Alabama Athletic Commission

Functional Analysis

&

Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Alabama Athletic Commission

Sources of Information

- Code of Alabama 1975 § 41-9-90.1 through 96
- Code of Alabama 1975 Title 41 Chapter 9 Article 43
- Alabama Athletic Commission Administrative Code Chapter 165-X-4-.02 through .05
- Alabama Department of Archives and History Records Disposition Authority subject files

Historical Context

The Alabama Boxing and Wrestling Commission (ABWC), established in 1939, governed boxing and wrestling in the state of Alabama throughout the mid-twentieth century. The state legislature abolished the ABWC in 1980, one goal in doing so being the creation of a statewide athletic commission intended to govern a wider range of sports (“Eagerton vs. Gulas Wrestling Enterprises, Inc.”).

Despite these intentions, between 1980-2009, there existed no active commission tasked with the regulation of boxing matches taking place within the state of Alabama. Boxing matches occurred unregulated within the state until 2005, when the Association of Boxing Commissioners passed new rules barring states without their own commissions from hosting boxing matches or events. Prior to the passage of this legislation, commissions from other states had regulated matches and events in Alabama.

Governor Riley signed the Alabama Boxing Act into law in 2009, thereby formally establishing the Alabama Boxing Commission (ABC). The Alabama Boxing Act also set standards for match rules, medical requirements, event spaces, and other vital components of boxing regulation outside the scope of the commission’s purview. With the adoption of legislation governing mixed martial arts (MMA), professional wrestling, and “Toughman” competitions in Alabama during subsequent legislative sessions, the ABC was renamed to the Alabama Athletic Commission (AAC).

Explanatory note: According to the Alabama Athletic Commission Administrative Code, Toughman is a form of amateur boxing intended for amateur athletes between ages 18-37 who meet certain medical and physical requirements.

Today the commission’s responsibilities include the issuance of event permits and licenses; the procurement of event reports and physician’s examinations of competitors; the act of mediation between promoters; the collection of taxes at events; and the establishment and enforcement of rules and guidelines pertaining to events falling under the commission’s purview held within the state of Alabama.
Agency Organization

The AAC is comprised of six (6) appointees from around the state. Commissioners are appointed by the Governor (2), Lieutenant Governor (1), Speaker of the House (1), President Pro Tempore of the Senate (1), and the Alabama Athlete Agents Commission (1). Commission membership is inclusive and reflective of the racial, gender, geographic, urban/rural, and economic diversity of the state. While initial appointees served shortened staggered terms, as of 2018, all appointees to the commission serve four-year terms.

The commission members elect one (1) Chair and one (1) Vice Chair from amongst themselves, both of whom serve one-year terms. The Chair may not vote on matters coming before the commission during his/her term. The commission may also employ an executive director to manage day-to-day operations if funding is available.

The Governor also appoints a four-member medical advisory panel consisting of persons licensed to practice medicine in the state of Alabama and representing the specialties of neurology, ophthalmology, sports medicine, and general medicine. According to the Code of Alabama 1975 § 41-9-1023, “the medical advisory panel shall advise and assist the commission and its staff regarding issues and questions concerning the medical safety of professional boxers, Toughman contestants, professional wrestlers, amateur mixed martial arts competitors, and professional mixed martial arts competitors including, but not limited to, matters relating to medical suspensions.” This advisory panel may meet separately from commission meetings to discuss and formulate recommendations concerning medical safety.

Agency Function and Subfunctions

The mandated function of the Alabama Athletic Commission is to oversee and regulate professional boxing; amateur and professional kickboxing (defined in the Code of Alabama as a subsection of mixed martial arts); amateur mixed martial arts; professional mixed martial arts; Toughman; and professional wrestling competitions in the state of Alabama. 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 Commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975 § 41-9-1024 authorizes the commission to closely supervise professional boxing; amateur kickboxing; professional kickboxing; amateur mixed martial arts; professional mixed martial arts; Toughman; and professional wrestling competitions in the state of Alabama. The commission is charged with regulating these sports in such a fashion to protect the physical safety and welfare of athletes and to serve the public interest.
• **Licensing.** The Code of Alabama 1975 § 41-9-1024 invests the commission with powers of licensure pertaining to all aspects of the sports under its purview. As such, the Alabama Athletic Commission licenses competitors and non-combatant personnel.

The code authorizes the commission to license athletes/participants in any match, contest, or exhibition held in this state. As such, the commission oversees licensing for athletes in professional boxing, amateur kickboxing, professional kickboxing, amateur mixed martial arts, professional mixed martial arts, Toughman competitors, and professional wrestling.

The commission is invested with the authority to license non-combatant personnel or participants in events held within the state including, but not limited to, inspectors; judges, referees, and timekeepers; matchmakers; physicians; and promoters. In order to safeguard the public health, protect competitors, and to provide for competitive matches, the code invests the commission with the authority to license wrestling organizations and other similar event organizers. The commission has the authority to license Toughman contest promoters and similar event promoters and may require each licensed promoter to abide by rules promulgated by the commission. Sole authority to direct, manage, control, and supervise all matches, contests or exhibitions of professional boxing, amateur kickboxing, professional kickboxing, amateur mixed martial arts, professional mixed martial arts, Toughman, and professional wrestling lies with the Alabama Athletic Commission.

• **Overseeing.** The commission may authorize the holding of a match, contest or exhibition of professional boxing, amateur kickboxing, professional kickboxing, amateur mixed martial arts, professional mixed martial arts, Toughman, and professional wrestling, promoted or held within this state. It has the authority to direct, manage, control, and supervise all matches, contests, or exhibitions of the aforementioned sports. Its role may include, but is not limited to, the enforcement of safety measures and the restriction of access to certain areas for the protection of the public.

• **Investigating Complaints or Violations.** The commission or its agents has the authority to conduct investigations, hold hearings, and issue subpoenas in order to compel the attendance of witnesses and the production of books, papers, and records documenting these proceedings. The commission may administer oaths to and examine any witnesses for the purpose of determining any question coming before it pertaining to its duties. It may also swear out a warrant of arrest against any person violating criminal provisions of its regulations.

• **Promoting.** According to the Code of Alabama 1975 § 41-9-1024, the commission “may engage in activities which promote amateur boxing, amateur wrestling, and amateur mixed martial arts in this state and contract with any nonprofit organization which is exempted from the taxation of income.”

• **Administering Internal Operations.** A significant portion of the Commission’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 inventoring 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.
Analysis of Record Keeping System and Records Appraisal of the Alabama Athletic Commission

Agency Record Keeping System

The Alabama Athletic Commission operates a hybrid record keeping system composed of paper and electronic records. The commission uses two Macbooks with Microsoft Office suite software to store all electronic data. The Macbooks and Microsoft software subscriptions are the personal property of staff. The website is hosted and maintained by the Office of Information Technology. Paper files are kept in a locked storage room with controlled access.

Note: For the purposes of this Records Disposition Authority, the term “database” used by the Commission refers to spreadsheets stored in Microsoft Excel.

Records Appraisal of the Alabama Athletic Commission

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

I. 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 commission are discussed below:

- **Professional Competitor State License Files.** This record series consists of the information maintained by the commission for licensed professional competitors for the various sports within its purview, including but not limited to: professional boxers, amateur kickboxing competitors, professional kickboxing competitors, amateur mixed martial arts (MMA) competitors, professional mixed martial arts (MMA) competitors, Toughman competitors, and professional wrestlers. The record series includes: federal identification card (for professional boxers, amateur MMA competitors, and professional MMA competitors only), other photographic ID if necessary, headshot, state application, physician health reports. Licenses expire on December 31 of each calendar year and must be renewed annually. A retention for this record series of 5 years after the expiration of the license allows adequate time after the license elapses to ensure Commission compliance with regulations in issuing licenses.

- **Non-Combatant Personnel License Files.** This record series consists of the information maintained by the commission for licensed non-combatant personnel, including but not limited to: inspectors; judges, referees, and timekeepers; matchmakers; physicians, promoters; and other nonspecified non-combatant personnel. Licenses expire on December 31 of each calendar year and must be renewed annually. A retention for this record series of 5 years after the expiration of the license allows adequate time after the license elapses to ensure Commission compliance with regulations in issuing licenses.
- **Event Files.** This record series contains information pertaining to a specific athletic event following under the commission’s purview. Records contained in this series may include, but are not limited to, event permit application, event insurance, alcohol permit/license, ticket form, bout cards, official fight results, pre- and post-event health information for competitors, drug testing information, equipment sign-in/sign-out sheets, letters of intent, documentation of payment, and physicians’ letters. The event files retain very little administrative use after the completion of an event and any subsequent immediate appeal; thus, a retention of 1 year after audit allows records to be available to ensure compliance with regulations. The official fight results and judges’ scorecards will be separated from the event files for permanent retention.

- **Complaint and Violation Investigation Files.** The board creates a complaint investigation file after receiving a complaint against a licensee. These files contain information concerning complaints and the investigations of alleged violations; disciplinary hearings; and actions taken by the board, such as the revoking or suspension of licenses. 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 five years after the end of the fiscal year in which the license becomes inactive. Recommended retention of files with unfounded complaints or violations is five years after the end of the fiscal year in which the record was created. Records documenting founded complaints and violations are located in the meeting minutes of the board which are permanent records.

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

**Promulgating Rules and Regulations**

- **Meeting Agendas, Minutes, and Packets of the Commission.** The minutes of these meetings are necessary to document the actions of the commission and its members. In addition to minutes, this series may include meeting agendas and other supporting or reference documents included in the commission packet. These records are the best source of information about the functions of the commission and the creation of its policy. *(Bibliographic Title: Meeting Files)*

**Licensing**

- **Professional Competitor Federal Licensure Files.** All professional boxers must apply for and possess a valid federal identification card and number in order to compete in any U.S. state in compliance with the Muhammad Ali Act. Similarly, both amateur and professional mixed martial arts (MMA) fighters are issued a National MMA ID. This data must be kept on file by the commission permanently according to federal statute. *(Bibliographic Title: Not Applicable) (Maintained by the Alabama Athletic Commission)*
- **Annual Roster of Licensed Competitors.** These records are generated annually from the Alabama Athletic Commission licensure database. Annual rosters document information such as who is licensed in Alabama as well as statistical data for any specific year. The following annual rosters are generated: Professional Boxing, Amateur Kickboxing Competitors, Professional Kickboxing Competitors, Amateur Mixed Martial Arts (MMA) Competitors, Professional Mixed Martial Arts (MMA) Competitors, Toughman Competitors, and Professional Wrestlers. *(Bibliographic Title: Registers and Rosters)*

- **Annual Roster of Licensed Non-Combatant Personnel.** These records are generated annually from the Alabama Athletic Commission licensure database. Annual rosters document information such as who is licensed in Alabama as well as statistical data for any specific year. The following annual rosters are generated: Inspectors; Licensed Judges, Referees, Timekeepers; Matchmakers; Physicians; Promoters; and Other Nonspecified Non-Combatant Personnel *(Bibliographic Title: Registers and Rosters)*

**Overseeing**

- **Official Fight Results.** This record series consists of the final results of matches as documented in the event file for a competition falling under the commission’s purview. These results are communicated to competitors, non-combatant personnel, the news media, and the public as requested. It should be noted that while the event file itself is a temporary record as described above, professional match results are a permanent record and must be removed from the event file. *(Bibliographic Title: Event Files)*

- **Judges’ Scorecards.** This record series consists of the original scorecards transcribed during a competition documenting the outcome of the match as it occurred. Competitors may challenge the results of a match within seven (7) days of the event, leading to review of these scorecards. Scorecards can be of historic value for scholars and the public. It should be noted that while the event file itself is a temporary record as described above, judges’ scorecards are a permanent record and must be removed from the event file. *(Bibliographic Title: Event Files)*

**Investigating Complaints or Violations**

- **Orders of the Commission.** When the commission has determined that a licensee violated one or more of the commission’s rules or statutes, the commission 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 Commission. *(Bibliographic Title: Case Files)*

**Promoting**

- **Informational and Promotional Publications.** This series consists of publications produced by the commission for distribution. *(Bibliographic Title: Publicity Files)*

- **Press Releases.** This series consists of statements or announcements concerning the commission and its activities issued for distribution to the news media and the public.
Included may be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference materials used to create the news release. *(Bibliographic Title: Publicity Files)*

**Administering Internal Operations**

- **Policy and Procedures Manuals.** These manuals are designed to assist in the conduct of day-to-day operations. *(Bibliographic Title: Policies and Procedures)*

- **Administrative Rules and Regulations.** These rules and regulations are approved by the commission and govern the conduct of the commissioners and staff. Combined with the policy and procedures manuals, they document the commission’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 Alabama Athletic Commission)*

- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the commission document actions and positions of the commission and do not include correspondence dealing with routine matters. 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. *(Bibliographic Title: Administrative Files)*

- **Website and Social Media Sites(s).** The commission has a website at www.aac.alabama.gov. 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 requiring a password for access 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])"
Permanent Records List
Alabama Athletic Commission

Promulgating Rules and Regulations

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

Licensing

1. Professional Competitor Federal Licensure Files*
2. Annual Roster of Licensed Competitors
3. Annual Roster of Licensed Non-Combatant Personnel

Overseeing

1. Official Fight Results
2. Judges’ Scorecards

Investigating Complaints or Violations

1. Orders of the Commission

Promoting

1. Informational and Promotional Publications
2. Press Releases

Administering Internal Operations

1. Policy and Procedures Manuals
2. Administrative Rules and Regulations
3. Register of Administrative Rules*
4. Administrative Files that Document Policy, Process, and Procedure
5. Website and Social Media Site(s)

*indicates records that the Alabama Athletic Commission determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.
Alabama Athletic Commission 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, Sections 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, Sections 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.

**Promulgating Rules and Regulations**

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

**Licensing**

**Professional Competitor State Licensure Files**

a. Professional Boxing Competitor State Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

b. Amateur Kickboxing Competitor Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

c. Professional Kickboxing Competitor Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

d. Amateur Mixed Martial Arts (MMA) Competitor State Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

e. Professional Mixed Martial Arts (MMA) Competitor State Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

f. Toughman Competitor Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

g. Professional Wrestling Licensure Files  
Disposition: Temporary Record. Retain 5 years after the expiration of the license.

**PROFESSIONAL COMPETITOR FEDERAL LICENSURE FILES**

a. PROFESSIONAL BOXING COMPETITOR FEDERAL LICENSURE FILES  
Disposition: PERMANENT RECORD. Retain in office.
b. AMATEUR MIXED MARTIAL ARTS (MMA) COMPETITOR FEDERAL LICENSURE FILES
Disposition: PERMANENT RECORD. Retain in office.

c. PROFESSIONAL MIXED MARTIAL ARTS (MMA) COMPETITOR FEDERAL LICENSURE FILES
Disposition: PERMANENT RECORD. Retain in office.

Professional Competitor Licensure Database

a. Professional Boxing Licensure Database
Disposition: Temporary Record. Retain for useful life.

b. Amateur Kickboxing Competitor Licensure Database
Disposition: Temporary Record. Retain for useful life.

c. Professional Kickboxing Competitor Licensure Database
Disposition: Temporary Record. Retain for useful life.

d. Amateur Mixed Martial Arts (MMA) Competitor Licensure Database
Disposition: Temporary Record. Retain for useful life.

e. Professional Mixed Martial Arts (MMA) Competitor Licensure Database
Disposition: Temporary Record. Retain for useful life.

f. Toughman Competitor Licensure Database
Disposition: Temporary Record. Retain for useful life.

g. Professional Wrestling Licensure Database
Disposition: Temporary Record. Retain for useful life.

ANNUAL ROSTER OF LICENSED COMPETITORS

a. ANNUAL ROSTER OF PROFESSIONAL BOXERS
Disposition: PERMANENT RECORD.

b. ANNUAL ROSTER OF AMATEUR KICKBOXING COMPETITORS
Disposition: PERMANENT RECORD.

c. ANNUAL ROSTER OF PROFESSIONAL KICKBOXING COMPETITORS
Disposition: PERMANENT RECORD.

d. ANNUAL ROSTER OF AMATEUR MIXED MARTIAL ARTS (MMA) COMPETITORS
Disposition: PERMANENT RECORD.
e. ANNUAL ROSTER OF PROFESSIONAL MIXED MARTIAL ARTS (MMA) COMPETITORS
   Disposition: PERMANENT RECORD.

f. ANNUAL ROSTER OF TOUGHMAN COMPETITORS
   Disposition: PERMANENT RECORD.

g. ANNUAL ROSTER OF PROFESSIONAL WRESTLERS
   Disposition: PERMANENT RECORD.

Non-Combatant Personnel Licensure Files

a. Inspector License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

b. Judges, Referees, and Timekeepers License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

c. Matchmaker License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

d. Physician License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

e. Promoter License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

f. Other Nonspecified Non-Combatant Personnel License Application Files
   Disposition: Temporary Record. Retain 5 years after the expiration of the license.

Non-Combatant Personnel Licensure Database

a. Inspector Licensure Database
   Disposition: Temporary Record. Retain for useful life.

b. Judges, Referees, and Timekeepers Licensure Database
   Disposition: Temporary Record. Retain for useful life.

c. Matchmaker Licensure Database
   Disposition: Temporary Record. Retain for useful life.

d. Physician Licensure Database
   Disposition: Temporary Record. Retain for useful life.

e. Promoter Licensure Database
   Disposition: Temporary Record. Retain for useful life.
f. Other Nonspecified Non-Combatant Personnel Licensure Database
   Disposition: Temporary Record. Retain for useful life.

ANNUAL ROSTER OF LICENSED NON-COMBATANT PERSONNEL

a. ANNUAL ROSTER OF INSPECTORS
   Disposition: PERMANENT RECORD.

b. ANNUAL ROSTER OF JUDGES, REFEREES, AND TIMEKEEPERS
   Disposition: PERMANENT RECORD.

c. ANNUAL ROSTER OF MATCHMAKERS
   Disposition: PERMANENT RECORD.

d. ANNUAL ROSTER OF PHYSICIANS
   Disposition: PERMANENT RECORD.

e. ANNUAL ROSTER OF PROMOTERS
   Disposition: PERMANENT RECORD.

f. ANNUAL ROSTER OF OTHER NONSPECIFIED NON-COMBATANT PERSONNEL
   Disposition: PERMANENT RECORD.

Voided Licenses
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.

Licensure Applications Not Resulting in Licensure
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.

Overseeing

Event Files
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.

OFFICIAL FIGHT RESULTS
Disposition: PERMANENT RECORD.

JUDGES' SCORECARDS
Disposition: PERMANENT RECORD.
Investigating Complaints or Violations

ORDERS OF THE COMMISSION
Disposition: PERMANENT RECORD.

Complaint and Violation Investigation Files
Disposition: Temporary Record. Retain 5 years after the matter is resolved.

Complaint and Violation Investigation Files Not Resulting in Formal Disciplinary Actions
Retention: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Promoting

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS
Disposition: PERMANENT RECORD.

PRESS RELEASES
Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency

POLICY AND PROCEDURES MANUALS
Disposition: PERMANENT RECORD.

ADMINISTRATIVE RULES AND REGULATIONS
Disposition: PERMANENT RECORD.

REGISTER OF ADMINISTRATIVE RULES
Disposition: PERMANENT RECORD. Retain in Office (Code of Alabama 1975, Section 41-22-6).

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

Routine Correspondence
Disposition: Temporary Record. Retain 3 years.

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

Annual Receipt and Expenditure Reports
Disposition: Temporary Record. Retain for useful life.
Commission Member Files
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

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

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 audit after the end of the fiscal year in which the RDA was superseded.

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 requiring a password for access 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, Section 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.

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.

Employee Flexible Benefits Plan Files (Applications and Correspondence)
Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting certification, including individual officer certifications, including ORAS certificates, state personnel training certificates, new employee ethics training certificates, firearm qualifications, and OC spray qualifications
Disposition: Temporary Record. Retain for 2 audit periods, but not to be destroyed until after the second audit report has been released.

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.

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 Equal Employment Opportunity Commission (EEOC) Charges of Discrimination
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.

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 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.

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.

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, Section 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.

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.

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.
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975, Section 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 April 25, 2018.

____________________________________________    _______________ 
Steve Murray, Chairman                      Date
State Records Commission

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

_____________________________________________    ______________ ___
Joseph McCormick, Executive Director     Date
Alabama Athletic Commission