

Alabama Board of Athletic Trainers

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of Alabama Board of Athletic Trainers

Sources of Information

Representative of the Alabama Board of Athletic Trainers

Code of Alabama 1975, Sections 34-40-1 through 34-40-17

Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)

Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Administrative Code, Chapters 140-X-1-0.1 through 140-X-4-0.4

Alabama Government Manual (1998)

Audit Report of the Alabama Board of Athletic Trainers (1995-1997)

Historical Context

The board was established in 1993 by the Alabama Legislature. Prior to the creation of the board there was no statute specifically providing for the regulation and licensure of athletic trainers.

Agency Organization

The Alabama Board of Athletic Trainers is composed of ten members: six of them are athletic trainers appointed by the Alabama Athletic Trainers Association, one of them must be a licensed physical therapist; three are physicians appointed by the Medical Association of the State of Alabama; and the president of the Alabama Athletic Trainers Association, who serves as ex officio. The physician members must be actively engaged in the treatment of athletes and athletic injuries. Three members of the board must be black, with one being a physician appointee. Members serve four-year staggered terms and are eligible for only three consecutive terms. The board elects a chair, vice chair, and secretary from its members for a one-year term and appoints committees as necessary. The board meets at least twice a year. The board hires an executive secretary to provide administrative services for the board. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama Board of Athletic Trainers is to provide for the licensure and regulation of athletic trainers, defined as individuals who practice athletic training on an athlete under the direction or referral of a licensed physician. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the Alabama Board of Athletic Trainers may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Alabama Board of Athletic Trainers is authorized, under the Code of Alabama 1975, Section 34-40-3 (e), to make and adopt, jointly with the State Board of Medical Examiners, rules and regulations setting minimum standards for professional conduct for athletic trainers. This subfunction encompasses the board's efforts in making, altering, repealing, or amending rules and regulations that are implemented to accomplish its mandated duties and functions.
- **Licensing.** As provided in the Code of Alabama, Section 34-40-5, any individual wanting to practice as an athletic trainer in the state must apply for a license, pay the required fees, and meet all requirements approved by the board. Applicants are required to complete necessary undergraduate studies as outlined by the National Athletic Trainers' Association; finish practical experience under the direct supervision of an athletic trainer certified by the National Athletic Trainers' Association Board of Certification (NATABOC); and pass a three-part certification examination conducted by NATABOC. All licensed athletic trainers must obtain continuing education credits prior to renewal of their licenses.
- **Investigating Complaints or Violations.** Code of Alabama 1975, Section 34-40-10 authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules or regulations. Depending on the findings following investigation and hearings, the board may dismiss the case, issue reprimands, levy fines, or suspend/revoke the certificate.
- **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.

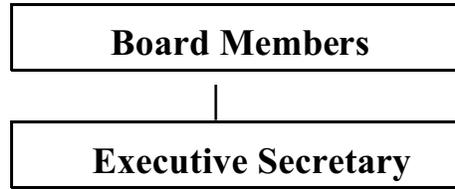
Managing the Agency: Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the 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 involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within

the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Alabama Board of Athletic Trainers



Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Athletic Trainers

Agency Record Keeping System

The board currently operates a hybrid record keeping system composed of paper and electronic records.

Records Appraisal

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

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

- **Athletic Trainers' Licensure Files.** This series consists of completed applications for licensure forms, records of educational training, verification of athletic training practice forms, physician/athletic trainer protocols consent forms, and copies of social security cards or driver's licenses. These files serve as evidence of the scope of a licensee's professional practice in the state. To meet its administrative and audit needs, the board keeps all licensure files for five years after the license lapses.

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

- **Meeting Minutes of the Board.** Code of Alabama 1975, Section 34-40-3 (e), mandates the board to hold at least two regular meetings each year. These minutes document all subfunctions performed by the board and should be kept permanently. (RDA page 3-2)
(Bibliographic Title: Meeting Minutes)

**Permanent Records List
Alabama Board of Athletic Trainers**

Promulgating Rules and Regulations:

1. Meeting Minutes

Alabama Board of Athletic Trainers Records Disposition Authority

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

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

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Board of Athletic Trainers' records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that

require no action and do not document government activities; (3) stocks of blank 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 that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about board social activities, such as a note to a group going to lunch.

Records Disposition Requirements

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

■ Promulgating Rules and Regulations

MEETING MINUTES

Disposition: PERMANENT RECORD.

Administrative Procedures Rule Filings

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

Register of Administrative Procedures Rule Filings

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

■ Licensing

Athletic Trainers' Licensure Files

Disposition: Temporary Record. Retain 5 years after the license lapses.

Athletic Trainers' Continuing Education Unit Records

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

Athletic Trainers' Licensure Database

Temporary Record. Retain for useful life.

■ Investigating Complaints or Violations

Substantiated Complaint Files

Disposition: Temporary Record. Retain 5 years after the license is lapsed.

Unsubstantiated Complaint Files

Disposition: Temporary Record. Retain 3 years after the case is closed

■ **Administering Internal Operations**

Managing the Agency:

Board Appointment Letters

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

Routine Correspondence

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the board's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

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

Copies of RDA

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

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

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

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

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

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

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

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers - and funds deposited outside the state treasury.

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

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

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

Records documenting contracts for services or personal property

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

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Section 41-16-24).

Audit Reports

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

Managing Human Resources:

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

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Approval of Records Disposition Authority

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

- The Alabama Board of Athletic Trainers will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the board, for coordinating the transfer and destruction of records, for 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, for submitting an annual report on records management activities to the State Records Commission in April of each year, and for ensuring the regular implementation of the board's approved RDA.

- Permanent records in the Alabama Board of Athletic Trainers' custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Board of Athletic Trainers agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Louise Porter, Executive Secretary
Alabama Board of Athletic Trainers

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