Title – Records Retention Policy

Policy Abstract – Birmingham-Southern College will retain institutional records reflecting educational and business transactions defined by this policy in forms that include paper, and digital formats according to the appropriate ***Records Retention Schedule***.

Responsible Office(s) – President, Provost, Finance, Administration, Enrollment Management, Institutional Advancement, Information Technology, Student Development, Communications and Institutional Effectiveness and Assessment

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Applies To – Entire College

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1. **Introduction/Background –** As an educational institution that confers degrees to students it is incumbent that the College retains records for proof of completion of requirements etc. Additionally, state and federal regulations require the maintenance of certain records for business transactions and the appropriation of government funds, including but not limited to grants as well as federal & state operated programs, as well as requiring student conduct records be maintained, which could become materials for legal proceedings beyond the College. Finally, archive records used to preserve the historical significance of the College, its leadership and its impact on the community are to be preserved for posterity.

2. **Purpose –** The purpose of this policy is to provide general guidance to employees who manage records for the College and provide a frame work for understanding what is to be retained. The appropriate ***Records Retention Schedule*** further defines the parameters set forth in this policy.

3. **Applicable Regulations –** SACSCOC, Principles of Accreditation 2018, Internal Revenue Service, Department of Education Title IV, and State of Alabama Tax Code.

4. **Policy Statement** –

4.1 **Definition of a Record**

A record is anything containing information reflecting College educational and business transactions regardless of format (paper, digital, photographic, etc.).

Typical records include official publications, fiscal data, incoming/outgoing correspondence including email, minutes of meetings, reports, and student files.

Not all records must be retained. The list below describes items in a typical office that are not classified as records and therefore do not need to be categorized or maintained. These materials may be destroyed at any time if they are no longer needed by the office holding them. These items will not appear on a retention schedule.

- Large quantities of duplicate materials and all duplicates of official copies.
- Non-BSC published magazines and newspapers.
- Published reports produced by other entities.
- Purchased data from other sources.
- Blank letterhead or other blank forms.
- Routing slips or telephone messages.
- Catalogues, journals, or other printed matter used for information purposes.
- Routine letters of transmittal and "for your information" notes.
- Notices or memoranda that give only timely information such as a change of venue for a meeting.
- Notes or working papers once a project is completed, unless they provide more complete information than the final report.

Permanent records, also called archival records, are records which have historical, administrative or research value to the College and which we intend to keep indefinitely.

The Birmingham-Southern College Archives Office of the Library is responsible for ensuring that the College identifies these records and that they are transferred to the College Archives once they become inactive. Examples of archival records include meeting minutes, architectural drawings, organization charts, real estate records, endowment agreements, student theses, selected faculty papers, committee work resulting in College policies, and photographs of events and buildings. The Archives Office assists in the identification and classification of records as archival.

Be aware that many materials, paper and digital form do not constitute a record at all and may be destroyed at any time. Once something is defined as a record it is either active or inactive. All active or inactive records will be listed on the *Records Retention Schedule*. Active records are records that are generally referred to once a month. Inactive records are records that are not needed for at least one year. Unless these records have been defined as permanent records they should be destroyed according to the time period shown on the *Records Retention Schedule*. Inactive records should be securely stored until the end of the retention period. However, at the end of the retention period the custodian of the records is responsible for destroying the records.

4.2 **Retention Schedules**

A retention schedule is a table describing categories of records, providing a length of time they should be kept and includes instructions for disposition. State or federal law may determine the period that certain records must be kept. The periods of time discussed in this policy are set to comply with federal and state law requirements.

The **Records Retention Schedule** referenced by this policy lists the most common records at the College and provides a retention period along with any special instructions related to disposal. Almost every department or office will have records requiring retention that may NOT be on the **Records Retention Schedule**. Records that are not on this schedule should be added on a case by case basis in consultation with legal counsel.

The retention period is a minimum period of time for keeping records. Custodians may hold records longer than the retention period. Custodians are responsible for ensuring storage is secure and under conditions that will preserve the record.

Certain units or offices within the College may find that there are professional standards dictating best practices for records retention. For example the Academic Records Office and Office of Student Development will adhere to the Family Educational Rights and Privacy Act in determining access to records and the format for keeping records. Student Financial Planning will be bound by federal laws related to student financial aid. The **Records Retention Schedule** incorporates the requirements of various laws as they apply to general categories of records.

4.3 **Records Custodians**

Everyone who creates records is responsible for managing those records while they are using them. Maintaining records in a safe, secure, and retrievable way is the primary responsibility of the creator while the record is serving its useful purpose. Sometimes the creator of the record will also be the official custodian.

All records of the College have an official custodian.

Custodians are expected to:
- Understand the records created within the department, administrative office or unit.
- Follow this policy to make decisions on retention and disposition of records and provide guidance to others who are involved in preparing records for storage.
- Be responsible for ensuring that everyone in the academic department, administrative office, or unit is aware of the records management policy and follows it.
- Consult with the following on matters related to retention and disposition of records and develops the retention schedule for the records of the academic department, administrative office, or unit.
    - Financial Records – CFO or Controller
    - Academic Records – Office of the Provost
    - Student Conduct records – Vice President for Student Development or Dean of Students
    - Personnel Records – Director of Human Resources
- Establish the level of confidentiality and security appropriate to specific types of records and helps the department or unit maintain and monitor confidentiality and security.

4.4 **Official Copies and Duplicates**

Most records will eventually have multiple copies in several offices and departments at the College. There is only one official copy and the custodian in the office holding the official copy is the official custodian and is responsible for its retention and possible classification as an archival record. Copies may be kept as long as they are useful unless the office, department or unit has the official copy. For example, the Corporate/Foundation Gift Officer (CGFO) is the official custodian of most grant proposals and technical reports required to be filed with granting agencies. All other copies of a grant proposal or technical report may be destroyed when no longer needed. The Corporate/Foundation Gift Officer (CGFO) is responsible for retaining the record for the period required by law or longer if appropriate. Whenever another office is designated as the official custodian of a document, all other offices should consult with the official custodian before destroying records that the custodian is maintaining. Drafts and work papers should not be retained longer than the related official record.

4.5 **Board of Trustees, Articles of Incorporation and Bylaws**

The records of the Board of Trustees, Articles of Incorporation and Bylaws of the institution will be maintained by the Office of the President in accordance with the established schedule. Board of Trustee documents includes meeting minutes, committee documents, board policies, etc. Board Committee minutes and documentation will be taken and maintained by the responsible institutional office that staffs the committee, with copies sent to and maintained by the Office of the President.

4.6 **Committee Records and Responsibilities of Chairs of Committees**

Chairs of all committees are the official custodian of the records related to the committee's work. In general, all policy development, accrediting procedures, academic department curricular change activities, and other similar efforts create records which will be of interest to College Archives and result in permanent records. A copy of such records should be sent to College Archives.

4.7 **Personnel Records**

The official copy of all records related to an employee are retained and maintained by the Human Resources Office for non-faculty employees and by the Provost's Office for faculty members. Departments and offices may keep duplicate copies for convenience, but all material that is kept by the department or office must be copied to the official custodian. See the ***Records Retention Schedule*** for more information on personnel records. Students who work in jobs that are NOT part of their educational experience are treated as all other employees for the purposes of record keeping. However, most students are paid to do jobs as a result of a financial aid award or as an integral part of their education. In that case their employment information is maintained as a student record with the unique obligations associated with student records.

4.8 **Employment Search Committee Records**

The basic rule is retention of one year for employment applications. For unsuccessful candidates, keep the file for a minimum of one (1) year, and a maximum of three (3) years from the conclusion of the search. The conclusion of the search is defined as either the position being filled or the search discontinued.

The standards for the disposal of documents are the same regardless of how far the applicant made it through the process. The file of someone who was rejected in the first round is kept as long as that of someone who visited campus.

- Materials to be kept in the file are: the cover letter, the curriculum vitae, and any reference letters.
- For the person hired, keep the entire file for the duration of their employment, plus three (3) years.
- These documents are considered confidential and should be disposed of properly by shredding them at the appropriate time.

4.9 **Academic Department Records**

Academic department and program files are critical for documenting the history of the College and should be kept, managed, and archived in a manner consistent with the guidelines provided in this policy. If a current chair maintains the records in his or her own office or on his or her own computer exclusively, the chair is responsible for transferring all electronic and paper records to the departmental assistant when his or her term as chair ends. Record keeping and management should not begin anew with each chair transition. There should be an ongoing process of records management for the department/program. In the case of confidential materials in the possession of the chair, those should be marked as such (and placed in a sealed envelope if appropriate) and maintained within the department/program files. The departmental assistant is a key link in long term maintenance of departmental records. The assistant should be entrusted with knowledge of all departmental records and assist in their maintenance, even if the records are physically kept in the department chair's office.

4.10 **Sponsored Research, Grants, External Support Records**

Faculty members and other grantees will have files related to external support. There are special rules that apply to funds received from the Federal government and each grant may have its own set of rules and requirements related to records. All grantees are responsible for ensuring the College complies with these rules and requirements.

For faculty and others involved in research, grants and external support see the ***Administration of Grants and Contracts in Support of Sponsored Projects and Research*** policy for specific guidelines related to grants and sponsored research.

4.11 **Faculty Professional Papers and Records**

Academic departments are responsible for maintaining and helping to preserve information about curricular offerings and the history of the department as a teaching and research unit. Faculty members are encouraged to contact their department chair when they retire to discuss the retention of their papers and records for historical preservation.

4.12 **Student Conduct Records**

The Office of Student Development generally, with particular emphasis on the Dean of Students, is responsible for creating and maintaining student conduct records in response to incidents where students violate College policies, such as illegal consumption of alcohol or use of drugs. When incidents occur, they are documented through official reports such as Campus Police Incident Reports. Those reports, along with documentation related to charges, possible hearings, sanctions and other outcomes, and appeals by students are all maintained within a student's conduct record. Files for both current and former students are maintained in locked filing cabinets and desks. Individuals are encouraged to contact Student Development to review their conduct file.

4.13 **Records Destruction**

Following a retention schedule that has been worked out, records should be securely maintained for the period of retention either in the office or department where they were created or used. Records that have been identified as archival records must be sent to College Archives for their determination of permanent retention. Records that will not be listed on a retention schedule and therefore may be destroyed at any time include:
- Material that is not considered a record. See definition of a record above for more details.
- Duplicates of an official copy which is stored and retained by another office such as personnel records, financial and budget information, external grant funding and copies of information used in an employee search.
- Temporary records having served their purpose and are no longer needed such as drafts of reports and notes that have been turned into minutes of meetings.

Destruction includes:
- Recycling – generally appropriate for all non-confidential paper documents, including public documents of other organizations, magazines, annual reports, newsletters, announcements, and drafts or policies or other memos which are not confidential.
- Shredding – using a cross-cut or strip shredder for all documents that should not be read by others after they are no longer needed or that contain personnel or confidential information. This is essential for any document containing personal information, information that is student information protected FERPA, health related information, or financial information.
- The College contracts with shredding companies for secure destruction and arrangements can be made by contacting the Purchasing Department for assistance at extension 4943.

4.14 **Electronic Records**

Many records are created and maintained in an electronic format. These include documents on your computer's hard drive, email and its attachments, and documents that have been scanned and reside on CDs or on other removable storage media. File maintenance of these records requires coordination among the places where they are stored such as hard-drives on desk tops, laptops, on shared drives (network systems), and on removable storage media. It is important to remember that desktop applications are designed for communicating information, and transmitting knowledge. They make communicating with others more simple and efficient, but they are not designed for permanent retention of records. Issues of file authentication, version-control, duplication, maintenance, access and permanency are more acute with electronic records.

Any electronic record that needs to be kept for a retention period longer than seven (7) years should be printed and kept in a paper filing system **OR** maintained in an electronic format and the equipment needed to read or access the information kept and maintained for the same period of time. For retention periods shorter than seven (7) years it is believed that storage on DVD or CD format will be reliable and readable. Any electronic record that merits permanent retention should be maintained electronically and printed and kept in a paper filing system. An electronic file that has permanent value to the College should be printed and transferred to College Archives. Records that are maintained only in electronic format should be named and labeled in a manner that is consistent with the paper filing system used in the office for ease of coordination and cross-referencing.

4.15 Colleague and Other Data Systems

The Colleague ERP (Enterprise Resource Planning) system is the College's largest electronic data system. College-wide electronic data systems generally contain information that if lost, corrupted or disclosed without authorization could result in the impairment of business functions at the College. In addition some data on these systems contain private data that if lost, corrupted or disclosed without authorization could also result in claims involving invasion of personal privacy, loss of reputation or creditability, and violation of federal or state laws or regulations or College contracts. These systems are generally only made available to approved users. Examples include the Colleague financial system, admissions records, financial aid records, the registrar's records and alumnae/donor biographical and gift data.

All data in the Colleague ERP system or any other data system will have an individual responsible for the integrity of the data in the system. That person is responsible for verifying that electronic data and the record created from the data have not been inappropriately altered, in other words can verify that it is authentic. He or she is responsible for ensuring adherence to policies about access, loss prevention and security to prevent corruption.

The Colleague ERP data system is backed-up by the College in order to ensure business continuation in the event of a disaster or crisis. Therefore, individual offices only need to retain their copies of Colleague information while they are useful. One notable exception involves special compilations of data that offices or departments may create using data from Colleague. Because of the way data is preserved or changed over time, it may not always be

possible to recreate a compilation of data in the future. Any report created from special compilations, as opposed to merely printing data from the system, should be retained by the office or department creating it as the official copy. Some administrative offices, academic departments, or units have created electronic data systems by purchasing software to help manage a specific database for research or other purposes. If it is determined that the records created by that database should be maintained for a specific period or should be permanently retained, the maintenance of the software license and the availability of it can be very important. Before purchasing or using specialized software for these purposes, the official custodian should discuss the purchase and any agreement needed about backing-up the data system with Information Technology by submitting a Technology Proposal.

All College faculty, staff and students entrusted with electronic data must adhere to these practices:
- Keep data secure against unauthorized creation, updating, processing, outputting and distribution.
- Appropriately secure data and keep it inaccessible to non-approved users when not in use.
- Use, retain, and dispose of data consistent with this policy, develop policies related to appropriate and frequent back-up of data systems and their storage in locations that will keep them available in the event of a disaster affecting the original data system.
- When creating reports from databases, maintaining the same level of confidentiality in the report as exists for protection of the original data.
- Reports containing private or confidential data should be disposed of properly which means shredding all paper copies and erasing hard drives and disks so that the data are not retrievable. Consultation with IT staff on how to properly erase hard drives is vital before computers are transferred to other users or discarded.

4.16 Electronic Mail

Electronic mail should be treated like any other electronic record. Mail that has information that should be retained according to a retention schedule should be printed and filed as would any other paper record. Even though Email is backed up centrally for business continuity purposes, it is not kept as a system of record. Each email user is responsible for retaining email containing important information. The files embedded in your account are NOT permanent storage and should not be used for permanent or long-term storage purposes.

Finally, saving email using the save as function saves the content as a file but does not save the embedded data in a regular email that gives the properties of the message, such as the identity of the sender's computer, or the route the message took before arriving in your mail box. Saving email as archived mail does preserve these properties and may be important if there is ever a dispute about the origin of the email. It is like saving the envelope that comes with a letter via the postal service. Therefore, email correspondence related to contracting and other activities in which verification of the sender is important should be archived as email for the retention period if possible.

4.17 **College Archives Storage**

Using a records retention schedule developed for each office, the records custodian and the College Archivist should discuss what records may be transferred to the College Archives for permanent retention. If certain records do not fall under the records retention schedule, the records custodian and College Archivist should discuss access and disposition before material is sent to the College Archives.

4.18 **Records Related to Web sites**

Because Web sites have replaced many publications they are a significant archival record of the College and its operation. Those creating official documents that are only published online should capture contents as e-files on CD or DVD and maintain according to their office's retention schedule. Web masters and those uploading content to web sites should capture copies of their web sites' content annually and send them to College Archives for permanent retention. The College currently lacks space to retain archived copies on its servers and web sites are not routinely backed-up except for the purpose of restoring it in the event of hardware failure. If a web site is changed without preserving the original content it cannot be retrieved from the College servers.

4.19 **Legal Claims - Litigation Holds**

If a legal claim is reasonably anticipated or is filed, or a lawsuit begun, the affected offices should immediately seek legal counsel through the appropriate College official. The College legal counsel will issue instructions to keep all records and data systems until further notice. This instruction overrides all standard and existing practices with respect to record destruction and storage. In some cases the College legal counsel will ask that all relevant documents be given to a designated office to hold for the duration of the legal matter.

5. **Detail**s – An annual financial audit of the College contains a technology component whereby this is verified each year. Non-compliance with this policy would be reported in the form of comments in the management letter of the audit.

6. **Definitions** –

   - SACSCOC is the Southern Association of Colleges and Schools, Commission on Colleges.
   - Official Custodian is the individual in the department, unit or office responsible for the official records produced and managed by that department, unit or office.
   - ERP is a term meaning Enterprise Resource Planning. This is an industry standard term referring to software applications used to operate the business function of an organization.
   - Colleague is the system name of the ERP from the vendor Ellucian used by the College.

7. **References** – Records Retention Schedule, Administration of Grants and Contracts in Support of Sponsored Projects and Research policy, and SACSCOC, Principles of Accreditation 2018
https://sacscoc.org/app/uploads/2019/08/2018PrinciplesOfAcreditation.pdf

Academic Affairs

Department Records

Record Type	Office Retention Period	Final Disposition
Specialized Accreditation Records	Permanent	Copy to Archives
Department Reports/ Program Reviews/Self-Studies	7 years	Archives
Academic Advising Records	2 years from graduation or last date of attendance	Destroy
Course Syllabus	10 years from date of course's last offering	Destroy
Course work not returned to students	5 years (Faculty Handbook 52)	Destroy
HPAC references (for Med Schools)	Permanent	Office Retention
Teaching assistant contracts (as indicated in Faculty Handbook)	2 years from graduation or last date of attendance	Destroy

Provost's Office

Record Type	Office Retention Period	Final Disposition
Faculty Meeting Minutes	10 years	Archives
Faculty Handbooks	until superseded	Copy to Archives
Faculty CVs & Official Transcripts	6 years after separation	Archives
Academic Affairs Policies and Procedures	until superseded	Archives
Dual-Degree and Consortial Agreements	5 years after discontinuance	Archives
Grade Appeals	2 years from graduation or last date of attendance	Destroy
Peer Review Documents	6 years after separation	Destroy
College Catalog	10 years	Copy to Archives
Curriculum, Curriculum Proposals, Curriculum Changes	10 years	Archives
Student Request for Leave of Absence	5 years from graduation or date of last attendance	Destroy
Withdrawal Forms	5 years from graduation or date of last attendance	Destroy
Tenure or Promotion Dossiers	10 years after separation	Destroy
Student Complaint Log	Permanent	
Faculty Course Evaluation Forms	6 years after separation	Destroy
Vail College Fellows Proposals	Permanent	Office Retention

Sklenar Center

Record Type	Office Retention Period	Final Disposition

Travel Risk and Release Form for International travel	3 years after program completion	Destroy
Program Evaluation Documents for Partner Institutions Abroad	Office Retention summarize for assessment and historical data	Archive
Foreign University Agreements/ Affiliations/MOUs	Permanent	Office Retention
International Student Files for F-1/J-1	keep paper files 3 years after completion of degree & OPT or Completion of exchange program Permanent (Scan and keep in an Electronic format after 3 years)	Office Retention
F and J Certification and Designation	Permanent	Office Retention
Open Doors data on international	Summarize for assessment and historical records	Office Retention
Fulbright Visitor Files (visiting Scholars, FLTA, REIA, Access to the Muslim World)	Permanent (scan and keep electronic file after 3 years	Office Retention

Grants and Contracts

Record Type	Office Retention Period	Final Disposition
Animal Welfare Records	3 years after end of contract period	Destroy
Human Subject Records	3 years after end of contract period	Destroy
Protocols and Related Documents	Permanent	Office Retention
IRB minutes and all documents related to IRB reviews and decisions	3 years after completion of the research (including research that never actually begins)	Destroy

Academic Records

Record Type	Office Retention Period	Final Disposition
Advanced Placement Credit Records/ International Baccalaureate Credit Records	Permanent	Office Retention
Application for Degree	3 years after graduation	Destroy
BACHE Approval Form	10 years from graduation or last date of attendance	Destroy
Change of Course Forms	5 years from change	Destroy
Change of Grade Forms	Permanent	Office Retention
Change to SSN or Student ID Number	Permanent	Office Retention
Commencement Programs	Permanent	Office Retention

Curriculum Change Authorizations	5 years from graduation or date of last attendance	Destroy
Degree Audit Records	3 years	Destroy
External Transcripts	Permanent	Office Retention
FERPA Consents and Disclosures	Life of underlying record	Destroy
FERPA Requests to Review	Life of underlying record	Destroy
Graduation Lists	Permanent	Copy to Archives
Hold or Encumbrance Authorizations	Until Released	Destroy
Name Changes	Permanent	Office Retention
Original Grade Records	Permanent	Office Retention
Institutional Schedule of Classes	Permanent	Copy to Archives
Study Abroad & Other Transient Credit Approval Forms	5 years from graduation or last date of attendance	Destroy
Transcript Request	2 years after submitted	Destroy

Library

Record Type	Office Retention Period	Final Disposition
Patron Records	2 years after graduation or last date of attendance	Destroy
Catalog of holdings	Until superseded	Destroy
Order records	Purchasing retains master copy; library keeps 10 years	Destroy
Contract and licensing related files	5 years after expiration or final payment	Destroy
Interlibrary Loan Records	4 years	Destroy
Reference Statistics Records	10 years	Destroy
Special projects/events/memorabilia	10 years	Archives
Instructional Manuals and Handbooks	Until superseded	

Office of Exploration Term and Contract Learning

Record Type	Office Retention Period	Final Disposition
Student Contracts	7 years	ECL archive/Records archive
Study-Travel/Contract Learning Release Forms	7 years	Destroy
Study-Travel Emergency Contact/ Medical Information Forms	1 year	Destroy
Study-Travel Passports	1 year	Destroy

Bunting Center

Record Type	Office Retention Period	Final Disposition
Release forms from Orientation Service	4 years	Destroy

Day (or Student Development?)		
Release forms for classes (faculty member teaching the class)	Term of enrollment	Destroy
Medical forms for ASB and E-Term travel projects	Term of enrollment	Destroy

Administration

Campus Police

Record Type	Office Retention Period	Final Disposition
Annual Security and Fire Safety Report	3 years	Destroy
Incident Reports - Non-criminal	3 years	Destroy
Incident Reports - Misdemeanor	7 years	Destroy
Incident Reports - Felony	Permanent	Office Retention
Annual Evacuation Drill Records	3 years	Destroy

Operations

Record Type	Office Retention Period	Final Disposition
Spill Prevention Control Plan	3 years	Destroy
Universal waste documents	3 years	Destroy
Asbestos	Life of Structure	Destroy
MSDS sheets	30 years	Office Retention
Safety Training Records	1 year after end of employment	Destroy
Hazardous waste manifest	3 years	Destroy
Refrigerant Purchases	5 years	Destroy
Quarterly Sprinkler Inspection and Pump Test	1 year after test	Destroy
Original Records for Fire systems	Life of System	Destroy
Alabama Department of Environmental Management (ADEM) Tier II Reports	3 years	Office Retention
ADEM Notifications	3 years	Office Retention

Admission – Enrollment Management

Applicants who do not enroll

Record Type	Office Retention Period	Final Disposition
Any Type of Application for Admission	2 years from application term	Destroy
Supporting Application Documents (essay, resume, transcripts, recommendation letters, etc.)	2 years from application term	Destroy
Actual Decision Letters	2 years from application term	Destroy
Financial Support Documentation for International Students	2 years from application term	Destroy
Transfer Student College Transcripts	2 years from application term	Destroy

Applicants who enroll

Record Type	Office Retention Period	Final Disposition
Any Type of Application for Admission	Stored in Student Development for 3 years	Destroy
High School Transcript	Permanently stored in Records Office	N/A
Standardized Test Scores	Permanently stored in Records Office	N/A
Other Supporting Application Documents (essay, resume, recommendation letters)	Stored in Student Development for 3 years	Destroy
Actual Acceptance Letters	Stored in Student Development for 3 years	Destroy
Financial Support Documentation for International Students	Stored in Student Development for 3 years	Destroy
Transfer Student College Transcripts	Permanently stored in Records Office	N/A

Other Admission Records

Record Type	Office Retention Period	Final Disposition
Overnight consent & release forms	Until enrollment	Destroy
Viewbook	5 years from start of enrollment cycle	Destroy
Visit Brochure	5 years from start of	Destroy

	enrollment cycle	
Travel Brochure	5 years from start of enrollment cycle	Destroy
Admit Packet	5 years from start of enrollment cycle	Destroy

Athletics

Department Records

Record Type	Office Retention Period	Final Disposition
Athletic contest scores and statistics	Permanent	Copy to Archives
Athletic programs and media guides	Permanent	Copy to Archives
Drug Testing Consent Forms	6 years from signed date	Destroy
Student-Athlete Statement	6 years from signed date	Destroy
NCAA Infraction and case files	7 years or length of sanctions	Destroy
Recruiting Information	5 years after graduation or date of last attendance	Destroy
Student files	5 years after graduation	Destroy

Communications

Department Records

Record Type	Office Retention Period	Final Disposition
'Southern Magazine	Permanent	Copy to Archives
Alumni Newsletters	5 years	Archives
Parent Newsletters	5 years	Archives
Campus Newsletters	5 years	Archives
College Videos	5 years	Archives
College Photos	5 years	Archives
Press Releases	Permanent	Copy to Archives
Video of Press Conferences	Permanent	Copy to Archives

Finance

Human Resources

Record Type	Office Retention Period	Final Disposition
Employee Personnel Files	Permanent	Copy to Archives
Work Study-Personnel Files	7 years after date of termination of employment	Destroy
Forms W-4 and A-4	Permanent	Copy to Archives
Records Documenting Retirement Contributions	Permanent	Copy to Archives
Documents Supporting Other Academic or Non-Academic Selections Decisions (e.g. Promotion, Termination, Compensation)	Permanent	Copy to Archives
Plan Administrator Records	Permanent	Copy to Archives
Plan Documents & All Attached Amendments	Permanent	Copy to Archives
Plans Filed with the Department of Labor and Internal Revenue Service	Permanent	Copy to Archives
Court Orders	Permanent	Copy to Archives
Fingerprint Reports / Background Checks	6 years after the end of the fiscal year in which the record was created.	Destroy
Attendance Records	6 years after the end of the fiscal year in which the record was created.	Destroy
Performance Appraisals	6 years after the end of the fiscal year in which the record was created.	Destroy
Selection and Hiring Records	1 year after position is filled	Destroy
Applicant Files (Applications Resumes)	1 year after position is filled	Destroy
Search Committee Records (Incl. Applications for Employment Resumes, and All Applicant Search Materials)	1 year after position is filled	Destroy
Payroll Records, Time Sheets/ Cards	7 years after the fiscal year in which the record was created	Destroy
Form I-9	3 years after date of hire or one year after date of termination whichever is later	Destroy
Employee Benefits (Summary Plan Description, Annual	6 years after the end of the fiscal year in which the	Destroy

Reports, Notice or Reportable events, and Plan Termination Documents)	record was created.	
Tuition Reimbursement/ Remission	6 years after death of eligible employee and beneficiary	Destroy
Forms W-2	10 years after the end of the fiscal year in which the record was created	Destroy
Records Showing Actual Taxes Withheld and Dates Withheld	7 years after the end of the fiscal year in which the record was created	Destroy
Record of Payments & Deductions (payroll registers, deduction lists, adjustments)	7 years after the end of the fiscal year in which the record was created	Destroy
Imputed Income Records (Auto usage, etc.)	7 years after the end of the fiscal year in which the record was created	Destroy
Family Medical Leave Records	3 years after the fiscal year in which the record was created	Destroy
Health Care Continuation Records	6 years from the date of the record	Destroy
Group Disability (Long Term Disability Records)	7 years after end of benefits	Destroy
Records Documenting Legal Cases	6 Years after final settlement	Destroy
IPED Forms	3 years after the fiscal year in which the record was created	Destroy
ADA Accommodation Requests	3 years after separation	Destroy

Human Resources-Risk

Record Type	Office Retention Period	Final Disposition
Logs of Injuries Illnesses as Well as Summaries and Records of These Occurrences	5 years following the year records were created	Destroy
Medical Exams Material Safety Data Sheets and Exposure to Toxic Substances Records Relating to Injuries and Illnesses	Duration of the employees job tenure plus 30 years	Destroy
Insurance Policies (Liability, Property, Workers' Comp and Other Policies	7 years after the end of the fiscal year in which the record was created	Destroy
Worker's Comp Claims	7 years after settlement	Destroy
Motor Vehicle Record Review Consent Forms and Results	7 years after the end of the fiscal year in which the record was created	Destroy
Insurance Claim Records	7 years after the settlement	Destroy

Bursar's Office

Record Type	Office Retention Period	Final Disposition
Tuition and Fees Schedules	Permanent	Copy to Archives
1098T and related work papers	7 years after the end of the fiscal year in which the records were created	Destroy
Folders Containing Daily Deposit Information	7 years after the end of the fiscal year in which the records were created	Destroy
Unpaid Accounts Receivable	3 years after settlement of unpaid account	Destroy
Perkins Loan Repayment Records	Until the loan is satisfied or the documents are needed to enforce the obligation	Destroy
Perkins Original Promissory Notes	3 years from the date the loan is repaid, assigned, to Education Department, or cancelled.	Destroy
Daily Cash Counts	7 years after the end of the fiscal year in which the records were created	Destroy
Collection (Precollect Letters and Collection Agency Communications)	7 years after the end of the fiscal year in which the records were created	Destroy
Auxiliary Reports- Bookstore and Meal Plan Reports	7 years after the end of the fiscal year in which the records were created	Destroy
Third Party Billing Invoice Copies	7 years after the end of the fiscal year in which the records were created	Destroy

Finance

Record Type	Office Retention Period	Final Disposition
Recognition of Tax Exempt Status	Permanent	Copy to Archives
Annual endowment fund reports	Permanent	Copy to Archives
Chart of Accounts	Permanent	Copy to Archives
General Ledger	Permanent	Copy to Archives
Audited Financial Statements	Permanent	Copy to Archives
Audit Report	Permanent	Copy to Archives
Deeds	Permanent	Copy to Archives
Final SACS reports	Permanent	Copy to Archives
IPED Reports	Permanent	Copy to Archives

Records Retention Schedule

Policy and Procedure Documents	Permanent	Copy to Archives
Tax Returns and Supporting Documentation (990, 990T, 1042, 5500, and 1041)	Permanent	Copy to Archives
Correspondence to the Internal Revenue Service	Permanent	Copy to Archives
Canceled Checks CD ROM	7 years after the end of the fiscal year in which the records were created	Destroy
Purchasing Card Agreement Forms – Electronic Copy	5 years after employment ends	Destroy
Sales Tax Returns	7 years after the end of the fiscal year in which the records were created	Destroy
Payroll Tax Returns (941, 940, State Unemployment Returns, as well as, State and City Payroll Withholding Returns)	7 years after the end of the fiscal year in which the records were created	Destroy
Employer Copies of Forms W-2 and W-3	7 years after the end of the fiscal year in which the records were created	Destroy
1098 Mortgage Interest Statements	7 years after the end of the fiscal year in which the records were created	Destroy
Records Indicating Reason for Difference Between Total Tax Payments and Actual Tax Payments	7 years after the end of the fiscal year in which the record was created	Destroy
Audit Work Papers	7 years after the end of the fiscal year in which the records were created	Destroy
Records Documenting Legal Cases	6 years after final settlement	Destroy
Monthly Financial Statements	7 years after the end of the fiscal year in which the records were created	Destroy
Conflict of Interest Disclosure Forms	4 years after the year in which the document is created	Destroy
Budget Records	7 years after the end of the fiscal year in which the records were created	Destroy
Journal Entries and back up information	7years after the end of the fiscal year in which the records were created	Destroy
Account Reconciliations	7 years after the end of the	Destroy

	fiscal year in which the records were created	
Fixed Asset Records (Including fixed asset reconciliations, invoices, and depreciation schedules)	7 years after the end of the fiscal year in which the records were created	Destroy
Banking Records (Bank Statements & Reconciliations, Voided and Cancelled Checks)	7 years after the end of the fiscal year in which the records were created	Destroy
Subsidiary Ledgers	7 years after the end of the fiscal year in which the records were created	Destroy
Records of Funds Deposited (I.E. bank deposit slips, cashier reports, receipt books, invoices, 1099 misc. income, and credit card charge slips)	7 years after the end of the fiscal year in which the records were created	Destroy
EFT Confirmations	7 years after the end of the fiscal year in which the records were created	Destroy
Records of Funded Grants	6 years after the submission of the final report	Destroy
Records of Unfunded Grant Applications	1 year after the fiscal year in which the document was created	Destroy
Contracts and Agreements	7 years after all obligations end	Destroy
Internal General Correspondence	3 years after the end of the fiscal year in which the records were created	Destroy
Correspondence to External Agencies	3 years after the end of the fiscal year in which the records were created	Destroy
Inventories	7 years after the end of the fiscal year in which the records were created	Destroy
Trial Balances	7 years after the end of the fiscal year in which the records were created	Destroy
Bookstore Sales and COGS Reports	7 years after the end of the fiscal year in which the records were created	Destroy
Purchasing Card Monthly Statements as well as Supporting Receipts and Forms	7 years after the end of the fiscal year in which the records were created	Destroy
Records Documenting Foreign Currency Exchanges	7 years after the end of the fiscal year in which the records were created	Destroy

Purchasing

Record Type	Office Retention Period	Final Disposition
Records Documenting Sealed Bids	Permanent	Copy to Archives
W-9 Forms	Permanent	Copy to Archives
Requisition and Purchase Orders and supporting documentation	7 years after the end of the fiscal year in which the records were created	Destroy
Leases	7 years after all obligations end	Destroy
Contracts and Agreements	7 years after all obligations end	Destroy
Mortgages and Security Agreements	7 years after all obligations end	Destroy
Other Bids	10 Years after the award of the contract	Destroy
Equipment Warranties	Life of Equipment	Destroy

Accounts Payable

Record Type	Office Retention Period	Final Disposition
1099 Reports and Copies	7 years after the end of the fiscal year in which the records were created	Destroy
Employee Reimbursement Documentation	7 years after the end of the fiscal year in which the records were created	Destroy
Packet Containing Check Request, Check Voucher, Receipts/Invoice, and Copy of the Check	7 years after the end of the fiscal year in which the records were created	Destroy
Travel & Expense as well as attached receipts	7 years after the end of the fiscal year in which the records were created	Destroy
Positive Pay File Sent to the Bank	1 month from the creation of the file	Destroy

Financial Planning

Financial Aid

Record Type	Office Retention Period	Final Disposition
Financial Aid Records	3 years from graduation or date of last attendance	Destroy
Pell and Teach Grants	3 years from the end of the award year for which the aid was awarded	Destroy
Campus-Based Programs (Perkins, SEOG, Federal Work Study)	3 years from the end of the award year for which the aid was awarded	Destroy
FISAP and Supporting Documents	3 years from the end of the award year in which the report was submitted	Destroy
Perkins Repayment Records including original repayment schedule, though manner of retention remains same as promissory note	Until the loan is satisfied, or the documents are needed to enforce the obligation	Destroy
Perkins Original Promissory Notes	3 years from the date the loan is assigned to ED, canceled or repaid	Destroy
Direct Loans & FFEL Records Related to Borrower's Eligibility and Participation	3 years from the end of the award year in which the student last attended	Destroy
All Other Records, Including Any Other Reports or Forms	3 years from the end of the award year in which the report was submitted	Destroy
Alabama National Guard Educational Assistance Program (ANGEAP) Records	5 years after date of certification of application	Destroy
Alabama Student Grant (ASG) and Alabama Student Assistance Program (ASAP) Records	5 years from the end of the award year for which the aid was awarded	Destroy
Alabama G.I. and Dependent's Educational Benefit Records	8 years from the date of the certification of eligibility	Destroy
U.S. GI and Dependent's Educational Benefit Records	3 years after the termination of enrollment	Destroy

Institutional Advancement

Non-Confidential Alumni Records

Record Type	Office Retention Period	Final Disposition
Any documents pertaining to regular alumni affairs activities such as promotional materials, rosters, and meeting notes.	Retain 3 Years	Archives

Gift Records

Any records that document gifts made to the college such as receipts, pledge reminders, deposit receipts, gift documentation, and Colleague batch reports	Retain 7 Years	Destroy

Original Gift Agreements

This includes signed scholarship agreements, memoranda of understanding, and other gift agreements.	Permanent	Office Retention

Planned Gifts (trusts, life income, annuities) & Real Estate Gifts

This includes original policy agreements, yearly account statements, legal documents regarding the planned gift, and correspondence.	Permanent	Office Retention

Fundraising Solicitation Materials

This includes proposals, pledge cards, and pamphlets used to solicit donors.	Retain 5 Years	Destroy

Institutional Effectiveness and Assessment

Department

Record Type	Office Retention Period	Final Disposition
Accreditation Records – Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC)	Permanent	Copy to Archives
Assessment Reports – Administrative and Academic Units; General Education	Permanent	Office Retention
Data Reports – Surveys, Reviews, Self-Studies	Permanent	Office Retention
Focus Group Reports	Permanent	Office Retention
Original Completed Surveys	5 years from date of administration	Destroy

President

Governance

Record Type	Office Retention Period	Final Disposition
Board of Trustee By-Laws	Permanent	Archives
Board and Committee Minutes	Permanent	Archives
College Charter	Permanent	Archives
Amended and Restated Certificate of Formation	Permanent	Archives
Mission Statement	Permanent	Archives
Strategic Plan	Permanent	Archives

Student Development

Department Records

Record Type	Office Retention Period	Final Disposition
Student Conduct/Discipline Records (hard copy and electronic)	7 years from last term of enrollment, except when expulsion was final outcome	Destroy; Only exception encompasses files with expulsion outcomes, which are maintained permanently in Student Development
Enrolled Student files (received from Admission after Census Day each year)	4 years from graduation for alumni; 7 years from last enrollment term for early departures	Destroy
Counseling Files	7 years from last term of enrollment	Destroy
Health Services Files	10 years from last term of enrollment	Destroy
Disability Accommodations Files	7 years from last term of enrollment	Destroy
Student Handbook	Annual and ongoing review and revisions, with new versions superseding prior versions	Archived in Student Development, in print and electronically
Yearbook	Annual publication, maintained as permanent record	Archived in Student Development and Archives
Student Government Records	7 years	Archived in Student Development, through electronic means
Orientation Publications	3 years	Archived in Student Development, in print and electronically