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State of Alabama
Department of Corrections

Alabama Criminal Justice Center
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JOHN Q. HAMM
COMMISSIONER

May 15, 2023

ADMINISTRATIVE REGULATION NUMBER 027 **OPR: RESEARCH AND PLANNING**

RECORDS RETENTION

I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes responsibilities, polices, and procedures for effective management, preservation, and disposition of records that are created, maintained, or received in the course of operation of the ADOC.

II. POLICY

It is the policy of the ADOC to retain or dispose of records in accordance with statutory law and as required by the ADOC Functional Analysis & Records Disposition Authority (RDA).

III. DEFINITION(S) AND ACRONYM(S)

A. **Agency Records Administrator**: The Research and Planning Division employee assigned the responsibility to coordinate the RDA department-wide and to represent the ADOC as a liaison with the Alabama Department of Archives and History (ADAH).

B. **Records Coordinator(s)**: The employee(s) designated by the Warden/Division Director and tasked with the responsibility of the records management duties for their facility and/or division.

C. **Record**: Any book, paper, map, photograph, database record, email message, image, or other documentary material, regardless of physical form or characteristics, that is made or received by a government agency and is evidence of the agency's activities or has informational value.

D. **Records Disposition Authority (RDA)**: A document compiled by the Government Records Division (GRD) of the Alabama Department of Archives and History (ADAH) and approved by the State Records Commission (SRC), which establishes retention periods and disposition

instructions for records created and maintained to carry out the mandated functions and activities of the ADOC and provides the legal authority for the ADOC to implement records destruction.

E. **Records Management**: The administrative and managerial activities related to managing records throughout their life cycle, from creation to their final stage of disposition in which they are either destroyed or permanently preserved.

F. **State Records Commission (SRC)**: The state authority established to oversee the disposition of government records created by state agencies and institutions and charged with the responsibility of determining which records shall be permanently preserved because of historical value.

IV. RESPONSIBILITIES

A. Wardens/Division Directors shall designate an employee as Records Coordinator for their area of responsibility to manage the disposal of records for their location.

B. The Agency Records Administrator shall:

1. Provide oversight of the development, implementation, and compliance of records retention procedures in accordance with ADOC policies and the RDA;

2. Maintain an inventory of all ADOC records (Master Document List);

3. Oversee the transfer and/or disposal of records including, but not limited to, the review of all records destruction requests and approval or denial, as appropriate; and

4. Provide training and records management assistance to ADOC employees.

C. The Records Coordinator shall:

1. Act as liaison between the Agency Records Administrator and their facility/Division;

2. Facilitate records management for his/her facility/Division according to agency policies and procedures and the RDA;

3. Notify the Agency Records Administrator whenever records are transferred and stored at the ADAH;

4. Advise the Agency Records Administrator of any additions or changes to the inventory (Master Document List); and

5. Request permission to destroy agency records prior to disposition of records. No records may be disposed of without the written approval of the Agency Records Administrator.

D. Employees are responsible for adherence to this AR and to all ADOC policies and procedures relating to records management, retention, and disposition.

V. PROCEDURES

A. Employees shall familiarize themselves with the RDA and store documents to prevent unauthorized access, to avoid loss, theft, or improper destruction, and to facilitate the proper maintenance or disposal of such documents.

B. Requests to dispose of agency records shall be submitted to the Agency Records Administrator on ADOC Form 027-A, *Request to Destroy Agency Records*, and approval to destroy must be received from the Agency Records Administrator prior to disposal.

C. Records of permanent value and retention shall be maintained in the care and custody of ADOC until such time as the records are transferred to the ADAH for long-term care and preservation. The Agency Records Administrator shall be notified in writing when records are transferred to the ADAH, including a description of the records.

VI. DISPOSITION

Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

VII. FORMS

ADOC Form 027-A, *Request to Destroy Agency Records.*

VIII. SUPERSEDES

This AR supersedes AR 027, *Records Retention*, dated June 6, 2017.

IX. PERFORMANCE

A. Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 41-13-21, as amended.

B. Department of Corrections Functional Analysis & Records Disposition Authority dated October 21, 2015.

John Q. Hamm
Commissioner

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REQUEST TO DESTROY AGENCY RECORDS

ADOC Division/Facility: _____ Records Coordinator: _____

Phone: _____ Request Date: _____ Location of Records: _____

Total approximate volume of records proposed to be destroyed (cubic feet): _____

Letter Size: number of linear inches divided by 15 = number of cubic feet
Legal Size: number of linear inches divided by 12 = number of cubic feet
* For any other document types/sizes contact the Agency Records Administrator

Method of Destruction: ( ) Shredding ( ) Landfill ( ) Recycling ( ) Other _____

CERTIFICATION OF RECORDS COORDINATOR: I hereby certify that I am authorized to act for the division/facility in matters pertaining to the disposal of records and that the records to be disposed of are represented correctly below, that any audit requirements for the records have been fulfilled, and that further retention is not required for any pending or imminent litigation. The records described in the list below that are proposed for disposal have exceeded the retention period listed in the Alabama Department of Correction Records Disposition Authority.

_____ _____
Name, Title, and Date (Print) **Signature**

Record Series Title as Listed on Records Disposition Authority	Inclusive Dates of Records	Volume in Cubic Feet

Authorization for the Destruction of agency records listed above is

( ) Approved
( ) Denied (Justification Attached)

_____
Agency Records Administrator Date

_____
Print Name Date

NOTICE OF DESTRUCTION OF AGENCY RECORDS: The records listed above have been destroyed by the method indicated above and a final copy of this document has been provided to the Agency Records Administrator.

_____
Records Coordinator Date

_____
Print Name Date

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