Alabama State Board of Pharmacy

Functional Analysis
&
Records Disposition Authority

Revision
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Sources of Information

- Representatives of the Alabama State Board of Pharmacy
- Code of Alabama 1975 § 20-2-1 through 20-2-284
- Code of Alabama 1975 § 34-23-1 through 34-23-187
- Code of Alabama 1975 § 34-38-1 through 34-38-8
- Code of Alabama 1975 § 41-20-1 through 41-20-16; § 41-22-1 through 41-22-27
- Alabama Administrative Code Chapters 680-X-1 through 680-X-3
- 21 CFR 203-205 (Prescription Drug Marketing Act)
- H.R. 3204 (Drug Supply Chain Security Act)
- Alabama Board of Pharmacy Newsletters (1983-ongoing)
- Archives Division, State Agency Files (1989-ongoing)

Historical Context

The Alabama legislature established the State Board of Pharmacy in February 1887 to regulate the practice of pharmacy and the sale of poisons. The board was originally comprised of three prominent pharmacists who served staggered terms. Members were required to have been residents of the state and practitioners of the pharmaceutical profession for at least five years.

Explanatory note: The Code of Alabama 1975 § 34-23-1 (20) defines poison as “any substance other than agricultural products and pesticides which when applied to, introduced into, or developed within the body in relatively small quantities by its inherent chemical action uniformly produces serious bodily injury, disease, or death.” In the field of medicine, poisons may be differentiated from venoms and toxins, both of which are naturally produced by organisms in nature. Substances with valid pharmaceutical properties can become poisonous in excessive quantity; for example, the synthetic opioid fentanyl can be therapeutic or poisonous depending on its dosage.
All pharmaceutical professionals currently doing business in Alabama at the time of the act’s passage received a sixty-day grace period to register with the board. The board issued certificates to these persons and maintained a register of names, places of residence, and dates of certification. The legislation authorized the board to administer examinations to those persons desiring to sell pharmaceuticals at retail; to compound or dispense drugs, medicines, or chemicals for medical use; or to compound and/or dispense physician prescriptions. Individuals who failed to pass the examination could retake the examination after a one-year waiting period.

Individuals serving informally as village apothecaries were permitted to continue working unregulated for about a decade. In 1889, the state legislature criminalized the operation of pharmacies, drugstores, or apothecaries by unregistered persons within the limits of any village, town, or city of more than 900 inhabitants, or within two miles of such a populated area. The legislation was amended to include areas populated by as few as 500 inhabitants in February 1897.

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 a decade of practical experience in pharmacy. The governor appointed members of the board for terms of five years based on recommendations of the Alabama Pharmaceutical Association. The board elected from among its members a president and a treasurer and hired a secretary. Its powers included the authorities 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 board regulation violations.

The board met at least once a year to administer examinations during this period by statute. It maintained 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 issued written reports annually to the governor and to the Alabama Pharmaceutical Association detailing the agency’s proceedings, receipts, and disbursements, along with a list of all persons licensed to practice pharmacy in the state.

Applicants for the pharmacist license were required to pass the state examination, be twenty-one (21) years of age, of good moral character, and be licensed as an assistant pharmacist for at least two years prior to applying. Beginning in January 1927, applicants were required to be graduates of a college of pharmacy recognized by the American Conference of Pharmaceutical Faculties in addition to meeting the aforementioned requirements.

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. The Code of Alabama 1975 § 20-2-90 vested the board investigators with the power to investigate, make arrests, seize property, and carry firearms in the course of its duties.

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 (NABP); 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.

The Alabama Uniform Controlled Substances Act was passed during the 1971 legislative session as part of the state’s effort to classify, regulate, and prevent abuse of controlled substances. According to the Code of Alabama 1975 § 20-2-30 through 32, pharmaceuticals are classified within the Uniformed Controlled Substances Act framework into five schedules, ranging from Schedule I (high potential for abuse, no accepted medical use in treatment) to Schedule V (containing limited quantities of codeine, dihydrocodeine, ethylmorphine, diphenoxylate, or opium).

Congress passed the Prescription Drug Marketing Act of 1987, an amendment to federal law enacted “to ensure that drug products purchased by consumers are safe and effective” and “to avoid the unacceptable risk to American consumers from counterfeit, adulterated, misbranded, subpotent, or expired drugs” (U.S. Food and Drug Administration). The act requires the Alabama State Board of Pharmacy and its counterparts to maintain contact information for a variety of facilities that handle pharmaceuticals. The Act was supplemented by the passage of the Drug Supply Chain Security Act of 2013, which increased requirements placed on the pharmaceutical supply distribution chain, specifically around pharmaceutical compounding and prescription drug transaction tracing (H.R. 3204). One component of these requirements was expanded licensure by state pharmacy boards of drug manufacturers, wholesalers, and distributors. As of October 2018, the State Board of Pharmacy now licenses the following types of facilities: 503-B outsourcing facility, manufacturer, manufacturer oxygen, precursor, private label distributor, private label distributor – virtual, re-packager, retail medical oxygen supplier, third party logistics (3PL), wholesaler distributor, wholesaler oxygen, wholesaler reverse distributor, wholesaler virtual.

The state legislature conducted sunset review of the Alabama State Board of Pharmacy in May 1993. Voting to continue the existence of the agency, the legislature amended the Code of Alabama 1975 § 20-2-90, § 34-23-90, and § 34-23-91, to provide more robust requirements for drug inspection by the board; to provide further for the qualifications, nomination, election, and appointment of board members; and to provide further for reimbursement of relief pharmacists.

The stress facing healthcare professionals in various careers has become increasingly understood in the late twentieth and early twenty-first centuries. The state legislature charged the Board of Pharmacy in the 1988 legislative session with a duty and obligation “to promote the early identification, intervention, treatment, and rehabilitation” of professionals within its jurisdictional authority impaired by reason of “illness, inebriation, excessive use of drugs, narcotics, controlled substances, alcohol, chemicals, or other dependent forming substances, or as a result of any physical or mental condition rendering such person unable to meet the standards of his or her profession” (Code of Alabama 1975 § 34-38-2). This legislative statute also applies to the State Board of Dental Examiners. The boards were charged to create, individually or jointly, a committee of professionals to be designated the Alabama Impaired Professionals Committee to carry out these functions. The State Board of Pharmacy Wellness Program (BOPWELLNESS) created according to this directive encourages voluntary reporting,
assists in evaluation and treatment referrals, and cooperates with affected individuals to support re-entry into the field of pharmacy.

The legislature supplemented the Uniform Controlled Substances Act in 2004 with the creation of the Alabama Prescription Drug Monitoring Program (PDMP), a program administered by the Alabama Department of Public Health (ADPH) Pharmacy Division. According to the Code of Alabama 1975 § 20-2-210 through 20-2-220, the ADPH Pharmacy Division maintains a controlled substance prescription database as part of the program. Pharmacists and pharmacies that dispense any Class II, III, IV, V controlled substances are required to report daily the dispensation of these pharmaceuticals to the database (Alabama Department of Public Health). The board coordinates with the ADPH and provides a monthly report of all pharmacies that hold controlled substance permits.

Alabama is the only U.S. state without legislation authorizing collaborative practice between pharmacists and physicians. A strong advocacy movement has arisen in the last decade for the legalization in Alabama of collaborative practice, also called collaborative drug therapy management (CDTM). According to the Academy of Managed Care Pharmacy, pharmacists fulfilling their responsibilities under CDTM agreements may engage in such activities as “implementing or modifying drug therapy of individual patients or groups of patients (patients with diabetes, asthma, hypertension, etc.),” along with “ordering and evaluating the results of laboratory tests directly relating to drug therapy” and checking patient vital signs (2012). Bills concerning CDTM agreements have been presented to the state legislature within the last decade without reaching a floor vote.

**Agency Organization**

The Alabama State Board of Pharmacy is composed of five pharmacists. The governor appoints three of these pharmacists, while the Alabama Pharmacist Association supervises an election process for the remaining two. Members serve five-year terms and may not serve consecutive terms. The board meets at least three times annually to conduct business; however, the basic operations of the board are carried out by the executive director and a small staff of employees.

**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. As such, it is one of the agencies responsible for performing the Regulatory function of Alabama government as described in the “Functional Analysis 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 § 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 board issues the following types of licenses for persons in Alabama: pharmacist, pharmacy technician, intern/extern, preceptor, consultant, and/or nuclear pharmacist.

  *Explanatory note: The Code of Alabama 1975 § 34-23-1 defines an intern as “an individual who is currently licensed by this state to engage in the practice of pharmacy while under the personal supervision of a pharmacist and is satisfactorily progressing toward meeting the requirements for licensure as a pharmacist; or a graduate of an approved college of pharmacy who is currently licensed by the State Board of Pharmacy for the purpose of obtaining practical experience as a requirement for licensure as a pharmacist; or a qualified applicant awaiting examination for licensure.” An extern is defined as “a candidate for licensure as a pharmacist during the time prior to graduation from an accredited college of pharmacy.”*

  The Code of Alabama 1975 § 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 disburse any prescriptions in the state. Each pharmacist 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 (called a preceptor) in a pharmacy recognized by the board as qualified for training; and have a professional degree from a division, school, college or a university department of pharmacy recognized by the Alabama State Board of Pharmacy.

  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 exam administered by the National Association of Boards of Pharmacy. 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.

  The Code of Alabama 1975 § 34-23-130 through 34-23-132 requires pharmacy technicians to register and pay a fee to the board before performing any pharmacy functions.

  The board issues intern/extern licenses to persons pursuing an education as a pharmacist and pursuing a professional degree in pharmacy from a recognized school. Interns/externs
must work under the immediate and direct supervision of a pharmacist registered by the board as a preceptor.

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 examinations in another state with similar licensure conditions as determined by the board and the National Association of Boards of Pharmacists. The pharmacist applicant will be interviewed by two or more members of the board and must pass an 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.

According to the Alabama Administrative Code 680-X-2-.20, “no person may receive, acquire, possess, use, transfer or dispose of any radioactive materials except in accordance with the conditions of a radioactive materials license issued by the State Board of Health.” Nuclear pharmacists receive additional licensure above and beyond the other applicable provisions of the Alabama State Board of Pharmacy and the State Board of Health.

All pharmacists must renew their respective license biennially. All certificates of licensure expire on December 31 every even year. Every pharmacist, in order to continue to be licensed, must pay a biennial renewal fee by the last day of December every even year. Any licensee failing to renew the license or pay the renewal fee by the last day of December, every even year, 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.

The following types of pharmacies may be licensed: chain pharmacy, community pharmacy, institutional pharmacy, nuclear pharmacy, non-resident pharmacy (mail order pharmacy), or pharmacy services. More specifically, the Code of Alabama 1975 § 34-23-30 through 34-23-34 requires every pharmacy, hospital pharmacy, drugstore, pharmacy department, prescription department, prescription laboratory, dispensary, apothecary, or any other establishment with a title implying the sale, offering for sale, compounding, or dispensing of drugs in this state, or any person performing pharmacy services in this state, shall register biennially and receive a permit from the board. The Alabama Administrative Code 680-X-2-.20 also provides for additional regulations for nuclear pharmacies.

Under the authority of the Code of Alabama § 34-23-92 and the federal Drug Supply Chain Security Act, the following facility categories are currently licensed by the board in Alabama: 503-B outsourcing facility, manufacturer, manufacturer oxygen, precursor, private label distributor, private label distributor – virtual, re-packager, retail medical oxygen supplier, third party logistics (3PL), wholesaler distributor, wholesaler oxygen, wholesaler reverse distributor, and/or wholesaler virtual.
Approving Pharmacy Educational Programs. In accordance with the Alabama Administrative Code Chapter 680-X-2-.36, 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 board has used the Accreditation Council for Pharmacy Education (ACPE) to create and manage continuing education since 2010. Pharmacists are required to obtain fifteen (15) ACPE-approved continuing education hours each year, with three of those hours to be obtained via an in-person training session. Pharmacists may “carry forward” up to twelve (12) continuing education hours to the next year, but once carried over, these hours cannot be counted toward in-person education regardless of whether they were completed in-person at the time. Pharmacy technicians are required to obtain three (3) ACPE-approved continuing education hours each year, with one of the three hours to be obtained via an in-person training session (Code of Alabama 1975 § 34-23-131).

Investigating Complaints or Violations. The Code of Alabama 1975 § 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 investigators. State drug investigators must report to the board all violations of the laws relating to pharmacy and the board rules and regulations. It shall be the duty of the state drug investigators 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 investigators 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 investigators 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 investigators 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.

Treating and Rehabilitating Impaired Pharmacists. The Code of Alabama 1975 § 34-38-1 through § 34-38-8 established the Alabama Impaired Professionals' Committee and obligates the board to promote the early identification, intervention, treatment, and rehabilitation of individuals licensed by the board. A pharmacist is deemed to be impaired when the individual is unable to practice with reasonable skill and safety to patients by reason of illness, inebriation, excessive use of drugs, narcotics, controlled substances, alcohol, chemicals, or other dependent forming substances, or as a result of any physical or mental condition rendering such person unable to meet the standards of his or her profession. The board is given the authority to enter into an agreement with a nonprofit corporation, health provider, or professional association to provide these responsibilities.

The State Board of Pharmacy Wellness Program (BOPWELLNESS) created in accordance with statute encourages voluntary reporting, assists in evaluation and treatment referrals, and cooperates with affected individuals to support re-entry into the...
field of pharmacy. BOPWELLNESS monitors pharmacists’ recovery for 5 years following the successful completion of a treatment program.

- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency 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, 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.

  **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; investigating and disciplining.

  **Managing Properties, Facilities, and Resources:** Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property.
Records Appraisal of the Alabama State Board of Pharmacy

The following is a discussion of the three major categories of records created and/or maintained by the board: Temporary Records, Permanent Records, and Records No Longer Created.

Temporary Records

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

- **Pharmaceutical Professional Licensure Database.** The board is responsible for examining and licensing applicants as pharmacist, pharmacy technician, intern/extern, preceptor, consultant, and/or nuclear pharmacist. 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.

- **Pharmacy Licensure Database.** The board is responsible for examining and licensing applicants as chain pharmacy, community pharmacy, institutional pharmacy, nuclear pharmacy, non-resident pharmacy (mail order pharmacy), or pharmacy services. More specifically, the Code of Alabama 1975 § 34-23-30 through 34-23-34 requires every pharmacy, hospital pharmacy, drugstore, pharmacy department, prescription department, prescription laboratory, dispensary, apothecary, or any other establishment with a title implying the sale, offering for sale, compounding, or dispensing of drugs in this state, or any person performing pharmacy services in this state, shall register biennially and receive a permit from the board. The Alabama Administrative Code 680-X-2-.20 also provides for additional regulations for nuclear pharmacies. A typical licensure file documents the licensee’s history in Alabama and may contain a completed licensure application form, change of name/address form, controlled substance waiver, inventory of controlled substances, change of ownership, and inspection reports. To ensure the availability of this file, the recommended retention for the file is 25 years after the end of the fiscal year in which the licensee becomes inactive.

- **Pharmaceutical Facility Licensure Database.** The board is responsible for examining and licensing applicants as 503-B outsourcing facility, manufacturer, manufacturer oxygen, precursor, private label distributor, private label distributor – virtual, re-packer, retail medical oxygen supplier, third party logistics (3PL), wholesaler distributor, wholesaler oxygen, wholesaler reverse distributor, and/or wholesaler virtual. (21 CFR 203-205, H.R. 3204). A typical licensure file documents the licensee’s history in Alabama and may contain a completed licensure application form, change of ownership, individual/business history, controlled substance waiver, payment form, and inspection reports.
reports. To ensure the availability of this file, the recommended retention for the file is 25 years after the end of the fiscal year in which the licensee becomes inactive.

- **Alabama Prescription Drug Monitoring Program Files.** The Alabama Prescription Drug Monitoring Program (PDMP) is administered by the Alabama Department of Public Health (ADPH) Pharmacy Division. The board submits a monthly report of all pharmacies that hold controlled substance permits to ADPH. The recommended retention for Alabama Prescription Drug Monitoring Program files is 2 years for administrative use.

- **Complaint and Violation Investigation Files Resulting in Formal Disciplinary Actions.** The board creates a complaint and/or violation investigation file after receiving a complaint against a licensee. The board then appoints a state drug investigator to conduct an investigation. If the investigator 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 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. Records documenting founded complaints and violation are co-located in the meeting minutes of the board, a permanent record.

- **Complaint and Violation Investigation Files Not Resulting in Formal Disciplinary Actions.** The board creates a complaint and/or violation investigation file after receiving a complaint against a licensee. The board then appoints a state drug investigator to conduct an investigation. The 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.

- **BOPWELLNESS Licensee Files.** This record series falls under the jurisdictional authority of the Board but is actively created and maintained by the Board of Pharmacy Wellness Program (BOPWELLNESS), a semi-independent division. These records document the diagnosis, treatment, monitoring, and recovery of a licensed pharmaceutical professional and are stored with a licensee’s file. Limited staff members of the board have access to these files, and the records contain confidential information. The recommended retention for the file is 25 years after the end of the fiscal year in which the licensee becomes inactive.

- **BOPWELLNESS Working Files.** This record series falls under the jurisdictional authority of the Board but is actively created and maintained by the Board of Pharmacy Wellness Program (BOPWELLNESS), a semi-independent division. The record series includes any documents concerning the diagnosis, treatment, monitoring, and recovery of a licensed pharmaceutical professional maintained by BOPWELLNESS that are not stored within a licensee’s files. Information in this series may include records transmitted
to BOPWELLNESS from the Alabama Impaired Professionals Committee (AIPC). The AIPC is comprised of up to thirteen (13) members, all of whom are recovering pharmacists with at least five (5) years of sobriety. Members of the Committee serve as voluntary mentors to pharmaceutical professionals who are currently participating in BOPWELLNESS. The series is to be maintained for five years after the completion of the monitoring period and is considered confidential/closed.

- **Wellness Program Reports – Monthly Reports.** BOPWELLNESS submits reports to the Board that include statistical information about the number of pharmaceutical professionals are actively receiving treatment and/or are actively being monitored. These reports are produced on monthly and annual bases. The reports consist of aggregate data only and contain no personally identifying information (PII). The retention for monthly reports is 2 years for administrative use.

### Permanent Records

The Archives Division recommends the following records as permanent.

#### Promulgating Rules and Regulations

- **Meeting Minutes, Agendas, and Packets of the Board.** The board is obligated to hold a minimum of three regular meetings each year. Information in meeting minutes, agendas, and packets may include 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. *(Bibliographic Title: Meeting Files)*

#### Licensing

- **Annual Roster of Licensed Pharmaceutical Professionals.** This record series documents the board’s regulation of pharmaceutical professionals in the State of Alabama. The rosters are generated annually from the Alabama State Board of Pharmacy licensure database and include licensed pharmacists, pharmacy technicians, interns/externs, preceptors, consultants, and/or nuclear pharmacists. Information includes the names of licensees and other statistical data for the calendar year. Files are currently maintained in an electronic database, but older records are in bound volumes of 5” x 8” index cards. *(Bibliographic Title: Licensed Pharmacist Rosters)*

- **Annual Roster of Licensed Pharmacies.** This record series documents the board’s regulation of pharmacies in the State of Alabama. The board is responsible for examining and licensing applicants as: chain pharmacies, community pharmacies, institutional pharmacies, nuclear pharmacies, non-resident pharmacies (mail order pharmacies), or pharmacy services. Information includes the names and addresses of licensees and other statistical data for the calendar year. The rosters cover the period from c. 1930 to the
present. These files are currently maintained in an electronic database, but older records are in bound volumes of 5” x 8” index cards. (Bibliographic Title: Licensed Pharmacy Rosters)

- **Annual Roster of Licensed Pharmaceutical Facilities.** This record series documents the board’s regulation of pharmaceutical facilities in the State of Alabama. The board is responsible for examining and licensing applicants as 503-B outsourcing facilities, manufacturers, manufacturers oxygen, precursors, private label distributors, private label distributors – virtual, re-packagers, retail medical oxygen suppliers, third party logistics (3PL), wholesaler distributors, wholesalers oxygen, wholesaler reverse distributors, and/or wholesalers virtual (21 CFR 203-205, H.R. 3204). Information includes the names and addresses of licensees and other statistical data for the calendar year. The rosters cover the period from c. 1950 to the present. These files are produced and maintained in an electronic database. (Bibliographic Title: Licensed Pharmaceutical Facility Rosters)

**Approving Pharmacy Educational Programs**

- **Pharmacy Educational Program Approval Files.** The board prescribes standards and approves curricula for pharmacy education programs. While the board retains statutory responsibility to maintain these records, the Accreditation Council of Pharmacy Education creates and retains these records. 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. (Bibliographic Title: Educational Program Files)

**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 record series. These records document the board’s function of enforcement of the state’s pharmaceutical laws. (Bibliographic Title: Board Orders)

**Treating and Rehabilitating Impaired Pharmacists**

- **Wellness Program Reports – Annual Reports.** BOPWELLNESS submits reports to the Board that include statistical information about the number of pharmaceutical professionals are actively receiving treatment and/or are actively being monitored. These reports are produced on monthly and annual bases. The reports consist of aggregate data only and contain no personally identifying information (PII); annual reports will therefore be maintained permanently for historical purposes. (Bibliographic Title: Wellness Program Reports)
Administering Internal Operations

- **Policies and Procedures.** These manuals are designed to assist in the conduct of day-to-day operations. The manuals contain policies promulgated by the Executive Director, Office Director, or the Board. *(Bibliographic Title: Policies and Procedures)*

- **Administrative Rules and Regulations.** These rules and regulations are approved by the agency and govern the conduct of board. Combined with the policy and procedures manuals, they document the agency’s roles in prescribing standards for its programs. *(Bibliographic Title: Rules and Regulations)*

- **Register of Administrative Rules.** Each agency shall have an officer who shall file in the office of the Secretary of State a certified copy of each rule adopted by it. The secretary of the agency shall keep a permanent register of the rules open to public inspection. *(Code of Alabama 1975 § 41-22-6) (Bibliographic Title: Not Applicable) (Maintained by the State Board of Pharmacy)*

- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the agency document actions and positions of the agency and do not include correspondence dealing with routine matters. These records include correspondence with state officials, legal/advisory correspondence, correspondence documenting insurance coverage, correspondence between the board and the director, and correspondence between the Board of Pharmacy and other state agencies. These records may be paper or electronic, but expressly exclude routine interoffice correspondence, i.e., memos, e-mails and unofficial records dealing with administrative and personnel actions. *(Bibliographical Title: Administrative Correspondence)*

- **Annual Reports.** In compliance with the Code of Alabama 1975 § 34-23-92(10), 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 that 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. *(Bibliographic Title: State Publications)*

- **Informational and Promotional Materials.** The 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. *(Bibliographic Title: Publicity Files)*
- **Website and Social Media Site(s).** The Board has a website at www.albop.com. Information on the site includes: applications, laws, rules, the quarterly newsletter, and a calendar of scheduled meetings. The Board also has a Facebook page to get information to people quickly about rule changes, FAQ’s, board meetings and current events. ADAH staff capture and preserves the agency’s website and other social media sites via a service offered by the Internet Archive [Archive-It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not being captured by the service, please contact the Archives Division at 334-242-4452 to get them included. *(Bibliographic Title: Website and Social Media Site[s]*)

**Records No Longer Created**

The following records were created by the board and commission over time, but are no longer created in this same format. In most cases these records were created for a purpose that no longer exists, such as the chiropodist licensure files. They are currently in the custody of the board.

**Licensing**

- **Incomplete Applicant Examination Files.** In the past, the State Board of Pharmacy administered examinations of pharmacist licensure candidates. The Examination is now administered by the National Association of Boards of Pharmacy (NABP). This record series is no longer created by the Board of Pharmacy and is a temporary record, but at this time, the board has not destroyed any records in this series.

- **Licensure Examination Questions, 1966-1991.** This series comprises the questions once devised by the State Board of Pharmacy to be used in the examination of pharmacist licensure candidates. The records are historically significant in their documentation of the changing focus of licensure examination practices over time. Examination questions are now developed by the National Association of Boards of Pharmacy (NABP).
Permanent Records List
Alabama State Board of Pharmacy

Promulgating Rules and Regulations

1. Meeting Minutes, Agendas, and Packets of the Board

Licensing

1. Annual Roster of Licensed Pharmaceutical Professionals
2. Annual Roster of Licensed Pharmacies
3. Annual Roster of Licensed Pharmaceutical Facilities

Approving Pharmacy Educational Programs

1. Pharmacy Educational Program Approval Files

Investigating Complaints or Violations

1. Orders of the Board

Treating and Rehabilitating Impaired Pharmacists

1. Wellness Program Reports

Administering Internal Operations

1. Policies and Procedures
2. Administrative Rules and Regulations
3. Register of Administrative Rules*
4. Administrative Files that Document Policy, Process, and Procedure
5. Annual Reports
6. Informational and Promotional Materials
7. Website and Social Media Site(s)

Records No Longer Created

1. Incomplete Applicant Examination Files

*indicates records that the Alabama State Board of Pharmacy determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff is 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 General 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 § 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission’s staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency 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 may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 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 agency records manager or ADAH Archives Division at (334) 242-4452.

Explanation of Records Requirements

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, 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.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. 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 agency activities; (3) stocks of blank stationery, 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, 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 social activities; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

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

** indicates records no longer created

Promulgating Rules and Regulations

MEETING MINUTES, AGENDAS, AND PACKETS OF THE BOARD
Disposition: PERMANENT RECORD.

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

Licensing

ANNUAL ROSTER OF LICENSED PHARMACEUTICAL PROFESSIONALS
Disposition: PERMANENT RECORD.

Applications for Pharmaceutical Professional Licensure Renewal

a. Applications for Pharmaceutical Professional Licensure Renewal (Inactive)
Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the licensee becomes inactive.

b. Applications for Pharmaceutical Professional Licensure Renewal (Deceased)
Disposition: Temporary Record. Retain 2 years after verification of death.

Applications Not Resulting in Pharmaceutical Professional Licensure
Disposition: Temporary Record. Retain 5 years.

Pharmaceutical Professional Licensure Database
Disposition: Temporary Record. Retain licensure files for 25 years after the end of the fiscal year in which the licensee becomes inactive, and other data entry fields until superseded.

ANNUAL ROSTER OF LICENSED PHARMACIES
Disposition: PERMANENT RECORD.
Applications for Pharmacy Licensure Renewal

a. Applications for Pharmacy Licensure Renewal (Inactive)
   Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the licensee becomes inactive.

b. Applications for Pharmacy Licensure Renewal (Deceased)
   Disposition: Temporary Record. Retain 2 years after verification of death.

Applications Not Resulting in Pharmacy Licensure
Disposition: Temporary Record. Retain 5 years.

Pharmacy Licensure Database
Disposition: Temporary Record. Retain licensure files for 25 years after the end of the fiscal year in which the licensee becomes inactive, and other data entry fields until superseded.

ANNUAL ROSTER OF LICENSED PHARMACEUTICAL FACILITIES
Disposition: PERMANENT RECORD.

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

Applications Not Resulting in Pharmaceutical Facility Licensure
Disposition: Temporary Record. Retain 5 years.

Pharmaceutical Facility Licensure Database
Disposition: Temporary Record. Retain licensure files for 25 years after the end of the fiscal year in which the licensee becomes inactive, and other data entry fields until superseded.

Alabama Prescription Drug Monitoring Program Files
Disposition: Temporary Record. Retain 2 years.

Incomplete Applicant Examination Files**
Disposition: Temporary Record. Retain 5 years.

LICENSURE EXAMINATION QUESTIONS, 1966-1991**
Disposition: PERMANENT RECORD.

Approving Pharmacy Educational Programs

PHARMACY EDUCATIONAL PROGRAM APPROVAL FILES
Disposition: PERMANENT RECORD.
Approved Pharmacy Educational 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 Resulting in Formal Disciplinary Actions
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.

Treating and Rehabilitating Impaired Pharmacists

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

BOPWELLNESS Working Files
Disposition: Temporary Record. Retain 5 years after the completion of the monitoring period.

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

a. Monthly Reports
   Disposition: Temporary Record. Retain for 2 years.

b. ANNUAL REPORTS
   Disposition: PERMANENT RECORD.
Administering Internal Operations: Managing the Agency

POLICIES AND PROCEDURES
Disposition: PERMANENT RECORD.

ADMINISTRATIVE RULES AND REGULATIONS
Disposition: PERMANENT RECORD.

REGISTER OF ADMINISTRATIVE RULES

Administrative Rule Files
Disposition: Temporary Record. Retain for useful life.

ADMINISTRATIVE FILES THAT DOCUMENT POLICY, PROCESS, AND PROCEDURE
Disposition: PERMANENT RECORD.

ANNUAL REPORTS
Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL MATERIALS
Disposition: PERMANENT RECORD.

Board Member Files
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

Board Appointment Letters
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

Routine Correspondence
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Administrative References Files
Disposition: Temporary Record. Retain for useful life.

Legislative Files (drafts of proposed agency-sponsored legislation, tracking files and records)
Disposition: Temporary Record. Retain for useful life.
Records documenting the implementation of the agency’s approved RDA (copies of transmittal forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Copies of Approved RDA
Disposition: Temporary Record. Retain 1 year after the audit for the fiscal year in which the RDA is superseded.

Computer Systems Documentation (Hardware/Software Specifications and Warranties)
Disposition: Temporary Record. Retain documentation of former system 1 year after audit for 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.

WEBSITE AND SOCIAL MEDIA SITE(S)
Disposition: PERMANENT RECORD.

Note: ADAH staff capture and preserve the agency’s website and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.

Administering Internal Operations: 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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products (includes AST-1 and AST-1A)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.
Purchase and Repair Order Documents
Disposition: Temporary Record. Retain for life of warranty.

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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

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)

a. Sealed Bids over $15,000
   Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened. (Code of Alabama 1975 § 41-16-24).

b. Other Bids
   Disposition: Temporary Record. Retain for 10 years after the award of the contract, then destroy.

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

Administering Internal Operations: Managing Human Resources

Position Classification Questionnaire
Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Application Materials
Disposition: Temporary Record. Retain 1 year

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm.

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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Personnel File - Records documenting an employee’s work history - generally maintained as a case file
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting employees’ daily and weekly work schedules
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting employee hours worked, leave earned, and leave taken
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records Documenting Leave donations
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records of Final Leave Status
Disposition: Temporary Record. Retain record of individual employees’ cumulative leave 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files (Applications and Correspondence)
Disposition: Temporary Record. 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.

Records documenting Equal Employment Opportunity Commission (EEOC) Charges of Discrimination
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.
**Employee Administrative Hearing Files**
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records Documenting Employee Grievances (Internal Complaints)**
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting complaints against the agency and its employees from outside the agency (made by members of the public, officials, or supervisees, etc.)**
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records (maintained separately from employee personnel file), documenting employee disciplinary proceedings and appeals of formal reprimands, demotions, transfers, or terminations resulting from a grievance or complaint**
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting the administration of the unemployment compensation program**
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

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

**Semiannual Inventory Lists**
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later. (Code of Alabama 1975 § 36-16-8[1])

**Agency Copies of Transfer of State Property Forms (SD-1)**
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**Property Inventory Affidavits**
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

**Receipts of Responsibility for Property**
Disposition: Temporary Record. Retain until return of item to property manager
Real Property Renting/Leasing records
Disposition: Temporary Record. Retain 6 years after the termination of lease or rental agreement or until agency is audited and audit report is released, whichever is longer.

Facilities/Building Security Records (including visitor logs)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Motor Pool Vehicle Use Records
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

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.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency
Disposition: Temporary Record. Retain 1 year after audit for the year in which the equipment is removed from the property inventory.

Records Documenting Vehicle Use/Mileage
Disposition: Temporary Record. Retain 1 year.
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

Recommendations

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, 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, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should 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 Open Meetings Act, audit requirements, or any legal notice or subpoena.

The agency 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 agency 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.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the
office should preferably employ an electronic records management system capable of sorting e-
mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine
the condition of the permanent records maintained in the custody of the Agency and inspect
records destruction documentation. Agency records managers and/or the ADAH archivists are
available to instruct the staff in RDA implementation and otherwise assist the Agency in
implementing its records management program.

The State Records Commission adopted this records disposition authority on October 24, 2018.

Steve Murray, Chairman
State Records Commission

By signing below, the agency acknowledges receipt of the retention periods and requirements
established by the records disposition authority.

Rhonda Coker, Licensing Supervisor
Alabama State Board of Pharmacy