

**Alabama State Board of Pharmacy**

**Functional Analysis  
&  
Records Disposition Authority**

**Revision  
Presented to the  
State Records Commission  
January 25, 2001**

## Table of Contents

Functional and Organizational Analysis of the Alabama State Board of Pharmacy .....	<a href="#"><u>1-1</u></a>
Sources of Information .....	<a href="#"><u>1-1</u></a>
Agency Organization .....	<a href="#"><u>1-1</u></a>
Historical Context .....	<a href="#"><u>1-1</u></a>
Agency Function and Subfunctions .....	<a href="#"><u>1-2</u></a>
Promulgating Rules and Regulations .....	<a href="#"><u>1-3</u></a>
Licensing .....	<a href="#"><u>1-3</u></a>
Approving Pharmacy Educational Programs .....	<a href="#"><u>1-4</u></a>
Investigating Complaints or Violations .....	<a href="#"><u>1-4</u></a>
Administering Internal Operations .....	<a href="#"><u>1-4</u></a>
Organizational Chart .....	<a href="#"><u>1-5</u></a>
Analysis of Record Keeping System and Records Appraisal of the Alabama State Board of Pharmacy .....	<a href="#"><u>2-1</u></a>
Agency Record Keeping System .....	<a href="#"><u>2-1</u></a>
Records Appraisal .....	<a href="#"><u>2-1</u></a>
Temporary Records .....	<a href="#"><u>2-1</u></a>
Permanent Records .....	<a href="#"><u>2-2</u></a>
Permanent Records List .....	<a href="#"><u>2-5</u></a>
Alabama State Board of Pharmacy Records Disposition Authority .....	<a href="#"><u>3-1</u></a>
Explanation of Records Requirements .....	<a href="#"><u>3-1</u></a>
Records Disposition Requirements .....	<a href="#"><u>3-2</u></a>
Promulgating Rules and Regulations .....	<a href="#"><u>3-2</u></a>
Licensing .....	<a href="#"><u>3-2</u></a>
Approving Pharmacy Educational Programs .....	<a href="#"><u>3-4</u></a>
Investigating Complaints or Violations .....	<a href="#"><u>3-4</u></a>
Administering Internal Operations .....	<a href="#"><u>3-4</u></a>
Approval of Records Disposition Authority .....	<a href="#"><u>3-8</u></a>

# **Functional and Organizational Analysis of the Alabama State Board of Pharmacy**

## **Sources of Information**

### **Representatives of the Alabama State Board of Pharmacy:**

Jerry Moore, Executive Director/ Secretary  
George R. Bolling, President  
Tom Alford, Vice-President  
Sam Costello, Treasurer  
Mitzi Ellenburg, Assistant to the Executive Director

Code of Alabama 1975, Sections 34-23-1 through 34-23-118  
Code of Alabama 1975, Section 41-20-1 through 41-20-16 (Sunset Law)  
Code of Alabama 1975, Section 41-22-1 through 41-22-27 (Administrative Procedures Act)  
Alabama Administrative Code, Chapters 680-X-1 through 680-X-3  
Alabama Government Manual (1998)  
Alabama Board of Pharmacy Newsletter (1983-2000)  
Government Records Division, State Agency Files (1989-ongoing)

## **Agency Organization**

The Alabama State Board of Pharmacy is composed of five pharmacists. Three of these pharmacists are appointed by the governor, while the remaining two are chosen through an election process supervised by the Alabama Pharmacists Association. Members serve five-year terms, and no more than two five-year terms may be consecutive. The board meets at least three times annually to conduct business. The basic operations of the board are carried out by the executive director and a small staff of employees. An organizational chart is attached.

## **Historical Context**

In February 1887, the legislature established the State Board of Pharmacy to regulate the practice of pharmacy and sale of poisons in the state. The board was composed of three prominent pharmacists who had been residents of the state and practitioners of the profession for at least five years. One member served for one year, one for two years, and one for three years. The board was required to register the names and places of residence of all persons to whom it issued certificates and the dates thereof. The board was authorized to register, without examination, all pharmacists and druggists doing business in the state within 60 days of the passage of the Act of February 1887. The board was authorized to administer examinations, either written or oral, to those persons desiring to conduct the business of selling at retail; compounding or dispensing drugs, medicines, or chemicals for medical use; or compounding or dispensing physicians' prescriptions as pharmacists. Those individuals who failed to pass the examination had to then wait for one year to retake the examination.

In February 1889, the legislature made it illegal for anyone who was not a registered pharmacist to operate a pharmacy, drug store, or apothecary shop in any village, town or city of more than 900 inhabitants, or within two miles of any incorporated city or town of more than 900 inhabitants. In February 1897, the legislature amended the latter to 500 inhabitants.

In September 1923, the State Board of Pharmacy was restructured to consist of five persons, all of them members of the Alabama Pharmaceutical Association and with at least 10 years of practical experience in pharmacy. The members of the board were appointed by the governor for a term of five years, based on recommendations of the Alabama Pharmaceutical Association. No two members of the board could reside in the same county. The board elected from among its members a president and a treasurer, and hired a secretary. All of the elected board served for one year. The board was required to meet at least once a year to administer examinations. It was authorized to define and designate non-poisonous domestic remedies; to adopt rules, regulations and by-laws which were not inconsistent with the laws of the state; and to employ an attorney to assist in prosecutions of violations of board regulations. The board was required to keep a record of its proceedings, a register of all persons issued certificates of license as a pharmacist or assistant pharmacist; and a register of all apprentices and permits granted. The board was required to issue annually to the governor and to the Alabama Pharmaceutical Association a written report of its proceedings, receipts, and disbursements, and a list of all persons licensed to practice pharmacy in the state. Applicants for the license of pharmacist had to be at least 21 years old, of good moral character, and had to have been licensed as an assistant pharmacist for at least two years.

After January 1927, applicants also had to be graduates of a college of pharmacy recognized by the American Conference of Pharmaceutical Faculties. In July 1931, the legislature authorized the State Board of Pharmacy to employ a chief drug inspector and two assistant drug inspectors, whose duty it was to enforce the rules and regulations of the board. That same year, the board adopted the same standards and degree requirements that were used by the colleges of pharmacy in Alabama.

In May 1975, the legislature amended the act of August 1966 to bring pharmacy internship requirements in line with the National Association of Boards of Pharmacy, to set reciprocity fees, to establish rules for examination requiring additional preparation in the event of repeated failures, and to limit the number of additional examinations allowed. In April 1990, the legislature expanded the grounds for disciplinary action to include the violation of a rule or regulation of the State Board of Pharmacy. In May 1993, the legislature passed an act to continue the existence of the Alabama State Board of Pharmacy, with certain modifications in relation to the Alabama Sunset Law. The legislature amended Sections 20-2-90, 34-23-90, and 34-23-91, Code of Alabama 1975, to provide requirements for drug inspection by the board; provide further for the qualifications, nomination, election, and appointment of board members; and provide further for reimbursement for relief pharmacists.

## **Agency Function and Subfunctions**

The mandated function of the Alabama State Board of Pharmacy is to provide for the regulation and licensure of the practitioners of pharmacy in Alabama and the enforcement of pharmaceutical laws

in the state. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975, Section 34-23-92, authorizes the board to adopt rules concerning the records and reports to be kept and made by a pharmacy relating to the filling of prescriptions and the handling and preservation of drugs; to fix standards and requirements for licenses and permits; to make rules and regulations regarding pharmacy sanitation consistent with state health regulations; and to adopt rules and regulations for the administration and enforcement necessary to implement the Alabama Administrative Procedures Act. This subfunction encompasses activities pertaining to the development of rules, regulations, and procedures for licensure.
- **Licensing.** The Code of Alabama 1975, Sections 34-23-50 through 34-23-53, authorizes the board to screen and examine applicants for licensure to practice pharmacy. All pharmacists must be licensed by the board to dispense any prescriptions in the state. Each applicant must be at least 19 years of age, of good moral character; have completed an approved practical training program under the supervision of a licensed pharmacist in a pharmacy recognized by the board as qualified for training; have a professional degree from a division, school, college, or a university department of pharmacy recognized by the Alabama Board of Pharmacy; and have passed all examinations as prescribed by the board.

Each applicant must file his/her application for licensure with the secretary of the board at least 10 days prior to the examination and must submit two recent photographs that have been certified by a notary public. The applicant must pass an examination administered by the board in subjects consistent with those required by the National Association of Boards of Pharmacy and in accordance with the rules and regulations of the board. If the applicant fails the first examination, he/she has three years to pass a second or third examination. If an applicant fails a third examination, he/she is eligible for only one additional examination, and only after satisfactorily completing additional preparation as directed and approved by the board.

Any person holding a professional degree in pharmacy from a school of pharmacy recognized by the board, who is pursuing his/her education as a pharmacist and is serving his or her internship/externship under the immediate and direct supervision of a pharmacist registered by the board, shall be permitted to compound and/or dispense prescriptions. The board may issue a license without examination to an applicant who furnishes satisfactory proof that he/she has been licensed to practice pharmacy by examination in another state that under similar conditions grants reciprocal licensure without examination to pharmacists duly licensed by examination in this state, provided that the requirements in the state from which the applicant is reciprocating were no less than the requirements of the National Association of Boards of Pharmacy. The applicant must also be interviewed by two or more members of the board and must pass a written examination on the laws governing the practice of pharmacy in the State of Alabama. The applicant shall be approved for reciprocity prior to the time that he/she begins the duties of a licensed pharmacist in this state.

All licensees must renew their respective license annually. All certificates of licensure expire on December 31 following the date of issue. Every pharmacist, in order to continue to be licensed, must pay an annual renewal fee by the last day of February each year. Any licensee failing to renew the license or pay the renewal fee by the last day of February must pay a penalty fee to be reinstated. If the lapsed time of registration exceeds five years, the reinstatement will require re-examination by the board.

- **Approving Pharmacy Educational Programs.** In accordance with Alabama Administrative Code, Chapter 680-X-3-.04, the secretary of the board shall review and approve proposed programs and courses that may be used to meet the board's continuing education requirements. The secretary will certify such programs for credit using policies and guidelines of the board that, from time to time, may be restated, revised, or amended as necessary. Representatives from each school of pharmacy and all professional societies and associations may make recommendations on continuing education matters. All submissions of proposed programs must be on forms furnished by the Alabama State Board of Pharmacy and submitted to the board office for review. All submissions must reach the board office no less than 30 days prior to the announced dates of the program to be eligible for review.
- **Investigating Complaints or Violations.** Code of Alabama 1975, Section 34-23-3, authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules and regulations through the employment of state drug inspectors. State drug inspectors must report to the board all violations of the laws relating to pharmacy and the rules and regulations of the board. It shall be the duty of the state drug inspectors to issue citations for violations of such laws, rules, or regulations to institute criminal proceedings against persons for such violations. When authorized by the board and where there are specific complaints, the state drug inspectors shall have the right to inspect all records, shipping tickets, or any other documents pertaining to the transfer of drugs or drug preparations. The state drug inspectors shall have the authority to inspect all prescription files, prescription record books, exempt narcotic registers, and any other records pertaining to the filling and filing of prescriptions. It shall be the duty of the state drug inspectors to take possession of all revoked and/or suspended licenses and permits when such licenses and permits are not surrendered voluntarily to the board by the person or pharmacist whose license or permit has been revoked or suspended.
- **Administering Internal Operations.** A significant portion of the board's work includes general administrative, financial, and personnel activities performed to support its programmatic areas including:

**Managing the agency:** Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

**Managing finances:** Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process; investing; and issuing bonds.

**Managing human resources:** Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

**Managing properties, facilities, and resources:** Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

## **Attachment: Organizational Chart**

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Pharmacy**

## **Agency Record Keeping System**

The Alabama State Board of Pharmacy currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Most of the board's records are maintained in paper form and stored on-site.

Computer Systems: The board currently has a PC-based system made up of IBM P50's with six individual work stations and five laptop computers. The board has a server and uses software customized by Vertical Integrated Computer Services (VICS). Databases are backed up each day on magnetic tape and stored in a fireproof safe. The five tapes are reused every week for the corresponding day. The board has a web site at <http://www.albop.com>. Information on the site includes: applications, laws, rules, the quarterly newsletter, continuing education provider list, and a calendar of scheduled meetings. All information is also available in paper format.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Alabama State Board of Pharmacy: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Alabama State Board of Pharmacy Licensure Files.** The board is responsible for examining and licensing applicants as pharmacists. These files serve as evidence of the scope of a licensee's professional practice in this state. A typical licensure file documents the licensee's professional career in Alabama and may contain a completed licensure application form, examination records, copies of diplomas and transcripts, and evidence of continuing education. To ensure the availability of this file during the professional career of the licensee, the recommended retention for the file is 25 years after the end of the fiscal year in which the licensee becomes inactive.
- **Complaint and Violation Investigation Files.** The board creates a complaint and/or violation investigation file after receiving a complaint against a licensee. The board then appoints a state drug inspector to conduct an investigation. If the inspector determines that the complaint or violation is founded, the board contacts the licensee to settle the matter. If no

settlement is reached, the board holds a hearing. The board staff files documentation of any settlement or results of a hearing in the Complaint and Violation Investigation Files. The board uses these files to ensure the licensees follow the terms of the settlements and hearing decisions and to protect the public from repeat offenders. The recommended retention for founded complaints or violations is ten years after the end of the fiscal year in which the licensee becomes inactive. Recommended retention of files with unfounded complaints or violations is seven years after the end of the fiscal year in which the record was created. Records documenting founded complaints and violation are located in the meeting minutes of the board, a permanent record.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

**Promulgating Rules and Regulations:**

- **Meeting Minutes of the Board.** The board is obligated to hold a minimum of three regular meetings each year. Information in meeting minutes may include review and approval of pharmacy educational programs, reports from the board's officers and various internal committees/task forces, actions of the board on applicants, and disciplinary actions. The minutes of these meetings are necessary to document the actions of the board and its members. These records are the best source of information about the functions of the board and the creation of its policy. (RDA page 3-2) **(Bibliographic Title: Meeting Minutes)**
  
- **Informational Publications.** These publications document the board's efforts in communicating with the public regarding pharmacy education and practice, licensure procedures, and other board related services. Publications include, but are not limited to, the Controlled Substances Act, the Practice of Pharmacy Act, the Alabama Administrative Code, and the Alabama State Board of Pharmacy Quarterly Newsletter. The board has transferred its quarterly newsletters from 1983-2000 to the Archives. (RDA page 3-2) **(Bibliographic Title: Informational Publications)**

**Licensing:**

- **Roster of Licensed Pharmacists.** These records document the board's licensure function and help to show how the practice of pharmacy is regulated in the State of Alabama. The register of licensees is maintained in bound volumes and 5x8 file cards and covers the period from 1890 to the present. Information available in the register may include name, race, address, continuing education credits, application information, suspended or revoked licenses, and licensure data. (RDA page 3-2) **(Bibliographic Title: Registers of Licensed Pharmacists)**
  
- **Roster of Registered Pharmacies, Wholesalers, Distributors, Technicians and Drug Manufacturers.** These records document the board's licensure function and help to show how the practice of pharmacy is regulated in the State of Alabama. The roster of registered pharmacies, wholesalers, et. al., is maintained in bound volumes and 5x8 file cards and covers

the period from 1930 to the present. Information available may include name, address, application information, suspended or revoked licenses, and licensure data. (RDA page 3-3) **(Bibliographic Title: Register of Pharmacies, ect.)**

- **Annual Roster of Pharmacists.** These records are generated annually from the Alabama State Board of Pharmacy licensure database. This series is necessary to document information such as who is licensed in Alabama as well as statistical data for any specific year. (RDA page 3-3) **(Bibliographic Title: Annual Rosters )**
- **Licensure Examination Questions.** The board creates questions to be used in the examination of the pharmacy licensure candidates. This series is necessary in documenting the change in focus of testing for licensure over time. (RDA page 3-3) **(Bibliographic Title: Exams and Answers for State Licensure)**

#### **Approving Pharmacy Educational Programs:**

- **Pharmacy Educational Program Approval Files.** The board prescribes standards and approves curricula for pharmacy educational programs. This series documents essential data on all pharmacy educational programs from initial approval until closure and provides valuable information on the education required for license as a pharmacist. These records document the basic concerns and education required for licensure as a pharmacist in the State of Alabama. (RDA page 3-4) **(Bibliographic Title: Approval Files for Educational Programs)**

#### **Investigating Complaints or Violations:**

- **Orders of the Board.** When the board has determined that a licensee violated one or more of the board's rules and/or statutes, the board will enter a separate order to fine, suspend or revoke the license. The final outcome of the hearing is documented in the Orders of the Board. These records document the board's function of enforcement of the state's pharmaceutical laws. (RDA page 3-4) **(Bibliographic Title: Orders of the Board)**

#### **Administering Internal Operations:**

- **Annual Reports.** In compliance with Code of Alabama 1975, Section 34-23-92(f), the board prepares an annual report to the governor. Contents of the annual report may include names of the board members and the board staff, annual goals and objectives, operational reports, statistical report of pharmacist population and pharmacy education, names of all registrants licensed during the period, a record of all permits issued during the period, and statements of fund operation. Annual reports provide the best summary documentation of the board's function and activities. (RDA page 3-4) **(Bibliographic Title: Annual Reports)**
- **Administrative Correspondence.** These records include correspondence with state officials, legal/advisory opinion correspondence, correspondence documenting insurance coverage, correspondence between the board and the director, and correspondence between the Board of

Pharmacy and other state agencies. Because the records document the policies and procedures of the board and how the board interacts with other agencies/ boards, the records are deemed permanent. (RDA page 3-4) (**Bibliographic Title: Administrative Correspondence**)

## **Permanent Records List**

### **Alabama State Board of Pharmacy**

#### **Promulgating Rules and Regulations:**

1. Meeting Minutes of the Board
2. Informational Publications

#### **Licensing:**

1. Roster of Licensed Pharmacists
2. Roster of Registered Pharmacies, Wholesalers, Distributors, Technicians, and Drug Manufacturers
3. Annual Roster of Pharmacists
4. Licensure Examination Questions

#### **Approving Pharmacy Educational Programs:**

- \*1. Pharmacy Educational Program Approval Files

#### **Investigating Complaints or Violations:**

1. Orders of the Board

#### **Administering Internal Operations:**

1. Annual Reports
2. Administrative Correspondence

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. (ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.)

# Alabama State Board of Pharmacy Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama State Board of Pharmacy. The RDA lists records created and maintained by the Alabama State Board of Pharmacy in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama State Board of Pharmacy records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Office Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs,

trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete, (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

- Any record created by the board prior to 1900 shall be regarded as permanent unless there is a specific action by the State Records Commission to authorize its destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Alabama State Board of Pharmacy and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Promulgating Rules and Regulations**

MEETING MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

INFORMATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Register of Administrative Rule Filings

Disposition: Retain in Office (Code of Alabama 1975, Section 41-22-6).

### **■ Licensing**

ROSTER OF LICENSED PHARMACISTS

Disposition: PERMANENT RECORD.

ROSTER OF REGISTERED PHARMACIES, WHOLESALERS, DISTRIBUTORS, TECHNICIANS,  
AND DRUG MANUFACTURERS

Disposition: PERMANENT RECORD.

Temporary License Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the license is expired.

Alabama State Board of Pharmacy Licensure Files

Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the licensee becomes inactive.

Alabama Board of Pharmacy Licensure Database

Disposition: Temporary Record. Retain for useful life.

ANNUAL ROSTER OF PHARMACISTS

Disposition: PERMANENT RECORD.

Voided Licenses

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama State Board of Pharmacy Licensure Renewal Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama State Board of Pharmacy Licensure Renewal Database

Disposition: Temporary Record. Retain for useful life.

Alabama State Board of Pharmacy Licensure Examinations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

LICENSURE EXAMINATION QUESTIONS

Disposition: PERMANENT RECORD.

Incomplete Applicant Examination Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Licensure Applications Not Resulting in Licensure

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Extern/ Intern Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the extern /internship ended.

## ■ **Approving Pharmacy Educational Programs**

### PHARMACY EDUCATIONAL PROGRAM APPROVAL FILES

Disposition: PERMANENT RECORD.

#### Approved Continuing Education Program Provider Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the course is no longer effective.

## ■ **Investigating Complaints or Violations**

### ORDERS OF THE BOARD

Disposition: PERMANENT RECORD.

#### Complaint and Violation Investigation Files

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the licensee becomes inactive.

#### Complaint and Violation Investigation Files Not Resulting in Formal Disciplinary Actions

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the records were created.

#### Probationary Files

Disposition: Temporary Record. Retain 5 years after end of the fiscal year in which the probationary period was completed.

#### Probationary Summary Sheets

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the licensee becomes inactive.

## ■ **Administering Internal Operations**

### **Managing the Agency:**

#### ANNUAL REPORTS

Disposition: PERMANENT RECORD.

#### ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

#### Board Member Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

#### Board Appointment Letters

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the term

expires.

#### Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, destruction notices, annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Copies of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. 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 records have been migrated to a new system.

#### **Managing Finances:**

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the State Treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property  
Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses  
Disposition: Retain in office (Code of Alabama 1975, Section 41-16-24).

#### Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

#### **Managing Human Resources:**

##### Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

##### Application Materials

Disposition: Temporary Record. Retain 1 year.

##### Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

##### Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

##### Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

##### Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

##### Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

##### Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

##### Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

##### Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

### **Managing Properties, Facilities, and Resources:**

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

## Approval of Records Disposition Authority

By signing this agreement the Alabama State Board of Pharmacy acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama State Board of Pharmacy will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the board, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in January of each year, and for ensuring the regular implementation of the board's approved RDA.
- Permanent records in the Alabama State Board of Pharmacy's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The Alabama State Board of Pharmacy should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama State Board of Pharmacy agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the board's staff in RDA implementation and otherwise assist the board in implementing its records management program.

This records disposition authority is hereby adopted.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Jerry Moore, Executive Director/ Secretary  
Alabama State Board of Pharmacy

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Edwin C. Bridges, Chairman  
State Records Commission