

**Alabama Board of Medical Examiners
Medical Licensure Commission**

**Functional Analysis
&
Records Disposition Authority**

**Revision
Presented to the
State Records Commission
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Functional and Organizational Analysis of the Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama

Sources of Information

Alabama Board of Medical Examiners

Representative of the Alabama Board of Medical Examiners

Mary Leigh Meredith, Records Liaison

Patricia Shaner, Legal Counsel

Code of Alabama 1975, Sections 34-24-50 through 34-24-84, Sections 34-24-290 through 34-24-294

Alabama Administrative Code, Chapters 540-X-1-.01 through 540-X-14-.16

Board of Medical Examiners and the Medical Licensure Commission Audit Report (1990 to 1993)

Alabama Government Manual (1994)

Government Records Division, State Agency Files (1985-ongoing)

Medical Licensure Commission of Alabama

Representative of the Medical Licensure Commission of Alabama

Cindy D. Weber, Executive Assistant

Code of Alabama 1975, Sections 34-24-310 through 34-24-406

Alabama Administrative Code, Chapters 545-X-1-.01 through 545-X-5-.16

Board of Medical Examiners and the Medical Licensure Commission Audit Report (1990 to 1993)

Alabama Government Manual (1994)

Government Records Division, State Agency Files (1985-ongoing)

Agency Organization

Alabama Board of Medical Examiners

Act No. 63, Acts of Alabama 1876-1877, created the Alabama Board of Medical Examiners (hereafter referred to as the board) to regulate the practice of medicine in the state. Under Act No. 209, Acts of Alabama 1911, members of the Board of Censors of the Medical Association of the State of Alabama (MASA) served as the Board of Medical Examiners. MASA is a private professional association of physicians and other practitioners of healing arts. The board meets once each month and special meetings may be called at the request of the chairman. The board employs an executive director and has the authority to determine his/her duties, responsibilities, and compensation. The board or the executive director, with the concurrence of the board, has the authority to employ qualified individuals to serve as administrative staff and investigators.

Medical Licensure Commission of Alabama

Act No. 81-218, Acts of Alabama 1981, created the Medical Licensure Commission of Alabama (hereafter referred to as the commission). The commission is composed of eight members. Seven of them must be licensed Doctors of Medicine or Doctors of Osteopathy in the state of Alabama. The eighth member is a consumer. Three physician members and the consumer member are appointed by the governor. The lieutenant governor and the speaker of the House of Representative each appoint two members. The members serve five-year terms with no limit as to the number of terms a member can serve. The commission meets once each month and special meetings may be called at the request of the chairman. The commission may designate an executive officer to act on behalf of the commission between regular meetings. Currently, all administrative functions of the commission are performed by an executive assistant.

Agency Function and Subfunctions

The Alabama Board of Medical Examiners and the Medical Licensure Commission of Alabama together carry out the provisions of the State's licensing and regulatory statutes for physicians/osteopaths and physician assistants. Generally, the Board of Medical Examiners and its employees examine people seeking to practice medicine/osteopathy and issue certificates of qualification for successful applicants to the Medical Licensure Commission for licensure as physicians or osteopaths. The Medical Licensure Commission exercises approval authority over the certifications and issues licenses to approved applicants. Physician assistants are certified to practice by the Board of Medical Examiners without the necessity for approval by the Medical Licensure Commission. Both agencies are primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated functions, the board and the commission may engage in the following subfunctions:

- **Issuing Certificates of Qualification for Applicants Meeting the Statutory Qualifications for Licensure.** This subfunction encompasses the efforts of the Board of Medical Examiners to promulgate rules and regulations, screen applicants, and issue certificates of qualifications to applicants who pass the required examination and meet all requirements. The board forwards certificates of qualification to the Medical Licensure Commission for licensure as doctors of medicine or doctors of osteopathy.
- **Licensing Doctors of Medicine and Doctors of Osteopathy to Practice in the State.** The Medical Licensure Commission issues, upon the receipt of a certificate of qualification issued by the Board of Medical Examiners along with completed application form and required fee, a license in the form of a certificate of registration for applicants to practice medicine or osteopathy in Alabama. Every licensee is required to earn no less than twelve (12) hours of continuing education in order to renew the certificate of registration with the commission every year.

- **Serving as the Certifying Board for Physicians Applying for Alabama Controlled Substances Certificates.** Code of Alabama 1975, Section 20-2-51, mandates that every person who manufactures, distributes, or dispenses any controlled substance within this State must obtain annually a registration issued by the certifying board. The Board of Medical Examiners serves as the certifying board to register licensed physicians or osteopaths who propose to distribute, prescribe, or dispense any controlled substance within Alabama. Annual registration is accomplished by the completion of an application form and the payment of a fee. The board issues registration certificates to qualified physicians/osteopaths authorizing the distribution, prescription, and dispensing of controlled substances.

- **Certifying Physician Assistants.** Code of Alabama 1975, Section 34-24-293, authorizes the Board of Medical Examiners to make specific rules/regulations pertaining to the approval and regulation of assistants to physicians. There are three categories of assistants to physicians (physician assistant, surgeon assistant, and anesthesiologist assistant) which are recognized for certification by the board. A typical application process involves the completion of a required training program and examination, submission of application form, application fee, detailed job description, and a personal interview by the board staff prior to final action on the application for certification. All assistants to physicians must earn no less than twelve (12) hours of continuing medical education every year prior to receiving his/her annual renewal of certification.

- **Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases.** The board is obligated, upon the receipt of complaints or on its own motion, to investigate any evidence which appears to show that a licensed physician/osteopath or a certified physician assistant is or may be guilty of any violations of the rules/regulations of the board. If the board finds that there is a basis for the case, it may either issue a Letter of Concern asking the physician/osteopath to change certain ways of practice, or file a formal charge against the doctor/assistant with the Medical Licensure Commission for possible disciplinary actions which may include the suspension or revocation of licenses. In this subfunction, the board serves as prosecutor while the commission acts as judge and jury.

- **Serving on the Joint Committee of the Board of Nursing and the Board of Medical Examiners for Advanced Practice Nurses.** The Joint Committee, established under the authority of Code of Alabama 1975, Section 34-21-80, is composed of six members (three from the Board of Nursing and three from the Board of Medical Examiners) and is charged with the responsibilities of recommending rules/regulations governing the collaborative relationship between physicians and certified registered nurse practitioners/certified nurse midwives engaging in advanced practice nursing.

- **Reviewing Articles of Incorporations of Professional Corporations of Physicians and Osteopaths.** Code of Alabama 1975, Section 10-4-400, indicates each licensing authority of Alabama may examine any professional corporation organized to practice a

profession within the jurisdiction of such licensing authority to ascertain whether such corporation has complied with all the provisions applicable to such professional corporation. This subfunction involves the review by the board staff of the articles of incorporations, the certificate of authority, list of shareholders, and all subsequent amendments to the articles of incorporation submitted by medical professional corporations to ensure that at least one shareholder of such professional corporation is a licensed medical doctor as mandated by Code of Alabama 1975, Section 10-4-383.

- **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.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama

Agency Record Keeping System

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

Paper-based Systems: Staff members create and maintain most of the board/commission's records in paper format.

Computer Systems: The board/commission's electronic record keeping system includes two servers, twenty-eight personal computers, and one scanner. Computers are utilized to perform work associated with management of licensee database, accounting, personnel, and property inventory. Computer applications are backed up daily on cartridges. Back-up cartridges are stored off-site at a staff member's home. The board/commission installed an optical imaging system (Canon 510) in 1996 to scan physician/osteopath licensure files. About one-third of the files have been scanned so far. Additional program records, such as violation case files, will also be maintained on the system in the future. Scanned documents are stored on compact disk-read only memory (CD-ROM) in a jukebox for future reference. No paper records have been destroyed after scanning.

Records Appraisal

The following is a discussion of the four major categories of records created and/or maintained by the board/commission: Subfunctions Resulting in the Creation/Maintenance of No Records, Temporary Records, Permanent Records, and Records No Longer Created.

I. Subfunction Resulting in the Creation/Maintenance of No Records.

- **Serving on the Joint Committee of the Board of Nursing and the Board of Medical Examiners for Advanced Practice Nurses.** All records created under this subfunction (such as meeting minutes) are maintained by the Board of Nursing. The Board of Medical Examiners has no documentation of this subfunction in its office.

II. 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 department are discussed below:

- **Reports of Malpractice Judgments and Settlements.** Code of Alabama 1975, Section

34-24-56 requires every licensed physician or medical professional corporations to report annually to the Board of Medical Examiners any final judgements rendered against them or any settlements in or out of court during the preceding year resulting from a claim or action for damages for personal injuries caused by an error, omission, or negligence in the performance of medical services. These reports are reviewed by the board staff to determine whether the board should take any disciplinary action against the licensee or professional corporation. If there is a ground for disciplinary action, the report may become a part of the records listed under the Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases subfunction. Otherwise, those reports are kept until the completion of one audit review by the Examiners of Public Accounts.

- **Physician/Osteopath Licensure Files.** Upon the receipt of a certificate of qualification along with an application and fee, the Medical Licensure Commission issues, in accordance with Code of Alabama 1975, Section 34-24-334, a license to the applicant. Every licensed physician/osteopath is then required to renew his/her certificate of registration on an annual basis. This series is composed of copies of certificate of qualification issued by the Board of Medical Examiners, completed application forms for licensure, correspondence, renewal documents, and other related materials. The files are useful to the commission staff for long term.
- **Medical Professional Corporation Files.** This series consists of articles of incorporation, certificates of authority, lists of shareholders, and all subsequent amendments to the articles of incorporation submitted by various medical professional corporations formed by physicians/osteopaths for review by the staff of the Board of Medical Examiners to ensure that at least one shareholder of such professional corporation is a licensed medical doctor as mandated by Code of Alabama 1975, Section 10-4-383. Alabama Administrative Code, Chapter 540-X-1-.07(L) requires the board to record and maintain a permanent file on all professional corporations incorporated by physicians/osteopaths.

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

Issuing Certificates of Qualification for Applicants Meeting the Statutory Qualifications for Licensure:

- **Meeting Minutes of the Board of Medical Examiners.**
As mandated by Code of Alabama 1975, Section 34-24-78, the board is obligated to keep complete minutes of all of its proceedings. The meeting minutes are the core documentation of the board's major functions with regard to administration and enforcement of the rules and regulations of the board. A copy of the board's annual report is always included in these minutes.

- **Newsletters of the Board of Medical Examiners.**
Published on a quarterly basis, this newsletter contains a public action report of the board of Medical Examiners and the Medical Licensure Commission. It also carries information on subjects, such as prescription drug abuse, and access to medical records, that are useful to physicians.

- **Applications for Certificate of Qualification to Practice Medicine.** Under Code of Alabama 1975, Section 34-24-330, the Board of Medical Examiners is obligated to screen applicants and issue certificates of qualification to the Medical Licensure Commission certifying each applicant for a license who has met the board's certification requirements. Information included in the application form contains name, address, telephone number, date and place of birth, sex, social security number, education background, internship/residency training, professional experience, and photograph of applicant. After the applicant is certified by the board, a certification of qualification is issued and forwarded to the Medical Licensure Commission for licensure. This series is valuable because it provides a biographical insight into the qualifications of physicians licensed in Alabama.

Licensing Doctors of Medicine and Doctors of Osteopathy to Practice in the State:

- **Meeting Minutes of the Medical Licensure Commission.**
The meeting minutes are the core documentation of the commission's major functions with regard to administration and enforcement of laws regulating the medical practice profession.

- **Medical Licensure Commission Directory.**
This directory is published every year to provide a complete up-dated listing of licensed physicians and osteopaths. Information on the directory includes name, address, license number, date of licensure, and field of speciality.

Serving as the Certifying Board for Physicians Applying for Alabama Controlled Substances Certificates:

The board currently creates no permanent records under this subfunction.

Certifying Physician Assistants:

The board currently creates no permanent records under this subfunction.

Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases:

The board/commission currently create no permanent records under this subfunction.

Serving on the Joint Committee of the Board of Nursing and the Board of Medical Examiners for Advanced Practice Nurses:

The board currently creates no permanent records under this subfunction.

Reviewing Articles of Incorporations of Professional Corporations Incorporated by Physicians and Osteopaths:

The board currently creates no permanent records under this subfunction.

Administering Internal Operations:

The board currently creates no permanent records under this subfunction.

IV. Records No Longer Created. The following records were created by the Board of Medical Examiners 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 chiroprapist licensure files. They are currently in the custody of the Department of Archives and History.

Issuing Certificates of Qualification for Applicants Meeting the Statutory Qualifications for Licensure:

- **Applications for Examination and Examination Papers, 1881-1962.** This series contains bound volumes of application for examination forms completed by individuals seeking authorization to practice medicine in Alabama and their examination papers. Information on the application form generally includes name, date and place of birth, residence, educational and professional background. The examinations consist of questions and narrative answers on various medical subjects, such as anatomy, surgery, etiology, obstetrics, hygiene, and medical jurisprudence. Scores are summarized and averaged on a separate page. These volumes from 1950s to 1960s also have copies of certificate of qualification sent by the Board of Examiners in the Basic Sciences to the Board of Medical Examiners certifying that the examinee had successfully passed the examination. The examinations are valuable since they give a marvelous insight into the qualifications of the applicants and the state of medical knowledge itself. The board does not create this series any more because applicants for licensure are required to take national examinations and the board only has access to the results of the examinations.
- **Examination Questions, 1907-1969.** This series consists of examination questions used

by the Board of Medical Examiners to test applicants on subjects such as general medicine, surgery, obstetrics, gynecology, preventive medicine, and jurisprudence. Podiatry examinations for 1964 and 1966 are also included. Currently, all applicants for a certificate of qualification to practice medicine are required to take The United States Medical Licensing Examination or other examinations approved by the board. Those old examination questions provide information on the knowledge required for certification as a physician between 1907 and 1969.

- **Records of Annual Examination for Applicants, 1907-1913.** This series consists of bound volumes which list examination data for applicants and fees paid. Each entry includes the following information: name and address of examinee, system of practice (i.e. regular, homeopathic, allopath, or eclectic), graduate or undergraduate (number of courses taken is listed for undergraduate applicant), school attended, and fee paid. This is a good source of information on the types of medicine practiced in the state in the early twentieth century.
- **State and County Examination Tabulations, 1906-1977.** This series contains three volumes listing information on name and number of examinee, organization administering the examination (i.e., the state or county exam board), test scores for various subjects, final average, date of exam, and college where examinee graduated. These volumes were created, for the most part, in the early twentieth century and should be preserved as a documentation of the board.
- **Applications of Chiropody Licensure, 1940.** In 1939 a new law placed chiropodists under the jurisdiction of the Board of Medical Examiners and required all new applicants for licensure as chiropodists to take an examination. Chiropodists already practicing in the state were exempt from taking the exam. The exemption course was overthrown by the state supreme court in 1944; but from 1939 until 1944 many chiropodists applied for and received licenses without taking the exam. Those two volumes, consist of applications for licensure under the grandfather course of the law, documents the initial changes that occurred in the licensing of chiropodists.
- **Chiropody/Podiatry Licensure Applications and Examinations, 1943-1966.** These records are applications for licensure as chiropodists and examinations/answers on various subjects to determine if individuals were qualified to practice chiropody in the state. Included in this series also are a few podiatry examinations given in the 1960s. This series consists of two volumes and represents the state's initial effort in regulating the profession of chiropody.
- **Chiropody Examination and Certification Register, 1940-1966.** This volume records certificates issued under the grandfather course of the Chiropody Act of 1939 to chiropodists and tabulation of chiropody examinations and certification data occurring after 1939. This series provides a record of chiropodists certified by the Board of

Medical Examiners prior to the establishment of the State Board of Podiatry in 1967.

Issuing Certificates of Qualification for Applicants Meeting the Statutory Qualifications for Licensure:

- **Medical Licensure Applicant Photographs, 1916-1960s.** This series contains photographs, attached to note cards, of licensed medical doctors. Information may include name of doctor, education, licensure data, and date of death. The photographs have as much contextual value as several of the above mentioned records because they provide a unique record of medical doctors who have applied for licensure in Alabama. This small group of records (2 cubic feet) may give assistance to individual researchers doing genealogical research on a particular doctor.
- **Reciprocity Medical Licensure Application Files, 1918-1962.** This series consists of reciprocity medical licensure applications and correspondence concerning medical doctors licensed to practice in other states who desired to relocate and practice in Alabama. Currently, the board does not create a separate licensure files for reciprocal applicants and all applicant files are filed together under the licensure files.

Administering Internal Operations:

- **Financial Records, 1896-1953.** This series consists of several bound volumes of general ledgers and account journals created by the board to document its financial transactions. Entries in those volumes generally include type, amount, and date of receipts; type, amount, and date of disbursements. The receipts and disbursements were usually totaled twice a year. Any money remaining was sometimes considered dividend money and was disbursed to members of the board during the years between 1911 and 1933. Collectively, these records are useful in documenting the financial transactions of the board.

The Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama 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 Medical Examiners / Medical Licensure Commission of Alabama. The RDA lists records created and maintained by the Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama in carrying out their mandated functions and activities. It establishes 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 made available to members of the public. Records must also 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 Medical Examiners / Medical Licensure Commission of Alabama records. Copies of superseded schedules are no longer valid and should be discarded.
- 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.
- 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 records and record-related materials need not be retained as records under the disposition requirements in 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 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 social activities. They may be disposed of without documentation of destruction.

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

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama and lists the groups of records created and/or maintained by the agency 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 quarterly meetings.

** denotes the records are in the custody of the Archives

- **Issuing Certificates of Qualification for Applicants Meeting the Statutory Qualifications for Licensure**

MEETING MINUTES OF THE BOARD OF MEDICAL EXAMINERS
Disposition: PERMANENT RECORD.

NEWSLETTERS OF THE BOARD OF MEDICAL EXAMINERS
Disposition: PERMANENT RECORD.

APPLICATIONS FOR CERTIFICATE OF QUALIFICATION TO PRACTICE MEDICINE
Disposition: PERMANENT RECORD.

APPLICATIONS FOR EXAMINATION AND EXAMINATION PAPERS, 1881-1962**
Disposition: PERMANENT RECORD.

EXAMINATION QUESTIONS, 1907-1969**
Disposition: PERMANENT RECORD.

RECORDS OF ANNUAL EXAMINATION FOR APPLICANTS, 1907-1913**

Disposition: PERMANENT RECORD.

STATE AND COUNTY EXAMINATION TABULATIONS, 1906-1977**

Disposition: PERMANENT RECORD.

APPLICATIONS OF CHIROPODY LICENSURE, 1940**

Disposition: PERMANENT RECORD.

CHIROPODY/PODIATRY LICENSURE APPLICATIONS AND EXAMINATIONS, 1943-1966**

Disposition: PERMANENT RECORD.

CHIROPODY EXAMINATION AND CERTIFICATION REGISTER, 1940-1966**

Disposition: PERMANENT RECORD.

Appointments to the Board of Medical Examiners

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the member's term is expired.

■ **Licensing Doctors of Medicine and Doctors of Osteopathy to Practice in the State**

MEETING MINUTES OF THE MEDICAL LICENSURE COMMISSION

Disposition: PERMANENT RECORD.

MEDICAL LICENSURE COMMISSION DIRECTORY

Disposition: PERMANENT RECORD.

MEDICAL LICENSURE APPLICANT PHOTOGRAPHS, 1916-1960s**

Disposition: PERMANENT RECORD.

RECIPROCITY MEDICAL LICENSURE APPLICATION FILES, 1918-1962**

Disposition: PERMANENT RECORD.

Appointments to the Medical Licensure Commission

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the member's term is expired.

Physician/Osteopath Licensure Files

Disposition: Temporary Record. Retain 10 years after death of licensee.

- **Serving as the Certifying Board for Physicians Applying for Alabama Controlled Substances Certificates**

Annual Application for Alabama Controlled Substances Certificates

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

- **Certifying Physician Assistants**

Physician/Surgeon/Anesthesiology Assistant Certification Files

Disposition: Temporary Record. Retain 10 years after death of assistant.

- **Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases**

Records documenting the investigation of complaints, conduct of hearings, and imposition of any disciplinary actions or other legal proceedings by the board/commission.

Disposition: Temporary Record. Retain 10 years after death of physician/osteopath or physician assistant.

- **Serving on the Joint Committee of the Board of Nursing and the Board of Medical Examiners for Advanced Practice Nurses**

The board does not create or maintain any records documenting this subfunction. All records relating to this subfunction are kept by the staff of the Board of Nursing.

- **Reviewing Articles of Incorporations of Professional Corporations Incorporated by Physicians and Osteopaths**

Medical Professional Corporation Files

Disposition: Retain in office (Alabama Administrative Code, Chapter 540-X-1-.07[L])

- **Administering Internal Operations**

Managing the Agency:

General Correspondence/Memoranda

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's 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 into 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, 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

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)

Agency Audit Reports

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

FINANCIAL RECORDS, 1896-1953**

Disposition: PERMANENT RECORD.

Managing Human Resources:

Position Classification Files

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

Application Materials

Disposition: Temporary Record. Retain 1 year.

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

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

Records documenting payroll deduction authorizations

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

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

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

Records documenting employee hours worked, leave earned, and leave taken

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

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

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

Records documenting employees' daily and weekly work schedules

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

Records documenting sick leave donations

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

Employee Flexible Benefits Plan Files

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

Other (applications, correspondence) -- Retain 6 years.

State Employee Injury Compensation Trust Fund Files

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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

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

Property Inventory Cards and/or Computer Files

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

Receipts of Responsibility for Property

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

Real Property Leasing/Renting Records

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

Facilities/Building Security Records (including visitor logs)

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

Motor Pool Vehicle Use Records

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

Insurance Policies/Risk Management Records

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

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority

By signing this agreement the the Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama 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 department, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in July of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Alabama Board of Medical Examiners / Medical Licensure Commission's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis-for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The 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.
- The Alabama Board of Medical Examiners / Medical Licensure Commission of Alabama agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the department staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Larry D. Dixon, Executive Director
Alabama Board of Medical Examiners

By: _____ Date: _____
Cindy D. Weber, Executive Assistant
Medical Licensure Commission

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