

# **Auburn University at Montgomery**

## **Policies and Procedures**

**Title:** Document Retention Policy

**Responsible Office:** Records Management Office

### **I. PURPOSE**

The purpose of this policy is to establish guidelines for the University to comply with records retention schedules that have been established by the State of Alabama State Records Commission.

### **II. POLICY**

As a public university, Auburn University at Montgomery (AUM) must comply with records retention schedules that have been established by the State of Alabama. The Archives & Special Collections unit has been designated as the University Liaison to the State Records Commission by the Chancellor's Office to ensure that AUM maintains compliance with these practices. The Public Universities of Alabama-Records Disposition Authority, created by the State Records Commission with members of public universities in Alabama, is the primary document used by AUM to identify how long certain records should be kept. These retention schedules have been created to protect the University from litigation and other instances where documentary evidence may be necessary.

It is the responsibility of the disposing department to follow the AUM General Records Schedule. Before destroying any records, the disposing department must comply with the official disposition procedures maintained by AUM Archives & Special Collections. This will ensure that the records have passed the scheduled retention date required by the state and federal governments.

### **III. EFFECTIVE DATE**

May 1, 2023

### **IV. APPLICABILITY**

This policy is applicable to all faculty, staff, students, and vendors/contractors.

### **V. RESPONSIBILITY**

AUM Archives & Special Collections implements and administers the policy.

### **VI. DEFINITIONS**

N/A

### **VII. PROCEDURES**

The disposing department must use the AUM General Records Schedule to find the proper title for the records to be disposed. The disposing department must then complete the Records Disposition Form found on the AUM library website. The department must include the record titles, the quantity, and number of boxes for each item, or in the case of

electronic records the file size. The completed disposition form must be returned to AUM Archives & Special Collections in the library. A representative will review the form and materials before the items can be disposed. Archives & Special Collections will provide a signed copy of the disposition form back to the disposing department.

After the form has been received back, the disposing department can proceed to destroy the documents and/or electronic files. Destruction of documents need to follow all applicable university policies including the proper disposal of sensitive information. AUM Archives & Special Collections can provide guidance of appropriate disposal mechanisms including shredding services.

#### **VIII. SANCTIONS**

Employee violations of this policy or the protection standards created to implement this policy will be considered a Group I infraction under the University Personnel Manual and is subject to disciplinary action, up to and including dismissal. Violations by others may be subject to other appropriate sanctions, including termination of contractual relationships.

#### **IX. EXCLUSIONS**

NONE

#### **X. INTERPRETATION**

The AUM Chancellor has the authority to interpret this policy.

APPROVAL TO PROCEED: 

DATE: 4/18/23

#### **APPENDICES**

AUM Records Disposition Form

**AUM Library**  
**Archives & Special Collections Electronic Records Disposition Form**

Return to:  
Archives & Special Collections  
802 Library Tower

Contact:  
Ph: ext. 3213  
Email: [smcneill@aum.edu](mailto:smcneill@aum.edu)

Department/Office: \_\_\_\_\_ Date: \_\_\_\_\_

Room No.& Building: \_\_\_\_\_ Phone: ext. \_\_\_\_\_

Contact Person: \_\_\_\_\_ E-mail: \_\_\_\_\_

Records/Document Title	Inclusive Dates (month/year)	Volume Disposed (Total Bytes)
<b>NOTE:</b> You can report volume disposed as MB, KB, GB, or TB  <b>Totals:</b>		0.0

**DO NOT DESTROY THESE RECORDS UNTIL YOU RECEIVE BACK A  
SIGNED COPY OF THIS FORM.**

**CLEAR FORM**

Please answer the following questions:

Are copies of these documents also stored either on microfilm or in an electronic format?

Yes ☐ No ☐

Will your department/office require assistance with shredding these records?

Yes ☐ No ☐ If so, please contact the Archives to arrange transfer of the records.  
Note that there is a per box charge which will be billed to your  
department or office.

\_\_\_\_\_  
Samantha McNeilly, University Liaison to the  
State Records Commission

\_\_\_\_\_  
Date