of fiscal year in which the bids were opened. B. Other bids: Retain for 10 years after the award of the contract, then destroy.	University Policy (Code of Alabama 1975, Section 41-16-24) and (RDA 8.10)	Procurement Contracts
BOND DOCUMENTS. This series consists of all documents related to Bonds issued by UAB.	Retain 3 years beyond the final redemption date of the bond repayment terms.	(RDA 8.11) And Internal Revenue Code; USC 26-1.6001-1(e) and Section 148	Director of Bond Compliance and Reporting
BUDGET FILES. This series consists of internal budget worksheets and files maintained by the department responsible for budget preparation and input into the UAB Budget Model System.	3 fiscal years.	University Procedure	Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
BUDGET RECORDS. This series documents the preparation of budgets maintained in the UAB Budget Model System and any approved budget modification requests. Budget modification journal entry documentation is maintained in accordance with the rules as stated for "Accounting Records."	A. University budget: PERMANENT RECORD EB020-21 B. Other records: Retain 1 year after completion of audit.	(RDA 8.05)	Exec. Dir., Budget & Payroll
CASH RECEIPT RECORDS. This series includes documentation for payments received. May include but is not limited to cash register records, renumbered receipts, ticket records, payment logs, cash journals and cash reconciliation.	4 fiscal years provided applicable audits have been released.	University Procedure	Student Accounting Services
CASH REGISTER RECEIPT DETAIL TAPES. This series of records is used to verify the cash register receipts and include credit card transaction records.	Retain 1 year after completion of audit.	(RDA 8.03)	Student Accounting Services
CONSTRUCTION CONTRACT RECORDS. This series consists of project records related to construction contracts. Records include competitive bid records; contracts, leases and other agreements; financial records; and general correspondences.	A. Sealed bids: PERMANENT RECORD. B. Other bids: 10 years. C. Real property leases and capital improvement contracts: PERMANENT RECORD. D. Budgets: PERMANENT RECORD. E. Vendor invoices: 7 years after invoice paid. F. General Correspondence: 3 years, then destroy. G. Capital improvements Contract Records: Retain 6 years after expiration of contract.	University Procedure and (RDA 10.01)	Dir. Finance for Facilities

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
<p>CONTRACTS. This series consists of University contracts with vendors or other entities. See Grants Management Records for retention of sponsored project records.</p>	<p>A. Under \$10,000: Master record maintained at department: 6 fiscal years after termination of contract.</p> <p>B. Over \$10,000: Master record maintained at Purchasing Services: 6 fiscal years after termination of contract.</p> <p>C. Sponsored Accounts: SEE SPONSORED ACCOUNTS.</p> <p>D. Duplicates: Retain until no administrative value exist.</p>	<p>University Procedure</p>	<p>Assoc. VP Financial Affairs</p>
<p>CONTRACTUAL RECORDS. This series documents contracts entered into by the university for services or personal property.</p>	<p>The longest retention period will apply:</p> <p>A. RDA 8.09: Retain 6 years after expiration of contract.</p> <p>B. RDA 8.13: Grant Records- Externally funded.</p> <p>C. RDA 8.14: Grant Records- Internally funded.</p>	<p>University Policy and</p> <p>A. (RDA 8.09)</p> <p>B. (RDA 8.13)</p> <p>C. (RDA 8.14)</p>	<p>Assoc. VP Financial Affairs</p>
<p>DEPOSIT ENVELOPES. This series consists of the envelope from each parking facility by shift, and lists the number of tickets sold and the amount of money deposited. Envelopes are reconciled to each shift report daily.</p>	<p>60 days after reconciliation to shift report.</p>	<p>University Procedure</p>	<p>Business Officer, Transportation Services</p>
<p>DONATION FILES. This series documents the source and amounts of donations.</p>	<p>The longest retention period will apply:</p> <p>A. Reports of individual donors: Retain 5 years after last donation.</p> <p>B. Financial information: Retain 1 year after completion of audit.</p>	<p>(RDA 8.21)</p>	<p>Development and Alumni Affairs</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
ENDOWMENT/CONTRIBUTION FILES. This series documents financial contributions received from donors.	5 fiscal years.	University Procedure	Development and Alumni Affairs
EQUIPMENT BUY-OUT/TRANSFER RECORDS. This series consists of documents detailing the purchase and lease of capital equipment and the transfer of capital and non-capital surplus equipment.	3 fiscal years after the disposal or disposition of the equipment or until no administrative value exist, whichever is greater.	University Procedure	Purchasing Services and General & Equipment Accounting
EQUIPMENT CAPITAL LEASES. This series consists of capital equipment lease agreements as defined by GASB. Non-capital equipment leases for minor equipment (i.e. copiers, printers and other miscellaneous equipment), are maintained as part of the requisition and purchase order documentation maintained in the imaging system.	3 fiscal years after the termination of the lease agreement	University Procedure	Financial Audits & Reporting
EQUIPMENT FILES. This series documents purchases of equipment, and may include but is not limited to warranties and purchase information maintained in the imaging system.	6 years after disposal of equipment.	University Procedure	Purchasing Services
EQUIPMENT HISTORY FILES. This series consists of documentation relating to equipment no longer owned by UAB, including but not limited to expired leases, property disposal documents, equipment buyout/transfer records, correspondence, expired service agreements, original purchase documents and repair records.	3 fiscal years after disposal of equipment.	University Procedure	Asst.VP/Controller
EQUIPMENT INVENTORY RECORDS. This series consists of annual reports and property disposal forms. Master record maintained at Equipment Accounting for capital equipment	A. Master record: 6 fiscal years. B. Duplicates: Retain until no administrative value exist.	University Procedure	General & Equipment Accounting
EXTERNAL SALES ANNUAL REPORTS. This series consists of external sales reports generated by departments.	Master copy: Maintained at departments: 5 fiscal years.	University Procedure	Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
EXTERNAL SALES CONTRACTS. This series consists of contracts that UAB/units have with external customers who are purchasing goods or services from them.	<ul style="list-style-type: none"> A. Unit copy: 6 fiscal years provided no litigation is pending and no administrative value exist. B. External sales contracts: Contracts maintained by University Contracts Office until no administrative value exists. 	University Procedure	Assoc. VP Financial Affairs
FACILITY MAINTENANCE AND UPKEEP RECORDS. This series documents facility maintenance and upkeep activities.	<ul style="list-style-type: none"> A. Records for expendable items: 3 years. B. Records for capital items: retain for the life of the building. 	(RDA 10.06)	Facilities Information Technology, Manager; Dir. Utilities Management; and Dir. Campus Management
FEDERAL APPROPRIATION DRAWS This series consists of the draw-down on federal funds used to replenish accounts after expenditures.	5 fiscal years provided applicable audits have been released.	University Procedure	Grants and Contracts Accounting
FINANCIAL RECORDS - NON SPONSORED ACCOUNTS. This series includes all non-sponsored finance and accounting data.	<ul style="list-style-type: none"> A. Master record: 3 fiscal years provided no litigation is pending B. Duplicates: Retain for current fiscal year then destroy. C. Imaged documents: Retain until verified to the Imaging system then destroy. 	University Procedure	Asst.VP/Controller
FINANCIAL REPORTS. This series consists of copies of computer generated budget and financial reports.	Retain until no administrative value remain.	University Procedure	Asst.VP/Controller
FISCAL OPERATION REPORTS. This series documents the institution's eligibility to disburse Title IV funds and consists of fiscal operations reports, agreements to participate, and related correspondence.	Retain 7 years	(RDA 8.15)	Student Financial Aid

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
FUEL RECORDS. This series consists of federal excise and state tax records and inventory reports pertaining to gasoline, propane, diesel and compressed natural gas dispensed at Fleet Services.	Retain 8 calendar years.	(26 CFR 48.4041-6 and -7)	Business and Auxiliary Services
GRANT RECORDS – EXTERNALLY FUNDED. These records include documents created when university faculty and staff apply for grants for funding from entities outside the university. For research project files not associated with grants, see the "Research" section.	<ul style="list-style-type: none"> A. Records of unfunded grant applications: Retain 1 year. For research project files not associated with grants, see the "Research" section. B. Records of funded grants. These records may include, but are not limited to, completed applications, agency agreed upon periodic reporting, and financial documentation. Retain 6 years after submission of final report. C. Records of funded grants (National Science Foundation): Retain 10 years after close of case file. D. Data management plan: The data management plan, required by federally funded grants and potentially required by other sources, may include, but is not limited to, such information as to what data is collected, if the data is restricted or publicly 	(RDA 8.13)	Office of Sponsored Programs

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
	<p>available, what information will be provided to the funding institution, and how and where the information will be stored. The data management plan is crucial in providing background documentation of research and results. PERMANENT RECORD</p> <p>E. Research Data/Findings Retain as specified by the data management plan. For research project files not associated with grants, see the "Research" section.</p> <p>F. Final reports/publications: Series includes grant final reports and publications. This series also encompasses grant proposal files and committee minutes for successful grants from the National Science Foundation. PERMANENT RECORD.</p>		
<p>GRANT RECORDS – INTERNALLY FUNDED. Faculty and staff have opportunities to apply for competitively funded internal grants that may relate to research, teaching, outreach, administrative development, or service at the university, college, department, or center level within the university.</p>		(RDA 8.14)	Office of Sponsored Programs
<p>A. Records of unfunded grant applications</p>	Retain 1 year.		

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
B. Records of funded grants. These records may include, but are not limited to, completed applications, agency agreed upon periodic reporting, and financial documentation.	Retain 1 year after completion of audit.		
C. Research Data/Findings	Retain until completion of final report. Prior to disposition, check with staff members of the Office of Research, University Legal Section, and University Archives for possible extended retention. Examples of records requiring a longer retention are those associated with patents. For research project files not associated with grants, see the "Research" section.		
D. Final Reports/Product	Retain 5 years.		
HOLD HARMLESS AGREEMENT. This series documents agreement between the University and outside landowners in which landowner agrees to release University employees from liability for changes or damage to land while taking soil or water samples in connection with research projects.	6 years after completion of project.	University Procedure	University Property Management
INCOME SUMMARY REPORT. This daily report contains the detail records of all income and deferred income.	A. Retain for 3 fiscal years after the fiscal year in which the daily report was generated. B. Duplicates: Retain until obsolete, superseded or administrative value is lost.	University Procedure	Asst.VP/Controller
INSURANCE CERTIFICATES. This series consists of proof of personal injury insurance and building damage deposit by conference users of residence hall facilities.	5 fiscal years after event completed provided no litigation is pending.	University Procedure	Insurance & Risk Management
INTERNAL SALES COMPLIANCE REVIEW REPORTS	3 fiscal years.	University Procedure	Asst.VP/Controller

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
INTERNAL SALES RATE DEVELOPMENT FILES. This series consists of the documentation and reports used to support the rate charged to University departments.	10 years.	University Procedure	Asst.VP/Controller
LEASE RECORDS . This series consists of all University property leases and includes description of property leased.	Duplicates: 1 fiscal year.	University Procedure	Real Estate
PAYMENT CARD TRANSACTIONS DATA AND REPORTS. This series consists of any record related to transactions executed with a payment card (i.e. credit, debit, flex, or any other payment card containing personally identifiable information) used for payment of goods or services. The record may include but is not limited to merchant receipts, and any other transaction information identifying the cardholders name, account number, expiration date and authorization code.	<p>A. 3 fiscal years provided applicable audits have been released. The Payment Card Industry (PCI) technical guidelines for stored payment card data states that a merchant's data retention and storage policy should strictly limit storage and retention time to that which is required for business, legal, and /or regulatory purposes. A merchant should notify the Office of the Assistant VP/Controller if it is determined that a longer storage/retention period is required.</p> <p>B. According to Payment Card Industry (PCI) standards, we are prohibited from storing magnetic stripe data, CAV2/CVC2/CVV2/CID, and PIN numbers used to authenticate the transaction.</p>	University Procedure	Asst.VP/Controller

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
<p>PAYROLL RECORDS – STUDENT. This series documents student employment at the department or unit level, and may include but is not limited to copies of work-study/student employment forms, W-4 cards, payroll records and copies of social security cards. Master record maintained in Oracle HR and Payroll Services.</p>	<p>Duplicates: 3 fiscal years after termination date of employment.</p>	<p>(29CFR 519.7)(RDA 7.48)</p>	<p>Exec. Dir., Budget & Payroll</p>
<p>PAYROLL RECORDS. This series may include but is not limited to copies of payroll records, such as W-2's, Deduction Registers and authorizations, payroll sheets, and departmental abstracts. Master record maintained at Payroll.</p>	<p>A. Payroll Deduction Authorizations: 6 years after separation of employee from the University. B. Payroll Deduction Tax Forms, including Form 941: 3 years after the end of the fiscal year in which records were created. Duplicates: Current plus one fiscal year.</p>	<p>A. (RDA 7.50) B. (RDA 7.51)</p>	<p>A. Deducting Department B. Exec. Dir., Budget & Payroll</p>
<p>PAYROLL REPORTS. This series consists of year-to-date and leave-to-date reports, including, but not limited to pre-payroll reports and payroll check registers. Master record maintained at Payroll.</p>	<p>Payroll copy: 3 fiscal years after the end of the fiscal year in which record was created. Duplicates: Retain until obsolete, superseded or administrative value is lost.</p>	<p>(RDA 7.49)</p>	<p>Exec. Dir., Budget & Payroll</p>
<p>PERSONAL DATA OF CREDIT CARD HOLDERS (NAME, CARD NUMBER, EXPIRATION DATE, ETC.). Information on personal data of credit cardholders should be retained only for a short time period for reference if there is a dispute about the business transaction. Actual credit card transaction records are maintained under Cash Register Receipt Detail Tapes for longer retention to meet audit requirements.</p>	<p>Retain 3 months after the end of the fiscal year in which the records were created.</p>	<p>(RDA 8.04)</p>	<p>Asst.VP/Controller</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
PROPERTY INVENTORY FILES. This series documents the property inventory of the University.	University must maintain PERMANENT RECORD records of all property (i.e. land, buildings, and capital equipment) until the sale or disposition of the property. Reports created for administrative purposes must be maintained 3 years after the end of the fiscal year in which the records were audited.	(RDA 7.60)	General & Equipment Accounting and Cost Analysis (for buildings).
PURCHASING RECORDS - NON-SPONSORED ACCOUNTS. This series includes all purchasing records and may include but is not limited to copies of RFP's, contracts, bids, contracts for professional services, price comparisons and requisitions.	<ul style="list-style-type: none"> A. Over \$50,000: Master record maintained at Purchasing Services: 6 years after close of contract provided no litigation is pending. B. Over \$50,000: Duplicates: Maintained at Department or Unit: Retain until administrative value is lost. C. Under \$50,000: Master record maintained at Department or Unit: 6 years after close of contract provided no litigation is pending. 	University Procedure	Asst. VP/Controller
REAL ESTATE CAPITAL IMPROVEMENTS CONTRACT RECORDS. This series documents contractual agreements for capital improvements.	6 years after the expiration of the contract.	(RDA 7.59)	Dir. Finance for Facilities
REAL ESTATE FILES. This series consists of abstracts, memos, correspondence, surveys and deeds documenting all property owned by the University of Alabama at Birmingham.	7 years after sale or disposal of property provided no litigation is pending. Prior to destruction, offer to University Archives.	University Procedure	AVP Business & Auxiliary Services

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
REAL ESTATE LEASING/RENTAL FILES. This series consists of all the property leased and rented by the University and may include but is not limited to building management files, lease/rental agreements, and correspondence.	6 years after expiration of lease.	(RDA 7.62)	AVP Business & Auxiliary Services
REAL ESTATE NOT UNDER UNIVERSITY CONTROL. This series documents the individual responsibility for property not under the University's immediate control.	Retain until return of item to property manager.	(RDA 7.61)	AVP Business & Auxiliary Services
REAL ESTATE PURCHASE FILES. This series consists of all the property purchased by the University and may include but is not limited to building management files, purchase agreements, and correspondence.	7 years after purchase provided no litigation is pending.	University Procedure	AVP Business & Auxiliary Services
REQUISITION AND PURCHASE RECORDS. This series document the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.	The longest retention period will apply: A. RDA 8.06: Retain 1 year after completion of audit. B. RDA 8.13 and 8.14.	University Policy and A. (RDA 8.06) B. (RDA 8.13) and (RDA 8.14)	Asst.VP/Controller
SERVICE AGREEMENTS. This series consists of agreements regarding maintenance and repair of leased equipment.	6 fiscal years after the expiration of the agreement.	University Procedure	Assoc. VP Financial Affairs
SOCIAL SECURITY PAYMENT FILES. This series documents the payments made by the university into the social security fund.	Retain for 50 years after fiscal year in which transaction occurred.	(RDA 8.17)	Exec. Dir., Budget & Payroll
SOCIAL SECURITY REPORTS AND DEPOSITS. This series documents the monthly report of wages and social security contributions paid by the university to each employee.	7 years after the fiscal year in which the transaction occurred.	(RDA 8.18)	Exec. Dir., Budget & Payroll

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
<p>SPONSORED PROJECT RECORDS-FINANCIAL. This series documents grants received by departments and units through Sponsored Projects and may include copies of proposals, budget sheets, appropriations documents, authorizations and other finance and accounting and purchasing documents. Master record maintained at Sponsored Projects Administration or Disbursement Services.</p>	<ul style="list-style-type: none"> A. Sponsored Projects Administration: 6 years after close of grant provided no litigation is pending and all audits have been completed. B. Disbursement Services: 10 fiscal years. C. Departments and Units: <ul style="list-style-type: none"> 1. Federal Grants: Maintain original materials for 3 years after close of grant. Duplicate information, such as that held at SPA and Disbursements may be destroyed upon close of grant. 2. State Grants: Maintain original materials for 6 years after close of grant. Duplicate information, such as that held at SPA and Disbursements may be destroyed upon close of grant. 3. Private Grants: Maintain original materials for 6 years after close of grant. Duplicate information, such as that held at SPA, and disbursements may be destroyed upon close of grant. 	<p>OMB Cir A-110, <i>Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations</i></p>	<p>Dir. Grants and Contracts Accounting</p>
<p>STUDENT BIWEEKLY PAYROLL DOCUMENT. This series consists of the biweekly payroll documents for student</p>	<p>A. Payroll: 3 fiscal years. (29 CFR 519.17)</p>	<p>University Procedure</p>	<p>Exec. Dir., Budget & Payroll</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
employees. Master record maintained at Payroll.	B. Duplicates: Current fiscal year.		
STUDENT EMPLOYMENT COMMUNITY SERVICE PROGRAM. This series documents the federal program designed for need-based employment of students. May include but is not limited to bills for reimbursement of wages, contracts, supporting documents, correspondence, time cards, copies of paychecks, and employment documents.	5 fiscal years.	(34 CFR 675.19)	Dir., Financial Aid
STUDENT EMPLOYMENT JOB REVIEW QUESTIONNAIRE. This series documents the review of student jobs to move to other classifications.	5 fiscal years.	University Procedure	Dir., Financial Aid
STUDENT EMPLOYMENT RECORDS. This series documents student employment at the department or unit level, and may include but is not limited to copies of employment forms, W-4 cards, payroll records and copies of social security cards.	3 fiscal years after termination of employment.	University Procedure	Dir., Financial Aid
STUDENT EMPLOYMENT WAIVERS. This series documents waivers sent to student employment by departments or units to hire nonstudents for jobs of less than 29 hours.	5 fiscal years.	University Procedure	Dir., Financial Aid
TAX RECORDS This series consists of documents used to document the university's compliance with tax filing requirements.	Retain 1 year after audit or for period during which assessment and collection may be made under the applicable statute, whichever is longer.	(RDA 8.02)	Exec. Dir., Budget & Payroll
TRAVEL RECORDS. This series documents requests for authorization from supervisors to travel on official business and include requests, approvals/denials, and other related materials, such as travel reimbursement forms and itineraries.	The longest retention period will apply: A. RDA 8.08 Retain 1 year after completion of audit. B. RDA 8.13: Grant Records-Externally funded: C. RDA	University Policy and A. (RDA 8.08) B. (RDA 8.13) and (RDA 8.14)	Asst.VP/Controller

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FINANCE			
	8.14: Grant Records-Internally funded.		
UNCLAIMED PROPERTY. This series consists of reports filed with the State of Alabama on unclaimed property.	10 years after report filed.	State of Alabama Unclaimed Property Law: Code of Alabama 1975 35-12-90	Asst. VP Fin.- Special Projects
UNEMPLOYMENT COMPENSATION BENEFITS FILES AND REPORTS. This series informs the university that former employees are eligible for unemployment benefits and when these employees receive compensation charged against the university's account. Also included are periodic reports and statements received from the State Department of Industrial Relations (DIR) advising the University of the status of its fund account and of any monies due to DIR and reports documenting the quarterly submission of payroll and statistical information to DIR.	5 years after the end of the year in which the records were created.	(RDA 8.19)	Human Resources
UNIVERSITY PAYROLL RECORDS. This series may include but is not limited to copies of payroll records, such as W-2's, Deduction Registers, and payroll sheets. Master record maintained at Payroll.	A. Payroll: 8 calendar years. B. Duplicates: Current plus one fiscal year.	University Procedure	Payroll Services
W-2 LISTINGS (FILES/REPORTS). This series document salaries paid and taxes withheld.	5 years after the end of the tax year.	(RDA 8.20)	Exec. Dir., Budget & Payroll

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: LEGAL			
COMPLAINT RECORDS. This series consists of formal and informal complaint files, and may include but is not limited to complaint, investigation records, interviews, notes and settlement documents when appropriate.	<ul style="list-style-type: none"> A. Litigation involved: 10 years after case closed. B. Non-litigation: 7 years after case closed. C. Summary records: 10 calendar years. 	University Procedure	Department; Legal Affairs
INVESTIGATIONS. This series consists of internal and external investigations and may include but is not limited to notes, correspondence and interviews.	7 years after investigation complete provided no litigation is pending and all regulatory requirements have been met.	University Procedure	Department; Legal Affairs
LITIGATION CASE FILES - CORE MATERIALS. This series may consist of but is not limited to pleadings, correspondence, attorney notes and other materials created in the preparation of handling legal disputes.	10 years after final disposition and expiration of appeal process. Prior to destruction, circulate list of cases to attorneys for review.	University Procedure	Legal Affairs

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
AFFIRMATIVE ACTION PLANS	5 calendar years.	(29 CFR 1602.48)	VP Diversity, Equity, and Inclusion; HR Compliance
APPLICANT ACTION SHEET. This series consists of the applicant action sheet which is used to activate the application for employment for civil service and bargaining unit staff.	30 days after application is activated.	University Procedure	Human Resources
APPLICANT TESTS. This series consists of tests taken by applicants for employment. Scores are posted to the employment application.	10 days after score posted.	University Procedure	Human Resources
BACKGROUND CHECK FILES. This series consists of requests for, and results of, criminal and other background checks on employees. <i>This series must be kept separate from the employee file and housed in a secure location.</i> No records of background checks should be kept at the college or department level.	A. Hired: Master record: Maintained at Office of Human Resources: 7 years after termination of employment. B. Not hired: Master record: Maintained at Office of Human Resources: 30 months after position filled.	University Procedure	Human Resources
DISCIPLINARY LETTERS – EMPLOYEES. This series consists of letters sent or given to employees documenting discipline and may include but is not limited to written warnings, suspension letters and final letters of discipline.	Maintain in employee personnel file according to union contracts, civil service rules, or academic policy.	University Procedure	Human Resources
EMPLOYMENT APPLICATIONS. This series consists of employment applications received from individuals seeking employment in civil service and bargaining unit staff positions, but were not hired. May consist of but is not limited to applications for employment, resumes, application supplements, correspondence, test scores, background investigations, recommendations and other supporting documentation.	A. Master Record: Hired applicants: maintained in Human Resources within the employee personnel file. B. Not-Hired applicants: 30 months after date of action unless litigation is pending.	(29 CFR 1602.49)	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
EMPLOYEE BENEFIT FILE - TERMINATED EMPLOYEES. This series of records documents employees benefits, and may include but is not limited to administration of plan, dates employee may be off plan, general salary information, correspondence, changes in beneficiary, summary of contributions, restoration of benefits, disability information and waivers.	7 years after termination of employment.	(29 USC 1027)	Human Resources
EMPLOYEE EXPOSURE MEDICAL RECORD. This series may include but is not limited to hepatitis B status documents, records of hepatitis B exams/testing/correspondence and follow-up, Hepatitis B Vaccination Declination form, HIB and HIV status and exposure forms.	30 years after termination of employment.	(29 CFR 1910.20)	Human Resources
EMPLOYEE IDENTIFICATION RECORDS. This series documents employee identification information for security personnel and/or facility access.	1 year.	(RDA 7.66)	Human Resources
EMPLOYEE PERSONNEL FILE - ACADEMIC EMPLOYEES. This series consists of the master record, held at the Office of Human Resources, of the personnel file for academic employees, including faculty, academic professional and administrative staff, professionals in training, and graduate assistants. May include but is not limited to PAF's, phased retirement or terminal agreement, sabbatical forms, single quarter or semester forms, notice of appointments, payroll distribution documents, termination documents, change in status, employee earnings, leave of absence, insurance applications, consultant agreements, application for employment, recommendations, and promotion and tenure final decision. For retention of department information, see Employee Personnel File – Department.	Maintained at Office of Human Resources: A. Retain the following information for 7 years after termination of employment: <ul style="list-style-type: none"> • Employee Performance Appraisals • Formal Letters of Discipline (unless purged according to contracts or agreements and including oral warnings, written warnings and suspensions) • PAF's • Phased Retirement Information 	University Procedure	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
	<ul style="list-style-type: none"> • Special Awards and Recognitions • Temporary Appointment Letters • Vitas and Letters of Application B. Retain the following information for 30 years after termination of employment: <ul style="list-style-type: none"> • Employee Earnings Reports • Letters of Resignation • Letter of Offer • Notice of Non-Renewal • Promotion and Tenure Records • Request for Leave – Approved • Sabbatical/Furlough Records • Settlement Agreements and Releases • Termination Agreements • • Vacation/Sick Leave Records 		

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
<p>EMPLOYEE PERSONNEL FILE - NON-ACADEMIC EMPLOYEES. This series consists of the master record, held at the Office of Human Resources, of the personnel file for civil service, bargaining unit, temporary no-post employees, and temporary employees. May include but is not limited to PAF's, leave of absence forms, termination of service, biweekly payroll distribution documents, application for employment, performance appraisals, and employee earnings reports. For retention of department information, see Employee Personnel File – Department.</p>	<p>Maintained at Office of Human Resources:</p> <p>A. Retain the following information for 7 years after termination of employment:</p> <ul style="list-style-type: none"> • Application for Employment • Employee Performance Appraisals • Formal Issuance of Discipline (unless purged according to contracts or agreements, and includes oral warnings, written warnings and suspension documents) • Job Requisitions Outstanding Service Awards • PAF's Suspension Letters • Temporary Appointment Letters <p>B. Retain the following information for 30 years after termination of employment:</p> <ul style="list-style-type: none"> • Employee Earnings Reports • Letters of Offer • Letters of Resignation • Notice of Layoff • Request for Leave – Approved • Settlement Agreements and Releases • Termination Agreements • Vacation/Sick Leave Records 	<p>University Procedure</p>	<p>Human Resources</p>

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
EMPLOYEE PERSONNEL FILE – DEPARTMENT. This series consists of departmental files, and includes copies of hiring documents and PAF's. It also may include but is not limited to letters of commendation or recommendation, disciplinary letters and other correspondence.	7 years after termination.	University Procedure	Human Resources
EMPLOYEE WORK HISTORY. This series consists of the employee's work history and is generally maintained as a case file (includes records of final leave status, faculty tenure and promotion letters, and faculty service reports). (RDA 7.53)	<ul style="list-style-type: none"> A. Medical resident's file: 75 years. B. Records of final leave status and documentation of salary and employment dates: 25 years after separation of employee from the university. C. Faculty tenure and promotion files (not including letter): Retain until completion of formal action and appeal period. D. Other (including faculty tenure and promotion letters): 6 years after separation of employee from the university. <ul style="list-style-type: none"> 1. Periodic activity reports: Retain for useful life. 2. Employee administrative hearings: 6 years after separation of employee from University. 3. Training and professional development files: 3 years 4. Department/unit personnel files (This series is created by 	<ul style="list-style-type: none"> A. (RDA 7.54) B. (RDA 7.56) C. (RDA 7.58) D. (RDA 7.57) 	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
	supervisors to document employee performance.): Retain until separation of an employee from the University		
FIRST REPORT OF INJURY. This series consists of the copy of the First Report of Injury filed by employees who have been injured on the job. Master record maintained at University Worker’s Compensation Department.	Duplicates: 1 fiscal year.	University Procedure	Human Resources
GRIEVANCE FILES. This series documents grievances, and may include but is not limited to correspondence, background information, appeals and decisions. Master record maintained within the Department of Human Resources.	A. Master record: 7 years after close provided no litigation is pending. B. Duplicates: 1 year after final decision has been made and all appeals have lapsed.	University Procedure	Human Resources
HEALTH CARE/DEPENDENT CARE FORMS . This series documents health care or dependent care forms filed on-line by employees for pre-tax benefits.	Retain for 4 calendar years.	University Procedure	Human Resources
HUMAN RESOURCE MANAGEMENT:			
A. Job Recruitment Materials. These records document the recruitment of employees by the university.	Retain 1 year after completion of audit.	(RDA 9.01)	Human Resources
B. Affirmative Action/Equal Employment Opportunity Case Files. These records concern charges or complaints made against the university relating to violations of affirmative action or equal employment opportunity regulations.	A. Compliance Reviews: Retain 25 years. B. Other Records: Retain for 5 years after resolution of charges and final disposition of the case.	(RDA 9.02)	Human Resources
C. Affirmative Action Position Applicant Files. These records are documentation of actions taken to follow affirmative action procedures for university openings.	Retain 1 year after completion of audit.	(RDA 9.03)	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
D. Equal Employment Opportunity Commission (EEOC) and Racial/Ethnic Records. This series consists of annual and other periodic reports and records provided to the federal and/or state government to ensure equal employment opportunities and to provide racial/ethnic statistical information.	A. Review Records: Retain 10 years. B. Other records: Retain 5 years.	(RDA 9.04)	Human Resources/Office of Diversity, Equity, and Inclusion
E. Notices of Claim and Requests for Separation. These records provide information to the State Department of Industrial Relations relating to unemployment compensation.	Retain 5 years.	(RDA 9.05)	Human Resources
F. Application Materials. These records document applications for employment.	A. Unsolicited resumes/applications: Retain for useful life. B. Unqualified applications for open positions: Retain 2 years. (29 CFR Pt.1602) C. Application materials for individuals considered for employment, but not hired: Retain 3 years. D. Application materials for hired individuals: File with personnel file. E. Background Checks: If hired, file with personnel file. If not hired, retain 3 years. F. Employment Eligibility Verification Form: Retain 3 years.	(RDA 9.06)	Human Resources
G. Position Classification Records. These records document position classifications.	Retain 3 years after reclassification/elimination of the position	(RDA 9.07)	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
H. Search Committee Files. These records are search files created during the process of advertising, interviewing, selecting and hiring an individual to fill a faculty vacancy within the university.	A. President/Chancellor Search Committee Files: PERMANENT RECORD B. Other records: Retain 3 years.	(RDA 9.08)	Human Resources
I. Work-Study/Student Worker Records. These records are maintained in individual departments and offices on work-study students and include time reports.	Retain for 3 years after last date of employment.	(RDA 9.09)	Human Resources
J. Payroll Records. These records document payroll and include pre-payroll reports and payroll check registers.	Retain 1 year after completion of audit	(RDA 9.10)	Human Resources
K. Payroll Deduction Authorizations. These records document authorization of payroll deductions.	Retain 6 years after separation of employee from the university.	(RDA 9.11)	Human Resources
L. Payroll Deduction Records. These records document payroll deductions for tax purposes and include Form 941.	Retain 1 year after completion of audit	(RDA 9.12)	Human Resources
M. Employee Leave Records. These records document employee hours worked, leave earned, leave taken, and leave donation.	Retain 1 year after completion of audit	(RDA 9.13)	Human Resources
N. Employee Work History (Personnel Files Master). These records document an employee's work history and is generally maintained as a case file (includes records of final leave status, faculty tenure and promotion letters, and faculty service reports).	A. Medical Resident's File: Retain 75 years. B. Records of final leave status and documentation of salary and employment dates: Retain 25 years after separation of employee from the university. C. Faculty Tenure and Promotion Files (not including letter): Retain until completion of formal action and appeal period.	(RDA 9.14)	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
	D. Other (including faculty tenure and promotion letters): Retain 6 years after separation of employee from the university.		
O. Personnel Files - Department/Unit. These records are created by supervisors to document employee performance. They may be duplicated in the employee's work history file.	Retain until separation of an employee from the university.	(RDA 9.15)	Human Resources
P. Periodic Activity Reports. These records are reports to document activities performed by staff.	Retain for useful life.	(RDA 9.16)	Human Resources
Q. Employee Benefits Plan Files (Applications and Correspondence). These records document employee enrollment in benefits plans.	Retain 6 years after termination of participation in program.	(RDA 9.17)	Human Resources
R. Employee Administrative Hearing Files. These records document employee administrative hearings.	Retain 25 years after separation of the employee from the university.	(RDA 9.18)	Human Resources
S. Training and Professional Development Records. These records document university provided of training and professional development.	Retain 3 years.	(RDA 9.19)	Human Resources
JOB CLASSIFICATION FILES. This series consists of position specifications and the history of each class.	Retain until administrative value is lost.	University Procedure	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
JOB POSTING FILES. This series consists of advertisements to inform eligible job seekers of openings for available job vacancies. Notices include position number, position title, monthly salary range, job location, minimum qualifications, brief description of duties, where to apply for job and special instructions.	30 months after job filled.	(29 CFR 1627.3)	Human Resources
JOB QUESTIONNAIRES. This series consists of JEQ's and JRQ's used to determine classification job codes and titles for a specific person or for a specific position.	5 fiscal years	University Procedure	Human Resources
JOB REQUISITIONS This series consists of civil service and bargaining unit staff requisitions for job postings completed by departments or units, and includes position, job qualifications, requisition number, department, brief description of duties, job location and monthly salary range.	Master record: Maintained at Office of Human Resources: 5 years after posting. Duplicates: Retain until obsolete, superseded or administrative value is lost.	(29 CFR 1602.49) and University Procedure	Human Resources
LABOR RELATIONS NEGOTIATIONS FILES. This series documents negotiations with bargaining units. Agreements are negotiated every 2 years.	6 years after agreement issued. Send copy of signed agreements to University Archives.	University Procedure	Human Resources
LABOR RELATIONS POLICIES	Retain until obsolete, superseded or administrative value is lost.	University Procedure	Human Resources
NAME CHANGE RECORDS - EMPLOYEE	1 fiscal year.	University Procedure	Human Resources
PROMOTION AND TENURE RECORDS. This series consists of documentation for the review process on promotions and tenure. May contain but is not limited to forms, letters and accompanying data. The letter granting promotion and/or tenure is kept in the Personnel File at Human Resources.	A. Denied: 7 years after termination of employment provided no litigation is pending. B. Granted: Maintain until after next review period is complete. B. Duplicates: Retain until obsolete, superseded or administrative value is lost.	University Procedure	Human Resources

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: HUMAN RESOURCES (PERSONNEL)			
SAFETY TRAINING RECORDS. This series contains employee training records for lab and chemical safety.	5 years from date of training.	University Procedure	Occupational Health & Safety
SALARY SCHEDULES	Retain until updated.	University Procedure	Payroll Services
SEARCH COMMITTEE RECORDS. This series may consist of but is not limited to evaluations, minutes, reports, vitas, resumes, references of applicants, reasons candidates were not referred.	A. Master record: Maintained by the hiring authority: 7 years after search completed provided no litigation or complaint is pending. B. Duplicates: 1 year after search completed.	University Procedure	Human Resources
SEXUAL HARASSMENT BOARD RECORDS. This series documents the meetings of the University's Sexual Harassment Board.	3 fiscal years. Prior to destruction, offer to University Archives.	University Procedure	Human Resources
VETERANS RECORDS. This series documents the status and enrollment of veterans in the University, and may include but is not limited to any documents or information that is used to certify that the student is eligible for veteran benefits.	3 years from date of last certification.	University Procedure	Veterans Affairs

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: PUBLIC RELATIONS			
PUBLICATIONS AND PHOTOGRAPHS. This series consists of publications and photographs from University departments, colleges, and units.	Retain until administrative value is lost. Transfer to University Archives.	University Procedure	University Archives
PUBLICATION SALES RECORDS. This series documents the departmental sales of publications and the collection of state sales tax on the sales.	4 calendar years.	University Procedure	Financial Affairs

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: UNIVERSITY POLICE			
LAW ENFORCEMENT AREAS			
A. Records of Driving Violations. This series documents driving violations and include records of suspension of driving privileges, warning tickets, violations of use of driver license, and sobriety examination reports.	Retain 3 years.	(RDA 5.01)	UAB Police Department
B. Alcohol Influence Reports. This series documents incidents of driving under the influence of alcohol.	Retain 85 years.	(RDA 5.02)	UAB Police Department
C. Records of Non-Traffic Arrests and Tickets and Failure to Appear in Court. This series documents incidents of non-traffic arrests and tickets and failure to appear in court.	Retain 5 years.	(RDA 5.03)	UAB Police Department
D. Campus Parking Tickets. This series documents citations issued and the administrative enforcement of parking rules and regulations. These tickets are issued by university police officers generally in instances where a court appearance is not required. Information available includes date and time, vehicle information, and violation.	Retain 3 years after final disposition.	(RDA 5.04)	UAB Police Department
E. Uniform Traffic Ticket and Complaint (UTTC) Records. This series documents traffic offenses that occur within the university police's jurisdiction and contain date and time of traffic stop, driver and vehicle information, violation, and court date.	Retain until final disposition of the case.	(RDA 5.05)	UAB Police Department
F. Uniform Traffic Ticket and Complaint (UTTC) Transmittal Forms and Receipt Books. The transmittal forms document each traffic ticket given and its receipt by the appropriate court. The receipt books document the issuance of UTTC books to each officer.	Retain 5 years.	(RDA 5.06)	UAB Police Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: UNIVERSITY POLICE			
G. Daily Assist Tickets. This series documents assistance provided by officers.	Retain 5 years.	(RDA 5.07)	UAB Police Department
H. Uniform Arrest Reports. This series documents the date and time of arrest, arrestee's name, personal information, location of arrest, and cause of arrested.	Retain 2 years after disposition of case.	(RDA 5.08)	UAB Police Department
I. Alabama Uniform Traffic Accident Reports (AUTAR). This series documents all traffic accidents that occur within university police jurisdiction and contain information on time and location of accident, description of the drivers and vehicles involved, victim information, narrative and diagramed description, roadway description, and witness information.	Retain 5 years.	(RDA 5.09)	UAB Police Department
J. Felony Awareness Patrol Reports. These are reports made by felony awareness patrols.	Retain 5 years.	(RDA 5.10)	UAB Police Department
K. Accident Logs. These are logs of accidents responded to by university police.	Retain 3 years.	(RDA 5.11)	UAB Police Department
L. Records of Fatalities, Stolen Vehicles, and Wanted Persons. These are records of police responses to incidents involving fatalities, stolen vehicles, and wanted persons.	Retain 3 years.	(RDA 5.12)	UAB Police Department
M. Traffic Homicide Records. These are records of traffic accidents resulting in death.	Retain 5 years after disposition of case.	(RDA 5.13)	UAB Police Department
N. Uniform Incident/Offense Reports, Supplements, and Logs. This series documents incidents/offenses and accidents that occur on the university campus and surrounding streets that violate university and/or local laws and regulations. They contain case number, type of report, date, time, complainant or	A. Records of Felonies: Retain 25 years after final disposition of the case. B. Records of Misdemeanors: Retain 10 years after final disposition of the case.	(RDA 5.14)	UAB Police Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: UNIVERSITY POLICE			
victim, address and details of report.			
O. Violation Tally Reports and Summaries. This series is a summary reports of violations.	Retain 3 years.	(RDA 5.15)	UAB Police Department
P. Daily Accident and Activity Logs and Reports. This series is created to document the daily activities of officers.	Retain 2 years.	(RDA 5.16)	UAB Police Department
Q. Daily/Monthly Assignment Rosters. This series documents the daily activities and work schedules of the UAB Police Department . They contain information on the officer, shift, car number, mileage, calls responded to, violations.	Retain 1 year.	(RDA 5.17)	UAB Police Department
R. Alabama Criminal Justice Information System Printouts. This series includes printouts of information from the CJIS system.	Retain 1 month.	(RDA 5.18)	UAB Police Department
S. Use of Force Reports. This series documents use of force by officers.	Retain 5 years.	(RDA 5.19)	UAB Police Department
T. Vehicle Door Damage Waivers. This series documents waiving of damages that may occur when law enforcement officers are asked to open vehicle doors of motorists who have locked their keys inside a vehicle.	Retain 1 year.	(RDA 5.20)	UAB Police Department
U. Confiscated/Abandoned/Stored Vehicle Records. This series documents activities related to the confiscation and removal of abandoned vehicles.	Retain 3 years.	(RDA 5.21)	UAB Police Department
V. Motorist Assistance Records. This series, which includes waivers, document assistance of motorists by officers.	Retain 1 year.	(RDA 5.22)	UAB Police Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: UNIVERSITY POLICE			
W. Radar Logs. This series documents check-out, use, and/or repair/calibration of radar equipment.	Retain 5 years.	(RDA 5.23)	UAB Police Department
X. Bomb Threat Records. This series documents bomb threats received by the university.	Retain 3 years.	(RDA 5.24)	UAB Police Department
Y. Driving and Criminal History Communication Logs. This series documents communications regarding driving and criminal histories.	Retain 3 years.	(RDA 5.25)	UAB Police Department
Z. Recordings of Police Communications and Actions. This series documents calls for emergency assistance and/or recordings of radio communications and/or police activities.	Retain recorded information until final disposition of all cases for which it provides evidence.	(RDA 5.26)	UAB Police Department
AA. Investigation Files. This series documents investigations by the department.	A. Records of Felonies: Retain 25 years after final disposition of the case B. Records of Misdemeanors: Retain 10 years after final disposition of the case.	(RDA 5.27)	UAB Police Department
BB. Consent to Search Forms. This series documents the consent by subject to a police search.	Retain 5 years.	(RDA 5.28)	UAB Police Department
CC. Abandoned Vehicle Stickers. This series is used to track how long a vehicle has been abandoned.	Retain 7 days.	(RDA 5.29)	UAB Police Department
DD. Wrecker Logs. This series documents the use of wrecker services.	Retain 3 years.	(RDA 5.30)	UAB Police Department
EE. Owner's Requests for Wrecker. This series documents the request by a vehicle's owner for a wrecker.	Retain 3 years.	(RDA 5.31)	UAB Police Department
FF. Wrecker and Wrecker Driver Information Sheets. This series provides information on the wrecker services utilized by the police.	Retain for useful life.	(RDA 5.32)	UAB Police Department
GG. Alcohol Breath-testing Instrument Inspection Sheets. This series documents the inspection of	Retain until disposition of alcohol breath-testing instrument.	(RDA 5.33)	UAB Police Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: UNIVERSITY POLICE			
alcohol-breathing instruments.			
HH. Cross Reference Records. This series provides a cross reference or summary of the incidents or offenses involving a single individual and contain personal information and date and type of incident/offense.	Retain until no longer useful.	(RDA 5.34)	UAB Police Department
II. Dispatch Records. This series documents the dispatch of UAB Police Department officers to investigate disturbances or possible crimes.	Retain 3 years.	(RDA 5.35)	UAB Police Department

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FACILITIES (MANAGING PROPERTIES, FACILITIES, AND RESOURCES)			
CAPITAL IMPROVEMENTS CONTRACT RECORDS. These records document contractual agreements for capital improvements.	Retain 6 years after expiration of the contract.	(RDA 10.01)	UAB Facilities
PROPERTY INVENTORY RECORDS. These records document the central property inventory of the university.	Retain 1 year after completion of audit.	(RDA 10.02)	UAB Facilities
RECEIPTS OF RESPONSIBILITY FOR PROPERTY. These records document the individual responsible for property outside the university's immediate control.	Retain until return of item to property manager.	(RDA 10.03)	UAB Facilities
REAL PROPERTY LEASING/RENTAL RECORDS. These records document the lease and rental of property.	Retain 6 years after expiration of the lease.	(RDA 10.04)	UAB Facilities
BUILDING PLANS AND DRAWINGS. These records document the physical structure of campus buildings.	Retain for useful life. Prior to disposition, check with the university archives for possible extended retention.	(RDA 10.05)	UAB Facilities
FACILITY MAINTENANCE AND UPKEEP RECORDS. These records document facility maintenance and upkeep activities.	A. Records for expendable items: Disposition: Temporary Record - Retain 3 years. B. Records for capital items: Disposition: Temporary Record - Retain for life of building or item.	(RDA 10.06)	UAB Facilities
VISITOR/SERVICE PERSONNEL LOG-IN SHEETS. These records document visitors.	Retain 6 months.	(RDA 10.07)	UAB Facilities
IDENTIFICATION RECORDS. These records document employee identification information for security personnel and/or facility access.	Retain 1 year.	(RDA 10.08)	UAB Facilities

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: FACILITIES (MANAGING PROPERTIES, FACILITIES, AND RESOURCES)			
WEAPONS REGISTRATION FORMS (ATF 5 AND ATF 10) AND WEAPON RETIREMENT FORMS. These records document custody of weapons.	Retain 3 years after the end of the fiscal year in which the weapon was removed from the property inventory.	(RDA 10.09)	UAB Police Department
VEHICLE RECORDS. These records document the use, maintenance, ownership, insurance, and disposition of vehicles, including aircraft, owned by the university.	Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.	(RDA 10.10)	AVP Business and Auxiliary Services
VEHICLE TAG RECORDS. These records document application and receipt of tags for vehicles.	Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.	(RDA 10.11)	AVP Business and Auxiliary Services
FLEET ACTIVITY REPORTS. These records document activities of university-owned vehicles.	Retain 2 years.	(RDA 10.12)	AVP Business and Auxiliary Services

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CONDUCTING RESEARCH			
<p>Retention periods for research data/records vary based on whether they are subject to federal regulations, state regulations, contractual agreements, and/or publisher requirements. Where multiple different retention periods govern a single research record/project/program, the PI/PD, co-researcher(s), the author(s), and/or department personnel will maintain research records for the longest period applicable. In some cases, this may be PERMANENT RECORD. In all cases, research records should be maintained at least 3 years in accordance with the State of Alabama’s RDA. Regardless of retention period, the research data/records must be appropriately maintained/archived to ensure its integrity and must be accessible in the event of a records request or inquiry. Under University of Alabama Board of Trustees Rule 105, Preservation and Ownership of Records and Files, all records created, held, or received by UAB employees or others in the scope of their work for or on behalf of UAB are the property of UAB. In the event any such research records custodian leaves UAB employment, that individual shall reach an appropriate agreement for ongoing retention of the research records with his/her department and, as applicable, the PI/PD.</p>			
<p><u>The Council on Governmental Relations publication entitled “Access to, Sharing and Retention of Research Data: Rights & Responsibilities” provides more specific direction. See http://www.cogr.edu/viewDoc.cfm?DocID=151888.</u></p>			
<p><u>Of particular note, under DHHS regulation 42 CFR § 93.105(b)(1) (http://ori.dhhs.gov/sites/default/files/42_cfr_parts_50_and_93_2005.pdf),</u></p>			
<p>The PI/PD, co-researcher(s), the author(s), and/or department personnel shall retain research data/records related to their original works, including lab notebooks, as long as they cite, use, or reference those original works. At the conclusion of such citation, use, or reference of those original works, research data/records shall then be retained for the applicable retention period as dictated by federal regulations, state regulations, contractual agreement, and/or publisher requirements. For example, this could mean the State of Alabama’s RDA requirement of 3 years to the federal regulation for patents of 20 years or even longer.</p>			
<p>Below are the State of Alabama’s records retention periods related to conducting research from the RDA. Again, if a particular research record/project/program is governed/regulated by additional terms and conditions of the funding source, the longer records retention periods apply.</p>			

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CONDUCTING RESEARCH			
RESEARCH PROJECT RECORDS. These records are created over the course of a research project and document procedures, steps taken, and results. These records include Lab Notebooks.	<ul style="list-style-type: none"> A. FINAL REPORTS AND PUBLICATIONS: PERMANENT RECORD B. Lab Notebooks: Retain until completion of final report. Prior to disposition, check with staff members of the university legal section and archives for possible extended retention. C. Examples of records requiring a longer retention are those associated with patents. D. Other records: Retain until completion of final report. 	(RDA 6.01)	Departmental Personnel
RECORDS OF RESEARCH PRESENTATIONS. These records document presentations of research findings.	Retain 3 years, unless desired by archives.	(RDA 6.02)	Departmental Personnel
RESEARCH POLICIES. These records document the policies of a university regarding its research at a given time.	PERMANENT RECORD.	(RDA 6.03)	Research Administration
RESEARCH AGREEMENTS. These records document agreements regarding research projects.	Retain 6 years after expiration of agreement.	(RDA 6.04)	Research Administration
ABSTRACTS OF RESEARCH PUBLICATIONS. These records document publication abstracts.	Retain 5 years.	(RDA 6.05)	Departmental Personnel
SABBATICAL FILES. These records document faculty proposals and reports related to sabbatical leave.	Retain until completion of annual review.	(RDA 6.06)	Departmental Personnel

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: PATIENT RECORDS			
<p>In general, medical records should be maintained for the period of time as may be necessary to treat the patient. Specifically how long records must be kept is determined by the type of the record and certain state or federal legal requirements. Physicians who provide Medicare treatment should inquire as to the current provisions regarding record retention by Medicare as a part of its Conditions of Participation. Generally, such records must be retained five (5) years. Also, those physicians who treat children should retain records for their patients for at least four (4) and preferably six (6) years after the patient reaches the age of majority. Immunization records must always be retained. Depending upon the nature of services provided by the physician, inquiry should regularly be made with the appropriate state and/or federal regulatory authorities.</p>			
Based upon the current guidelines and practices, the information below provides suggested record retention periods for the UAB schools that have clinical operations:			
ALL HOSPITAL RECORDS	Retain 6 years after discharge.		Departmental Personnel
GENERAL MEDICAL OFFICE RECORDS	Retain 10 years after last visit or discharge.		Departmental Personnel
HIPAA PRIVACY RULE	Retain 6 years from date of designation or from the date when it last was in effect, whichever is later.		A. Selected Entity Privacy Coordinators B. Selected Entity Security Coordinators
HOSPITAL RECORDS OF PATIENT WITH MULTIPLE ADMISSIONS	Retain 6 years after most recent discharge.		Departmental Personnel
HOSPITAL RECORDS OF MINOR PATIENT AT TIME OF DISCHARGE	Retain Until patient reaches 24 years of age.		Departmental Personnel
IMMUNIZATION	Retain Indefinitely.		Departmental Personnel
MEDICAL OFFICE RECORDS OF MINORS	Retain 10 years after last visit or discharge.		Departmental Personnel
MEDICARE/MEDICAID	Retain 10 years after last visit or discharge		Departmental Personnel
OFFICE RECORDS FOR DECEASED PATIENTS	Retain Minimum of 10 years.		Departmental Personnel

Description of Documents/Records	Minimum Recommended Retention Period	Basis for Retention Requirement	Responsible Unit
CATEGORY: PATIENT RECORDS			
SUPERBILLS	Contact accountant regarding retention for tax purposes. Any medical information documented on the superbill should be documented in the record as well. If information documented on the superbill is not included in the medical record, then the superbills would need to be retained as long as the medical record.		Departmental Personnel
STUDENT PATIENT RECORDS. These records document medical care provided at Student Health and Wellness.	Retain 10 years after last visit.	(RDA 4.15)	Student Health and Wellness

**Student Education Records Retention Schedule, Supplement A:
Admissions Data/Documents for Applicants Who Do Not Enter (Whether Accepted or Rejected)**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Acceptance letters	1 year after application term
Advanced placement records	1 year after application term
Applications for admission	1 year after application term
Correspondence, relevant	1 year after application term
Entrance examination reports/tests/scores (e.g., ACT, SAT, LSAT, MCAT, GRE)	1 year after application term
Letters of recommendation	1 year after application term
Medical records	1 year after application term
Military documents	1 year after application term
Placement tests records/scores	1 year after application term
Readmission forms	1 year after application term
Recruitment materials	1 year after application term
Other test scores	1 year after application term
Transcripts other colleges (see note 3)	1 year after application term
Transcripts high school (see note 3)	1 year after application term
International Student Documents:	1 year after application term
<ul style="list-style-type: none"> • Copy of Employment Authorization (work permit), if available: 	1 year after application term
<ul style="list-style-type: none"> • Copy of Alien Registration Receipt Card (evidence of admissibility as a permanent resident) 	1 year after application term
<ul style="list-style-type: none"> • I-20 (certificate of eligibility for F-1 visa status) 	1 year after application term
<ul style="list-style-type: none"> • Copy of I-94 Card (document issued to non-immigrants; also known as Arrival-Departure Record) 	1 year after application term
<ul style="list-style-type: none"> • IAP 66 (certificate of eligibility for J-1 visa status) 	1 year after application term
<ul style="list-style-type: none"> • Passport number 	1 year after application term
<ul style="list-style-type: none"> • Statement of Educational Costs (shows estimate of total school year costs) 	1 year after application term
<ul style="list-style-type: none"> • Statement of Financial Responsibility (shows evidence of adequate financial resources) 	1 year after application term

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**Student Education Records Retention Schedule, Supplement A (continued):
Admissions Data/Documents for Applicants Who Do Not Enter (Whether Accepted or Rejected)**

Notes:

1. Although the retention period recommended for the documents listed above is one year, federal legislation, state statutes, or institutional policy may dictate otherwise.
 - For tax-exempt status for private institutions, the IRS requires that the records of applicants who apply and do not enter be retained for three years;
 - VA regulations require that all recruitment materials be retained for three years (see Note 4 of Supplement C, Registration and Attendance/Academic Progress Records).
2. Records for applicants who do not enter are not covered by FERPA.
3. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroy them.

**Student Education Records Retention Schedule, Supplement B:
Admissions Data/Documents for Applicants Who Enroll**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Acceptance letters	5 years after graduation or date of last attendance
Advanced placement records	5 years after graduation or date of last attendance
Applications for admission or readmission (reentry)	5 years after graduation or date of last attendance
Correspondence, relevant date	5 years after graduation or date of last attendance
Entrance examination reports/tests/scores (e.g., ACT,SAT,LSAT,MCAT,GRE)	5 years after graduation or date of last attendance
Letters of recommendation	Until admitted (see note 2)
Medical records	5 years after graduation or date of last attendance
Military documents	5 years after graduation or date of last attendance
Placement tests records/scores	5 years after graduation or date of last attendance
Recruitment materials	May dispose of materials after enrollment
Residency classification forms	5 years after graduation or date of last attendance
Student waivers for rights of access to see letters of recommendation for admission	Until terminated (see note 2)
Other test scores	5 years after graduation or date of last attendance
Transcripts other colleges	5 years after graduation or date of last attendance
Transcripts high school	5 years after graduation or date of last attendance
International Student Documents	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
<ul style="list-style-type: none"> • Copy of Employment Authorization (work permit), if granted 	"
<ul style="list-style-type: none"> • Copy of Alien Registration Receipt Card (evidence of admissibility as a permanent resident) 	"
<ul style="list-style-type: none"> • I-20 (certificate of eligibility for F-1 visa status) 	"
<ul style="list-style-type: none"> • Copy of I-94 Card (document issued to non-immigrants; also known as Arrival-Departure Record) 	"

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**Student Education Records Retention Schedule, Supplement B (continued):
 Admissions Data/Documents for Applicants Who Enroll**

• IAP 66 (certificate of eligibility for J-1 visa status)	"
• Passport number	"
• Statement of Educational Costs (shows estimate of total school year costs)	"
• Statement of Financial Responsibility (shows evidence of adequate financial resources)	"

Notes:

1. The retention periods recommended above are based on the following:
 - The forms are maintained in individual student folders and are retained no longer than five years after graduation or date, term, or semester and year of last attendance.
 - Uniform retention periods allow for the destruction of the entire folder which will save considerable sorting. Essential data will be recorded on academic records which are retained permanently (see AACRAO's *Academic Record and Transcript Guide*, 1996.)
2. The Family Educational Rights and Privacy Act (FERPA) states that the letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendation should be retained as long as the file is retained.
3. VA regulations state that the following student records must be retained for at least three years after termination of enrollment:
 - Previous education or training (transcripts from other colleges and source documents for other nontraditional credit).
 - Evidence of formal admission (acceptance letters). The regulations state that longer retention will not be required unless a written request is received from the General Accounting Office or the VA no later than 30 days prior to the end of the three-year period.
4. Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain student records of admission and placement for five years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.
5. Records managers should be cognizant of the Educational Amendments of 1976, student consumer Information and legal implications for records retention.
6. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroy them.

**Student Education Records Retention Schedule, Supplement C:
 Registration and Attendance/Academic Progress Records**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Academic action authorizations (dismissal, etc.)	5 years after graduation or date of last attendance
Academic records (including narrative evaluations, competency assessments, etc.)	PERMANENT
Advanced placement and other placement tests records/scores (e.g., ASSET, Compass, Accuplacer)	5 years after graduation or date of last attendance
Applications for graduation	1 year after graduation or date of last attendance
Applications for admission or readmission (reentry)	5 years after graduation or date of last attendance
Audit authorizations	1 year after date submitted
Changes of course (add/drop)	1 year after date submitted
Change of grade forms (update documents)	PERMANENT
Class lists (original grade sheets)	PERMANENT
Class schedules (students)	1 year after graduation or date of last attendance
Correspondence, relevant	5 years after graduation or date of last attendance
Credit by examination reports/scores (e.g., Advanced Placement, CLEP, PEP)	5 years after graduation or date of last attendance
Credit/no credit approvals (audit, pass/fail, etc.)	1 year after date submitted
Curriculum change authorizations	5 years after graduation or date of last attendance
Degree audit records	5 years after graduation or date of last attendance
Disciplinary action documents	(see note 7)
Fee assessment forms	5 years after graduation or date of last attendance
FERPA Documents:	(see note 3)
Financial aid documents (see retention Schedule H - Federal Aid Record Requirements)	3 years after annual audit has been accepted by the Department of Education (see note 5)
Foreign/international student forms (I-20, etc.)	5 years after graduation or date of last attendance (see note 9)
Grade reports (registrar's copies)	1 year after data distributed
Graduation lists	PERMANENT

Continued on next page →

**Student Education Records Retention Schedule, Supplement C (continued):
 Registration and Attendance/Academic Progress Records**

Description of Documents/Records	Minimum Recommended Retention Period
Graduation authorizations	5 years after graduation or date of last attendance
Hold or encumbrance authorizations	Until released
Medical records	1 year after graduation or date of last attendance (see item 8 under Notes)
Military documents	5 years after graduation or date of last attendance
Name change authorizations	5 years after graduation or date of last attendance
Pass/fail requests	1 year after date submitted
Personal data information forms	1 year after graduation or date of last attendance
Registration forms	1 year after date submitted
Transcript requests (student)	1 year after date submitted
Transfer credit evaluations	5 years after graduation or date of last attendance
Tuition and fee charges	5 years after graduation or date of last attendance
Withdrawal authorizations	2 years after graduation or date of last attendance

Notes:

1. Any record recommended for permanent retention should be microfilmed for security even if the originals are retained. The microfilm should be stored in an off-site location.
2. The recommended five-year retention period noted in the above table should begin with the date of graduation or the date, term, or semester and year of last attendance.
3. FERPA specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined "directory information" and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students' educational records; therefore, they must be retained as long as the education records to which they refer are retained by the institution (see Records Retention Schedule for Student Education Supplement F: Publications, Statistical Data/Documents, and Institutional Reports).
4. VA regulations state that the following records must be retained for at least three years after the termination of enrollment:
 - Grade reports and/or statements of progress (academic records)
 - Change of course forms
 - Transfer credit evaluation
 - Degree audit records

Continued on next page →

**Student Education Records Retention Schedule, Supplement C (continued):
Registration and Attendance/Academic Progress Records**

Notes (continued):

5. Educational institutions that participate in federal, state, and private programs of low-interest loans to students must retain for three years after graduation or withdrawal of students' records of academic progress, attendance, and courses studied according to an amendment of the General Education Provisions Act amended by the Improving America's Schools Act of 1994 (Public Law 103-382). In the event of an open audit, records must be retained until all questions are resolved. In addition to keeping records of all financial aid the student receives, institutions will need a financial aid transcript for a transfer student.
6. The IRS requires that private schools retain copies of all admission and scholarship brochures, catalogs, and advertising materials for a period of three years beginning with the year after compilation or acquisition.
7. No recommended retention period is given for disciplinary action documents, except that they be retained while in force in a file separate from the student's academic record.
8. Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this records retention schedule, such records are in the same category as the academic record.
9. The Immigration and Naturalization Service states that the school must keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students' records are to be retained for at least five years, it is recommended that INS documentation also be retained five years.

**Student Education Records Retention Schedule, Supplement D:
 Certification Data/Documents**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Enrollment verifications	1 year after verification
Financial aid assistance records (see Retention Schedule H)	3 years after graduation date or date of last attendance
Social security certifications	1 year after certification
Teacher certifications	1 year after certification
Veterans Administration	3 years after graduation date or date of last attendance certifications

Notes:

1. The recommended three-year retention periods noted in the above schedule should begin with the date of graduation or last attendance, or the term, semester, and year of last attendance.
2. The IRS requires that private schools maintain records of scholarship and of other financial assistance to indicate that the awards were made on a racially non-discriminatory basis and that such records be retained for a period of three years beginning with the year after compilation or acquisition.
3. The VA requires that all records and computations showing compliance with the requirements of the VA Regulations No 14201 (the 85-15-percent ratio of nonveteran/veteran students for each course) be retained for at least three years. Longer retention will not be required unless a written request is received from the VA not later than 30 days prior to the end of the three-year period.

**Student Education Records Retention Schedule, Supplement E:
Publications, Statistical Data/Documents, and Institutional Reports**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Catalogs	PERMANENT
Commencement Program	PERMANENT
Degree statistics	PERMANENT
Enrollment statistics	PERMANENT
Grade statistics	PERMANENT
Race/ethnicity statistics	PERMANENT
Schedule of classes (institutional)	PERMANENT

Notes:

1. Any record recommended for permanent retention should be microfilmed for security.
2. The IRS requires that private schools maintain records reflecting the racial composition of the student body, faculty, and administrative staff for each academic year, and retain such records for a period of three years beginning with the year after compilation or acquisition.
3. Section 504 of the Rehabilitation Act of 1973 requires that institutions maintain the necessary information and accurate compliance reports in such form that the determination of whether or not an institution is in compliance could be easily ascertained. In addition, racial and ethnic data are required to show the extent to which members of the minority groups are beneficiaries of and participants in federally assisted programs. There is no time limit specified in the law.

**Student Education Records Retention Schedule, Supplement F:
 Family Educational Rights and Privacy Act (FERPA) Data/Documents**

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

Description of Documents/Records	Minimum Recommended Retention Period
Requests for formal hearings	PERMANENT
Requests and disclosures of personally identifiable information	PERMANENT
Student requests for nondisclosure of directory information	Until terminated by the student or PERMANENT
Student statements on content of records regarding hearing panel decisions	PERMANENT
Student's written consent of records disclosure	Until terminated by the student or PERMANENT
Waivers of rights of access	Until terminated by the student or PERMANENT
Written decisions of hearing panels	PERMANENT

Notes:

Whenever the recommended retention period is the life of the affected record, the retention period of the FERPA document is meant to be the same as that of the student records to which it pertains; students' waivers of rights to access to letters of recommendation, for example, should be retained until terminated or the letters themselves are destroyed (See Student Education Record Retention Schedules, Supplements A and B). If the retention period for a record to which a FERPA document pertains is permanent, the FERPA document should also be permanently retained and microfilmed for added security.

Student Education Records Retention Schedule, Supplement G: Federal Disclosure Records

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

The statutory requirements of the 1998 HEA amendments and Student Assistance General Provisions, Final Rule (Nov. 1999) require institutions to maintain and retain records developed in compliance with the Campus Crime, Student Right-to-Know, and Athletic Participation/EADA disclosure requirements. The records must generally be retained for 3 years subsequent to the required date of disclosure. Specific requirements follow:

Description of Documents/Records	Minimum Recommended Retention Period
Crime Statistics/Security Report	3 years from date of required disclosure (See examples below)
SRK Graduation/Completion, Transfer-out Data	3 years from date of required disclosure (See examples below)
Athletic Participation/EADA documents	3 years from date of required disclosure (See examples below)
Institutional Information (Cost of Attendance, Withdrawal Procedures, Accreditation, etc.)	3 years from disclosure, i.e., end of award year (See examples below)

Notes and Examples:

1. Campus Crime/Security Records and Reports must be established and disclosed annually to students and employees. The records should contain such information as:

- A. institutional policies and procedures for reporting crimes,
- B. crime statistics,
- C. description of drug and alcohol abuse education programs and policies concerning possession, use, and sale of alcoholic beverages or drugs,
- D. statement of sexual assault prevention programs,
- E. statistics on number of arrests for violations of liquor, drug abuse, or weapons laws,
- F. procedures for campus disciplinary actions for alleged sex offenses, and
- G. statement of security and access policies for campus facilities.

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**Student Education Records Retention Schedule, Supplement G (continued):
Federal Disclosure Records**

Notes and Examples (continued):

2. Examples of Crime Records Requirements:

Crime records should be retained for a three-year period following the date of disclosure; i.e., institutions are required to retain records to substantiate information in the reports released for three years. In practical terms, this means data included in the report that will be distributed (disclosed) to students and employees by October 1, 2000 should be retained for three years from October 1, 2000 as follows:

- Calendar year 1997 records must be retained until October 1, 2003;
- Calendar year 1998 records must be retained until October 1, 2004;
- Calendar year 1999 records must be retained until October 1, 2005.

3. Graduation/completion, and transfer-out rates/SRK disclosure records should be established and disclosed annually to students and other required parties. Records should be retained for three years from the annual July 1st required disclosure date.

Example 1: Graduation, completion, and/or transfer rate information that must first be disclosed by July 1, 2000 (e.g., by school with longest programs of two years) must be retained until July 1, 2003.

Example 2: Graduation, completion, and/or transfer rates that must be disclosed by July 1, 2003 (e.g., by schools with longest programs of four years) must be retained until July 1, 2007.

Continued on next page →

**Student Education Records Retention Schedule, Supplement G (continued):
Federal Disclosure Records**

Notes and Examples (continued):

4. Athletic participation/EADA records should be established and disclosed annually to students and other required parties. Records should be retained as follows:

Example 1: Records created for disclosure that is required by October 15, 2000, must be retained until October 15, 2003.

Example 2: Records created for disclosure that is required by October 15, 2001, must be retained until October 15, 2004.

Types of institutional information that must be disclosed to students annually are listed below. The records should minimally be retained for three years from the date of disclosure. They include:

- A. requirements and procedures for withdrawing from the Institution,
- B. cost of attendance (tuition/fees charges, book/supplies costs, room and board charges, related charges),
- C. refund policy,
- D. summary of requirements for return of Title IV grants or loans,
- E. current academic programs of the institution (current degree programs, educational/training programs, faculty),
- F. names of associations, agencies accrediting the Institution,
- G. description of special facilities and services for disabled students,
- H. the school's policy on enrollment in study-abroad programs, and
- I. titles of persons to contact for information.

Student Education Records Retention Schedule, Supplement H: Federal Student Financial Aid (SFA) Record Retention Requirements

All records retention requirements are based on the recommendations developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO) entitled Retention of Records: Guide for Retention and Disposal of Student Records (2010), used here by permission.

The statutory requirements of the 1998 HEA amendments and Student Assistance General Provisions, Final Rule (Nov. 1999) require institutions to maintain and retain records developed in compliance with the Campus Crime, Student Right-to-Know and Athletic Participation/EADA disclosure requirements. The records must generally be retained for 3 years subsequent to the required date of disclosure. Specific requirements follow:

TABLE 1. SFA PROGRAM RECORDS

Description of Documents/Records	Minimum Recommended Retention Period
Program Participation Agreement	3 years from award year
Accrediting and licensing agency review, approvals, and reports	3 years from award year
State agency reports	3 years from award year
Audit and review reports	3 years from award year
Self-evaluation reports	3 years from award year
Other records pertaining to financial responsibility and standards of administrative capability	3 years from award year

Source: Student Financial Aid Handbook, 1999-2000 Award Year, U.S. Department of Education.

TABLE 2. SFA PROGRAM RECORDS

Description of Documents/Records	Minimum Recommended Retention Period
Records of SFA program transactions	3 years from award year
Bank statements for accounts containing SFA funds	3 years from award year
Records of student accounts	3 years from award year
Ledgers identifying SFA transactions	3 years from award year
Federal work-study payroll records	3 years from award year
Records supporting data on required reports, such as:	
• SFA program reconciliation reports	3 years from award year
• Audit reports and school responses	3 years from award year
• Pell grant statements of accounts	3 years from award year
• Accrediting and licensing agency reports	3 years from award year

Source: Student Financial Aid Handbook, 1999-2000 Award Year, U.S. Department of Education.

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**Student Education Records Retention Schedule, Supplement H (continued):
 Federal Student Financial Aid (SFA) Record Retention Requirements**

TABLE 3. SFA RECORDS

Description of Documents/Records	Minimum Recommended Retention Period
The Student Aid Report (SAR) or Institutional Student Information Record (ISIR)	3 years from award year
Application data submitted to the Dept. of Education or lender by the school on behalf of the student	3 years from award year
Documentation of student's eligibility	3 years from award year
Financial aid history of transfer students	3 years from award year
Documentation of student's satisfactory academic progress	3 years from award year
Documentation of student's program of study and courses enrolled in	3 years from award year
Data used to establish student's admission, enrollment status, period of enrollment	3 years from award year
Documents used to verify applicant's data	3 years from award year
Documentation related to the receipt of aid, such as: amount of grant, loan, FWS award; and calculations used to determine aid amounts	3 years from award year
Date and amount of disbursements	3 years from award year
Documentation of initial or exit loan counseling	3 years from award year
Reports and forms used for participation in the SFA program	3 years from award year
Documentation supporting the school's calculation of its completion/graduation or transfer-out rate	3 years from award year

Source: Student Financial Aid Handbook, 1999-2000 Award Year, U.S. Department of Education.

TABLE 4. REQUIREMENTS FOR SPECIFIC AID

Description of Documents/Records	Minimum Recommended Retention Period
Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	3 years from end of award year
Pell Grant	3 years from end of award year
Fiscal Operations Report (FISAP)	3 years from end of award year report submitted
Perkins repayment records	3 years from date loan assigned, cancelled, or repaid

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**Student Education Records Retention Schedule, Supplement H (continued):
 Federal Student Financial Aid (SFA) Record Retention Requirements**

TABLE 4. REQUIREMENTS FOR SPECIFIC AID (continued)

Description of Documents/Records	Minimum Recommended Retention Period
Perkins original promissory notes	Until loan is satisfied or documents are needed to enforce obligation
FFEL and Direct Loans:	
<ul style="list-style-type: none"> • Borrower’s eligibility records 	3 years from end of award year student last attended
<ul style="list-style-type: none"> • All other records/reports 	3 years from end of award year report submitted

Source: Student Financial Aid Handbook, 1999-2000 Award Year, U.S. Department of Education.

Notes and Examples:

1. Schools may be required to retain records for longer periods of time if the records are involved in a SFA program review, audit, or investigation. If the three-year retention period expires before the issue is resolved, records must be retained until resolution is achieved.
2. Financial aid records are normally maintained by financial aid offices. The SFA program requirements do not, however, mandate that all records be maintained by financial aid offices. Business offices, admissions, and registrars' offices may be more appropriate custodians of financial aid records.
3. Schools must adhere to the record retention requirement upon their closing, change of ownership, termination, or suspension from participation in the SFA programs.
4. In addition to keeping records on federal financial aid, institutions are also responsible for the maintenance of financial aid transcripts for transfer students.

Information and Technical Assistance Resources:

1. Department of education web site for Financial Aid Professionals: <http://www.ifap.ed.gov>
2. SFA handbooks can be viewed or downloaded from <http://www.ifap.ed.gov/ifap/byAwardYear.jsp?type=fsahandbook>. Handbooks are organized by award year (e.g., award year 2013-2014).
3. Department of Education Technical Support for Financial Aid Administrators: 1-800-4-ED-SFAP (1-800-433-7327)
4. Regional offices of the Department of Education also provide guidance/information on student financial aid record retention requirements: <http://www2.ed.gov/about/contacts/gen/regions.html>.

Index of Responsibility by Unit

<p>Accounts Payable 34</p> <p>Assistant/Associate Deans 3</p> <p>Assistant/Associate Vice Presidents 3</p> <p>Assoc. VP Financial Affairs 37, 39, 47</p> <p>Asst. VP/Controller..... 34, 46</p> <p>Asst.VP/Controller..... 34, 35, 38, 40, 43, 44, 45, 47, 50</p> <p>Athletics 1, 9, 10, 17</p> <p>AVP Business & Auxiliary Services 46, 47</p> <p>AVP, Student Services 29, 30</p> <p>Business and Auxiliary Services..... 40, 71</p> <p>Business Officer, Transportation Services 37</p> <p>Committee on Academic Advising (CAA) 12</p> <p>Cost Analysis 46</p> <p>Deans 3</p> <p>Deducting Department 45</p> <p>Department8, 11, 12, 13, 14, 15, 17, 18, 19, 20, 21, 22, 23, 24, 25, 30, 35, 39, 46, 48, 50, 52, 54, 56, 57, 58, 59, 61, 65, 66, 67, 68, 69, 71, 80, 89, 91</p> <p>Department Level 8, 18, 19, 25</p> <p>Department/School/College 13, 14, 15, 17, 18, 19, 20, 21, 22, 23</p> <p>Departmental Personnel..... 73, 74, 75</p> <p>Development and Alumni Affairs..... 8, 38</p> <p>Dir. Campus Management 39</p> <p>Dir. Finance for Facilities..... 36, 46</p> <p>Dir. Grants and Contracts Accounting..... 48</p> <p>Dir. Utilities Management..... 39</p> <p>Dir., Financial Aid 49, 50</p> <p>Director of Bond Compliance and Reporting..... 35</p> <p>Disability Support Services..... 29</p> <p>Exec. Dir., Budget & Payroll 34, 35, 36, 45, 47, 48, 49, 50, 51</p> <p>Facilities..... 3</p> <p>Facilities Information Technology, Manager 39</p> <p>Financial Affairs..... 34, 64</p> <p>Financial Aid..... 91</p>	<p>Financial Audits & Reporting..... 38</p> <p>General & Equipment Accounting 38, 39, 46</p> <p>Graduate Admissions 12</p> <p>Graduate School..... 11, 12, 19, 23, 28, 32</p> <p>Grants and Contracts Accounting 35, 39</p> <p>HR Compliance 53</p> <p>Human Resources 1, 18, 50, 53, 54, 56, 57, 58, 59, 60, 61, 62, 63</p> <p>Information Technology..... 3, 7</p> <p>Institutional Effectiveness & Analysis 24</p> <p>Legal Affairs..... 52</p> <p>Occupational Health & Safety..... 63</p> <p>Office of Diversity, Equity, and Inclusion 59</p> <p>Office of Sponsored Programs 41, 42</p> <p>Payroll Services 45, 51, 63</p> <p>Procurement Contracts..... 35</p> <p>Provost 3, 7, 15</p> <p>Purchasing Services..... 37, 38, 46</p> <p>Real Estate..... 44</p> <p>Research..... 2, 8, 41, 43, 72, 73</p> <p>Respective Professional School (Medicine, Dentistry, Nursing, Optometry) 12</p> <p>School of Education 24</p> <p>School of Medicine..... 11, 12</p> <p>School/College Level 22, 25</p> <p>Sr. Vice Provost 15, 16, 31</p> <p>Sr. Vice Provost, Student and Faculty Success..... 15, 16</p> <p>Student Accounting Services..... 36</p> <p>Student Admissions..... 30, 31</p> <p>Student and Faculty Success 15</p> <p>Student Conduct 28, 31</p> <p>Student Financial Aid 1, 26, 27, 28, 32, 35, 40, 89, 90</p> <p>Student Health and Wellness..... 22, 29, 75</p> <p>Student Housing and Residence Life..... 13, 20, 28</p> <p>Title IX 33</p>
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

UAB Facilities..... 70
Undergraduate Admissions..... 11, 12
University Archives 3, 4, 5, 6, 7, 8, 13, 14, 16, 30, 43, 46, 62, 63, 64
University Property Management 43
University Registrar..... 13, 14, 17, 19, 22, 23, 24, 25, 28, 30, 31, 32

Veterans Affairs..... 63
Vice Presidents..... 3
Vice Provost, Student and Faculty Success 13, 16, 24
VP Diversity, Equity, and Inclusion..... 53
VP Student Affairs 26