

Department of Corrections



Functional Analysis & Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Department of Corrections

Sources of Information

Representatives of the Department of Corrections

Code of Federal Regulations, Titles 23 and 49

Code of Alabama 1975, Sections 14-1-1 through 14-15-10

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

Alabama Administrative Code, Chapter 240-X-1

Alabama Government Manual (2010)

Department of Corrections Annual Reports

Department of Corrections Audit Reports (1999-2014)

Holdings of the Department of Archives and History for the Department of Corrections

Government Services Division, State Agency Files (1985-)

Department of Corrections Records Retention Schedules

Department of Corrections website, <http://www.doc.alabama.gov>

Historical Context

When the territory of Alabama was admitted to the Union in 1819, and for several decades afterward, the state did not have a prison system. The administration of justice was left generally in the hands of local citizens, or when available, with county officials. Known as the Father of Alabama Corrections, Governor John Gayle tried in the early 1830s to introduce legislation that would create a more civilized criminal code that included a state penitentiary system. Finally, the state legislature enacted, in 1839, a criminal code that authorized a state penitentiary system. The state's first prison was completed in 1841, on a property adjacent to the Coosa River near Wetumpka. The organizational structure of the first penitentiary system had a warden and three inspectors of the penitentiary, to be elected by joint vote of the legislature. Since the prison could not operate self-sufficiently from taxpayer support, the legislature passed an act in 1846 that permitted private sectors to lease the prison and convicts. The state resumed control of the prison in 1862, after a private warden was killed by a convict.

During the Civil War, the state used convict labor to make wagon wheels and caissons for the war effort. Except for a few hardened criminals, most convicts were pardoned for the war. In 1865, federal troops released all convicts in the state. In 1866, laws were enacted that permitted convicts to be leased for work outside the prison facilities. The convict contracting system proved to be successful in rebuilding the war-ravaged railroad system. In 1885, the state's main penitentiary office was moved from Wetumpka to Montgomery, giving greater political visibility to the prison administration. In addition, a new Board of Inspectors of Convicts was authorized to establish a set of rules governing the prison system that permitted better control of the state's convicts; established discipline; preserved prison property; prevented inhumane treatment; regulated the amount, time, and type of work to be performed; regulated inspections of food, clothing, quarters, and bedding; and provided for medical treatment of convicts. In 1893, the legislature created the Board of Managers "to create a new convict system for the State of Alabama and to provide for the government, discipline and maintenance of all convicts in the state." This act abolished the Board of Inspectors of Convicts but maintained the authority to

appoint penitentiary inspectors. The new law also terminated all contracts with private companies and transferred the convicts back to state prisons. Following the election of Thomas E. Kilby as governor early in 1919, the Board of Control and Economy was established. In 1923, the legislature amended the act of 1919, abolished the Board of Control and Economy, and established the Board of Convict Supervisors. However, the agency name was short-lived and subsequently changed to the Board of Administration. In 1939, the legislature abolished the Board of Administration and created in its place the Department of Corrections and Institutions, with a director appointed by the governor. In 1953, the legislature abolished the Department of Corrections and Institutions and established a Board of Corrections in its place. The board, consisting of five members appointed by the governor, was authorized to appoint from its members a commissioner of corrections. In 1979, the legislature dismantled the Board of Corrections and transferred all powers administering penal and corrections institutions to the governor. On February 3, 1983, the Department of Corrections was established in its present form.

Agency Organization

The department is headed by and under the independent direction, supervision, and control of a Commissioner of Corrections, who is appointed by and serves at the pleasure of the governor. The commissioner has the authority to appoint no more than three deputy commissioners, who serve at the commissioner's pleasure, and to define their duties. The department is divided into the following divisions/office units: Accounting, Central Classification, Central Records, Community Corrections, Correctional Industries, Engineering, Health Services, Information Systems and Communications, Institutional Services, Investigations and Intelligence, Legal, Operations, Personnel, Program Services, Research and Planning, Training, Transportation, and Womens' Services. Except for the Alabama Criminal Justice Training Center in Selma, all divisions and offices are located at the Criminal Justice Center in Montgomery. In addition to its central office headquarters, the agency operates six close security correctional institutions, 10 medium security correctional institutions, and 12 minimum security work release /community work centers across the state. The department employs over 3,800 staff members, with a jurisdictional population of 32,000 inmates.

Agency Function and Subfunctions

The mandated function of the Department of Corrections is to administer and exercise direct and effective control over penal and correctional institutions throughout the state. It is one of the agencies responsible for performing the Law Enforcement and Emergency Powers function of Alabama government. In the performance of its mandated function, the Department of Corrections may engage in the following subfunctions.

Promulgating Rules and Regulations. The Code of Alabama, Section 14-1-11, invests the agency with the power to "establish and promulgate rules and regulations, including amendments and repeals, with respect to the manner of performance of all functions and duties." Code of Alabama, Section 14-1-8(a)(6) also mandates the agency to "promulgate such rules and regulations necessary to hygiene, sanitation, cleanliness, healthfulness, feeding of inmates, management and security of all prisons and jails."

Maintaining Inmate Records, Classifying Inmates, and Transporting Inmates.

The department's Central Records Division, located at the Criminal Justice Center in Montgom-

ery, processes and maintains inmate files, which consist of all documentation received for all active or inactive inmates. Inmate files document the incarceration of individual inmates in the custody of the department. The department utilizes a centralized objective classification system to process the inmate during intake classification. Initial assessment and classification begin at Kilby Correctional Facility for all male inmates, and at Tutwiler Prison for Women for all female inmates. The system is managed by the staff of the Central Classification Division in Montgomery and is supported by classification staff members located at each of the agency's correctional facilities across the state. After initial classification, any recommendation for changes in classification or placement must be reviewed and approved by the Central Review Board, made up of eight intake supervisors at the agency's central office. The agency's Transfer Division is responsible for providing daily prisoner transport to deliver new inmates from county jails, transfer inmates between facilities, take inmates to and from court appearances/hospitals, and pick up fugitives.

Treating and Educating. The agency's Office of Health Services is charged with the responsibilities of planning, organizing, and providing medical services, mental health treatment, and substance abuse programs for inmates. All health care, pharmacy, and dental care services are provided through contracted professionals. In response to the court-ordered consent agreement relating to mental health care, all inmates are psychiatrically screened for any presenting symptom of serious mental illness, predisposition towards harm to self or others, and any history of emotional difficulties. All treatment programs are provided by local correctional facility staff, supplemented by inmate tutors and contracted programs by regional community colleges.

The Program Services Division coordinates the development and provision of educational and special education services, library service, youthful offender transition programs, and GED education for inmates. Service provision is implemented primarily by post-secondary schools or local education authorities (LEA). All major correctional facilities have libraries maintained, under supervision of correctional officers, by trained inmates. The youthful offender programs, funded by the U.S. Department of Education, provide inmates with vocational training, employability skills assessment and training, and other basic life skills training.

Recruiting and Training. The purpose of this subfunction is to recruit and train correctional personnel to meet the requirements of the Alabama Peace Officers' Standards and Training Commission and the needs of their individual job description. All correctional officer trainees must receive 480 hours of basic training at the Alabama Criminal Justice Training Center (located in Selma), plus 12 days of supervised on-the-job training at their respective facilities. In addition, annual training for wardens/correctional staff; refresher training for rehired officers; and other specific training, tailored to support staff job needs, are regularly conducted by local correctional facilities across the state. The majority of the work is managed by the Training Division in the agency's central office, but many of the training classes are handled locally at designated correctional facilities within a multi-county region.

Engineering and Maintaining. The Engineering Division operates under the leadership of the Deputy Commissioner of Maintenance and Construction. This division provides technical assistance to the agency for any minor or major construction projects and related compliance requirements. It also inspects and maintains the prisons.

Utilizing Inmates and Disposing Products. The department is empowered, under the Code of Alabama, Section 41-1-8(a)(2), to “sell, distribute, process or otherwise dispose of all farm products, livestock or poultry raised, or articles, goods or wares made or manufactured by use of labor or machinery under the control or supervision of the agency.”

Operations of the Alabama Correctional Industries (ACI) Division involve manufacturing, service enterprises, farms, fleet maintenance facilities, and warehouse/distribution facility. The bulk of goods and services produced by ACI can only be sold to state and local government agencies that are funded by tax revenues. In addition to providing goods and services to government entities, inmates employed by ACI also receive vocational training through their work.

Researching, Planning, and Reporting. This subfunction documents the efforts of staff of the agency’s Research and Planning Division in providing technical assistance to other units within the agency for research, program monitoring, and evaluation and assisting the Commissioner’s Office in planning, budgeting, program development, coordinating reviews of proposed regulations and laws, and acting as the clearinghouse for all federal and state grant-related activities. In accordance with the Code of Alabama, Section 14-1-8(a)(8), the division staff is also responsible for preparing a detailed report to the governor annually, or at such other times as the governor may require, concerning the condition of any or all prisons/jails and inmates.

Investigating and Gathering Intelligence. Pursuant to the Code of Alabama, Section 14-3-9, staff of the agency’s Investigations and Intelligence Division conduct confidential investigations concerning inmates, agency staff, and civilians who are alleged to have engaged in criminal activities or administrative violations of the agency’s policies and procedures. Activities may involve processing the crime scene, photographing and collecting evidence, maintaining the chain of custody of the evidence, interviewing suspects and witnesses, coordinating with forensics labs, preparing analysis reports, and participating in court presentations. The division is also responsible for gathering intelligence information and disseminating it to the proper authorities. With headquarters in the Criminal Justice Center, the division operates four regional offices in Escambia, Limestone, Montgomery, and St. Clair Counties. Each office is responsible for covering cases associated with correctional facilities in proximity to their office location.

Operating Correctional Institutions. Code of Alabama, Section 14-1-8 (a) (1) mandates the department to “manage, supervise, and control all penal and correctional institutions” in the state.

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 policies 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, 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 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.

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.

Analysis of Record-Keeping System and Records Appraisal of the Department of Corrections

Agency Record-Keeping System

The Alabama Department of Corrections' records are created and maintained in a variety of electronic, microfilm/microfiche and paper records.

Computer Systems: The Alabama Department of Corrections Information Systems Division (IS) is centrally responsible for all Information Technology (IT) services and equipment used by ADOC personnel. Those responsibilities include Local Area Networks (LANs) at each correctional facility as well as Wide Area Network (WAN) connections between each remote site and a central data center located in the Criminal Justice Center in Montgomery. The department currently has 75 servers running a mixture of Microsoft Windows 2003, Windows 2008, and Windows 2012 supporting the various IT functions of the department. In addition, there are approximately 1,400 personal computer devices connected to the ADOC network, primarily running Windows 7, that are used to access the department's enterprise systems. The ADOC-controlled enterprise systems are continuously backed up, via a dedicated, Unitrends back-up appliance on a two-hour, four-hour, or nightly schedule, depending on the criticality of the system. In addition, a rotating, weekly disk back-up is taken and stored off-site for emergency purposes. The department utilizes ISD-provided e-mail systems and the state's mainframe-based financial management systems.

The department maintains the following databases: (1) Inmate Management System (IMS), and (2) Kronos Labor Management for tracking employee work hours and leave usage. The system is currently scheduled to be replaced by the ISD-provided statewide eStart system in 2015. (3) Vault Document Management System for the capture and distribution of electronic versions of all documents related to inmate management. This system is scheduled to be transitioned to the ISD-hosted LaserFiche Rio document management solution in 2015. (4) Administrative Investigation Management (AIM) database for incident investigations; (5) ServiceDesk for helpdesk management; (6) WebID for inmate and employee IDs; (7) OpManager for systems monitoring, as well as numerous other support databases for enterprise support systems, such as Sharepoint, Forefront Threat Management Gateway, Symantec AV, Windows Update Services, etc. The department maintains a website at <http://www.doc.alabama.gov>.

Microfilm/Microfiche: The Department of Corrections produced rolls of film for inmate records that were identified and filed by inmate Red number through approximately 1983, when the Red number was abolished. The creation and maintenance of inmate files organized by Alabama Inmate Serial (AIS) number continued utilizing microfiche until the cessation of microfilming in January 1996. All inmate records have been created using a paper-based system since January 1996. Scanning of incarcerated female inmate files began in 2003 as a pilot project; all institutions and divisions were viewing, storing and managing active male and female electronic inmate records by August 2007. The agency still maintains the original rolls of microfilm and microfiche, some paper documents, and the electronic images of inmate records.

Paper-based System: Staff members continue to create and maintain most of the agency's records in paper form. The department does not have a paper records management procedural

manual for guiding staff in records storage, transfer, and disposition activities. Currently, the department utilizes the Alabama Department of Archives, State Records Center for storage of some of its inactive paper records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Corrections: 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 their fiscal, legal, and administrative requirements have been met. Some temporary records created by the Department of Corrections are discussed below:

Monthly Statistical and Trend/Projected Analysis Reports. These reports, compiled by department staff, document important statistics of the state's inmate population. They offer detailed representations of department activities, such as inmate intakes and releases, leading contributors of inmates, demographics and sentencing information, educational program information, correctional staffing levels, and other facility operation data. The reports are used to predict trends and plan activities, and in some cases to prepare annual reports. Because they have long-term reference value, they are appraised for 10-year retention after the end of the fiscal year of creation.

Records Documenting the Operation of Correctional Institutions. These records document the management, supervision, and control of correctional facilities under the department's operation. They include, but are not limited to: institutional logs essential to general operation and security of the facilities, which are maintained on a daily or other periodic basis; records documenting routine security administration functions and incidents at the facility; general warehouse operations, including financial management, general inventory management and maintenance of the warehouse; and records documenting the ordering and distribution of food supplies, equipment, sanitation products, and other supplies to correctional facilities throughout the state. Retention periods for these administrative are short-term and often linked to audit requirements.

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

Promulgating Rules and Regulations

Administrative Regulations. This is a collection of administrative regulations that govern all aspects of the department's procedures. Categories of the regulations include general administration and management; fiscal and logistical management; personnel management and training; security management; inmate and institutional programs; inmate mental health services; and inmate health services. This series is appraised as permanent to document the official policies and procedures of the Department of Corrections. (RDA, page 15) (**Bibliographic Title: Administrative Regulations**)

Policies and Procedures Manuals. This series may include procedural manuals, rules and regulations, instructions, memoranda, and other issuances that establish a course of action for the department or one of its divisions. Like Administrative Regulations, it documents the official

policies and procedures of the department. Manuals may contain statements of departmental philosophy, rules and regulations governing personnel, work time, leave, travel, staff development and training, and detailed operating procedures for various programs and services. They may also include minimum standards developed by the staff for the rehabilitation of inmates. Revisions are reviewed and approved by the department as necessary. (RDA, page 15) (**Bibliographic Title: Policies and Procedures Records**)

Maintaining Inmate Records, Classifying Inmates, and Transporting Inmates

Inmate Records. These records are included in the Inmate Central Records file and document inmates' incarceration, from reception to release. The file includes, but is not limited to, name, age, complexion, color of hair and eyes, fingerprints, photograph, place of birth, county of conviction, nature of the crime, and period of imprisonment. This series is appraised as permanent to comply with the Code of Alabama, Section 14-3-35. (RDA, page 15) (**Bibliographic Title: Inmate Records.**)

Treating and Educating

Medical Advisory Board Minutes, Agendas, and Packets. These records document meetings of the medical advisory committee, which establishes departmental policy on such issues as medical services, mental health services, and substance abuse programs provided for inmates. Included in the records are meeting agendas and packets of materials reviewed by members before meetings. Like most such records, they provide essential documentation of policy development and are appraised as permanent. (RDA, page 16) (**Bibliographic Title: Medical Advisory Board Meeting Files**)

Recruiting and Training

Training/Professional Development Standards, Policies, Procedures, and Publications. These records document the department's overall standards, policies, and procedures in providing training and professional development services to its employees. They may include general policy statements or guidelines, administrative directives, training manuals, and other publications. Documentation of training standards may also be needed to demonstrate that employees received adequate training in the performance of their job responsibilities. Like other administrative policies and procedures, these records are appraised as permanent. (RDA, page 16) (**Bibliographic Title: Training/ Professional Development Files**)

Engineering and Maintaining

Engineering and Maintenance Documents. This series of records is created during the course of construction and maintenance activities, facility design, operational guidance and troubleshooting engineering and maintenance issues. It includes: Blueprints of all Facilities and Related Institutional Correspondence Files, Institutional Construction Files, Contracts for Water and Sewer Services, Americans with Disabilities Act Compliance Material, All Facilities' Construction Specifications, and Environmental Management and Compliance (chemical disposal, material safety data, etc.). (RDA, page 17) (**Bibliographic Title: Engineering and Maintenance Files**)

Final Environmental Clearance Documents Issued by Regulatory Agencies. This series consists of documents issued by federal, state, or local regulatory agencies in order to obtain final approval for a Department project requiring such approval. These records are important to provide permanent documentation of the impact of construction on the environment. (RDA, page 17) (**Bibliographic Title: Final Environmental Clearance Files**)

Utilizing Inmates and Disposing Products

Permanent records related to this subfunction include such records as Discharge Orders for State Convict Records, Death Records for State Convicts, and Convict Records and their indices, which are already in the Archives' custody. At the county level, permanent records in the probate RDA include Records of Convicts Sentenced to Hard Labor, Penitentiary Convict Records, and Criminal Contract Records. These are all obsolete records, terminating anywhere between the 1920s and the 1950s.

Researching, Planning, and Reporting

Agency History Files. This series consists of material, not included in the administrative files of the director, which documents the history of the department. It may specifically address such issues as changes in administration or modifications in departmental structure. Collectively, the records provide essential documentation of the agency's activities over time. They are appraised as permanent. (RDA, page 17) (**Bibliographic Title: Agency History Files**)

Annual Reports. The Code of Alabama, Section 14-1-13, mandates the department to submit an annual report of its activities to the governor. These reports are appraised as permanent because they document fulfillment of this statutory mandate. (RDA, page 17) (**Bibliographic Title: State Publications**)

Grant Project Final Narrative Reports. Primary operations of the Department of Corrections are often sponsored, in part, by the federal government. Grant project final narrative reports should be maintained permanently as documentation of the department's fulfillment of its obligations to the federal government in receiving funding. (RDA, page 18) (**Bibliographic Title: Grant Project Final Narrative Reports**)

Investigating and Intelligence Gathering

The department creates no permanent records under this subfunction.

Operating Correctional Institutions

Inmate Cemetery Plot Assignment File. This series contains outline documents that depict burial locations of inmates who died during incarceration. The records also show available plots for future burials of inmates whose bodies are not claimed by family members or friends. The records should be maintained permanently to document burial and future space locations. (RDA, page 19) (**Bibliographic Title: Inmate Burial Files**)

Administering Internal Operations

Administrative Files of the Commissioner. This series, although consisting of the commissioner's correspondence, also contains various other records documenting the activities of the department. Typical records include correspondence, memoranda, reports, publications, and other materials concerning departmental policy, procedures, organization, programs, and fiscal or personnel matters. The files should be maintained permanently to document policy making within the department. (RDA, page 20) **(Bibliographic Title: Administrative Files)**

Publications and Press Releases. This series consists of statements or announcements concerning the department and its work for distribution to the news media and the public. The records also include copies of "Corrections News", the DOC newsletter, which is issued to provide an overview of activities and events concerning all divisions/offices/facilities across the state. Publications and press releases provide supplemental updates on the department's facilities and program operations. (RDA, page 20) **(Bibliographic Title: State Publications)**

Senior and Executive Staff Meeting Minutes. These records document proposed and executed proceedings of the department's senior and executive staff members. "Formal meeting minutes that have been approved by the State Records Commission for permanent preservation must include meeting agendas, approved and signed minutes, and meeting packets as distributed by staff members of the agency/board/commission for review and/or action by the agency/board/commission during the meeting. Meeting packets may include, but are not limited to, any resolution, ordinance, petition, report, exhibit, and other related supporting documents that were discussed or adopted at a meeting. Meeting agendas and packets should always be attached to the minutes and become part of the official record." (RDA, page 20) **(Bibliographic Title: Senior and Executive Staff Meeting Files)**

Legislative Files. These files document attempts to draft, track, or influence pending legislation that affects the department or correctional activities. They may include requests for legislation, drafts of legislation, comments on proposed legislation, and related correspondence. These records are necessary to document attempts by the department to create, change, or maintain laws affecting its activities. (RDA, page 21) **(Bibliographic Title: Legislative Files)**

Website and Social Media Sites. The department maintains an extensive website at www.doc.alabama.gov. ADAH archivists capture and preserve agency websites, and other social media sites, through a service offered by the Internet Archive (Archive It). This series documents the department's efforts to disseminate information and interact with other agencies and the public. (RDA, page 21) **(Bibliographic Title: Website and Social Media Sites)**

Annual/Semiannual Property Inventory Lists. The Code of Alabama 1975, Section 36-16-8[1] requires that "the head of each department or agency of the state shall designate one of its employees as property manager for the department or agency. Section 41-1-6 of the Code of Alabama states that except for books, the property manager shall make a full and complete inventory of all non-consumable personal property and certain other items of personal property deemed important or sensitive enough by the Property Inventory Control Division to be included in the inventory of state property of the value of five hundred dollars or more owned by the state and used or acquired by the department or agency. The inventory shall show the complete description, manufacturer's serial number, cost price, date of purchase, location, and custodial

agency, responsible officer, or employee, and the state property control marking . . . All property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office. (RDA, page 23) **(Bibliographic Title: Inventory Lists)**

Permanent Records List Department of Corrections

Promulgating Rules and Regulations

1. Administrative Regulations
2. Policies and Procedures Manuals

Maintaining Inmate Records, Classifying Inmates, and Transporting Inmates*

1. Fingerprint Cards Document Type Records
 - a. Fingerprint Cards
 - b. Final Disposition Reports (R-84)
2. Photographs
3. Court Transcript Document Type Records
 - a. Case Action Summary
 - b. Court Orders
 - c. Court Transcripts
 - d. Judgements
 - e. Plea of Guilty/Settlement Agreement
 - f. Sentencing Order
4. Classification Summary Document Type Records
 - a. Boarding Sheet/Earning Status
 - b. Classification Summary Report Import
 - c. Initial Intake Classification Summary with minutes and notices
 - d. Initial Security Level Risk Assessment
5. Release Document Type Records
 - a. Appeal Bonds
 - b. C-80s – Receipt of Released Convict
 - c. Community Corrections Program Probation Instructions
 - d. Death Certificate/Notice
 - e. Medical Furlough Forms (all)
 - f. Order of Probation/Release
 - g. Parole Detainers
 - h. Pre-Release Screening
 - i. Release Check List
 - j. Release forms - any forms (email, fax, teletype)
 - k. Release Orders
 - l. Sex Offender Documents
 - m. Sex Offender Notification Letter
 - n. Sex Offender Notification Worksheet

Treating and Educating

1. Medical Advisory Board Minutes, Agendas, and Packets

Recruiting and Training

1. Training/Professional Development Standards, Policies, Procedures, and Publications

Engineering and Maintaining

1. Blueprints of all Facilities and Related Institutional Correspondence Files
2. Institutional Construction Files
3. Contracts for Water and Sewer Services
4. Americans with Disabilities Act Compliance Material
5. All Facilities' Construction Specifications
6. Final Environmental Clearance Documents Issued by Regulatory Agencies

Researching, Planning and Reporting

1. Agency History Files
2. Annual Reports
3. Grant Project Final Narrative Reports

Operating Correctional Institutions

1. Inmate Cemetery Plot Assignment Files

Administering Internal Operations

1. Administrative Files of the Commissioner
2. Publications and Press Releases
3. Senior and Executive Staff Meeting Minutes
4. Legislative Files
5. Website
6. Annual/Semiannual Property Inventory Lists*

*Indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Department of Corrections 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 representatives of the Department of Corrections. The RDA lists records created and maintained by the Department of Corrections 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 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 shall govern the disposition of all records, regardless of format, created by the agency from its 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 governing the retention of the Alabama Department of Correction's records. Copies of any superseded schedules are no longer valid and should be destroyed.

The RDA establishes retention and disposition instructions for records, 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 email 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 maintain 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; and (5) honorary

materials, plaques, awards, presentations, certificates, and gifts received or maintained by the office staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Department of Corrections 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 department may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regularly scheduled meeting.

Promulgating Rules and Regulations

ADMINISTRATIVE REGULATIONS

Disposition: PERMANENT RECORD.

POLICIES AND PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

Maintaining Inmate Records, Classifying Inmates, and Transporting Inmates

Inmate Records (comprehensive Central Records file of all documents and information received and maintained on active and inactive inmates). See Permanent Records List for a full listing of permanent records.

FINGERPRINT CARDS DOCUMENT TYPE RECORDS

PHOTOGRAPHS

CLASSIFICATION SUMMARY DOCUMENT TYPE RECORDS

COURT TRANSCRIPT DOCUMENT TYPE RECORDS

RELEASE DOCUMENT TYPE RECORDS

Disposition: PERMANENT RECORDS

All remaining documents and information contained in the Inmate Record. Includes, but is not limited to, correspondence to, from, and about an inmate; visitation, fund, and phone lists; program participation and certificates; orientation; job assignments; conduct; religious information; progress reviews; parole information and investigative reports.

Disposition: Temporary Record. Retain 20 years after last release date of inmate.

Statistical or other reports generated in the classification division documenting work progress

Disposition: Temporary Record. Retain until superseded.

Inmate Transfer Orders

Disposition: Temporary Record. Retain 3 years.

Treating and Educating

Health Services:

MEDICAL ADVISORY BOARD MINUTES, AGENDAS, AND PACKETS
DISPOSITION: PERMANENT RECORD

Recordings of Medical Advisory Board Meetings
Disposition: Temporary Record. Retain until minutes are approved.

Inmate Treatment Records and Medical Contracts
Disposition: Temporary Record. Retain 7 years.

Medical and Mental Health File of Inmate
Disposition: Temporary Record. Retain 7 years after release of inmate. For inmates who die while incarcerated, retain 2 years after death of inmate.

Master Plans
Medication Logs
Drug Testing Detail Reports
Disposition: Temporary Record. Retain 5 years.

Records documenting communication with staff and outside departments
Attendance records
Equipment orders
Disposition: Temporary Record. Retain 1 year.

Educational/Vocational Services:

Testing Material and other records documenting educational services for inmates
Disposition: Temporary Record. Retain 1 year.

Recruiting and Training

TRAINING/PROFESSIONAL DEVELOPMENT STANDARDS, POLICIES, PROCEDURES,
AND PUBLICATIONS
Disposition: PERMANENT RECORD.

Records created during the course of a correctional officer's academy training, documenting the training received and the officer's performance.
Disposition: Temporary Record. Retain 50 years in the event the qualifications of an attendee are questioned.

Records documenting the training of correctional officers in safety, defensive tactics, variety of weaponry, and facility policy and security procedures to maintain proficiency and safety (e.g., Proficiency Evaluation Checklists, Firearm Qualification Score Sheets, Night Firing Familiarization Course and Safety Rules, Strategic Self-Defense, Grappling Tactics, and Revised Gun

Control Acts.

Disposition: Temporary Record. Retain 50 years in the event the qualifications of an attendee are questioned.

Records documenting routine training and professional development (e.g., training presentations, lesson plans, lists of attendees at workshops or training sessions, unpublished handouts appraisals of training by participants.

Disposition: Temporary Record. Retain 50 years.

Engineering and Maintaining

BLUEPRINTS OF ALL FACILITIES AND RELATED INSTITUTIONAL
CORRESPONDENCE FILES

INSTITUTIONAL CONSTRUCTION FILES

CONTRACTS FOR WATER AND SEWER SERVICES

AMERICANS WITH DISABILITIES ACT COMPLIANCE MATERIAL

ALL FACILITIES' CONSTRUCTION SPECIFICATIONS

Disposition: PERMANENT RECORD.

FINAL ENVIRONMENTAL CLEARANCE DOCUMENTS ISSUED BY REGULATORY
AGENCIES

Disposition: PERMANENT RECORD.

National Pollutant Discharge Elimination System (NPDES) Permits

Underground Storage Tank Files

Disposition: Temporary Record. Retain 5 years after final environmental clearance.

Boiler Inspection Reports

Water Testing Consumer Reports

Disposition: Temporary Record. Retain 5 years.

Utilizing Inmates and Disposing Products

Alabama Correctional Industries Order Forms

Disposition: Temporary Record. Retain 3 years or until audited.

Employee Hobby Craft Forms

Disposition: Temporary Record. Retain until transaction completed.

Inmate Hobby Craft Purchase Forms

Disposition: Temporary Record. Retain until invoice paid.

Records documenting General Management of Alabama Correctional Industries

Disposition: Temporary Record. Retain 2 years or until no longer needed.

Researching, Planning, and Reporting

AGENCY HISTORY FILES

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Monthly Statistical and Trend/Projected Analysis Reports

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year.

GRANT PROJECT FINAL NARRATIVE REPORTS

Disposition: PERMANENT RECORD

Records documenting routine grant activities, compliance with grant program requirements, and grant project final reports.

Disposition: Temporary Record. Retain 3 years after date of closeout.

Records documenting grant applications that have been denied.

Disposition: Temporary Record. Retain 3 years after the date of denial.

Raw Data (collected from statistical surveys and converted into statistical reports)

Disposition: Temporary Record. Retain until final product is published.

Reports and/or Data Collected in Response to Public Records Requests and other information requests

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

Records documenting assistance with academic research and/or studies

Disposition: Temporary Record. Retain 3 years.

Records documenting the implementation of the department's approved Records Disposition Authority (RDA) (copies of transmittal forms to the Archives and History State Records Center, evidence of obsoleted records destroyed, and the department's annual reports to the State Records Commission.

Disposition: Temporary Record. Retain 3 years after creation/ADAH approval date.

Copy of RDA

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

Investigating and Intelligence Gathering

Chain of Evidence Forms

Disposition: Temporary Record. Retain 5 years.

Records documenting internal investigation case files

Files relating to investigations that result in criminal charges
Temporary Record. Retain in Legal Case Files.

Files relating to investigations that do not result in criminal charges
Temporary Record. Retain 3 years after investigation is concluded.

Criminal and administrative investigation records alleging sexual abuse

Files involving an inmate as the alleged abuser
Disposition: Temporary Record. Retain 5 years after release date of the inmate

Files involving a staff member/employee as the alleged abuser
Disposition: Temporary Record. Retain 5 years after termination date of the staff member/employee

Operating Correctional Institutions

Institutional Services:

Schedules, correspondence, and other records documenting general operations of warehouse management

Disposition: Temporary Record. Retain 3 years or until audited, whichever is longer.

Records documenting general inventory management

Disposition: Temporary Record. Retain 3 years or until audited, whichever is longer.

Raw Food Cost Reports

Disposition: Temporary Record. Retain 3 years.

Records documenting Meat Processing Management

Disposition: Temporary Record. Retain 3 years or until no longer needed.

Inventory Adds/Changes/Deletions Files

Disposition: Temporary Record. Retain 6 years after year the record was created.

Delivery Spreadsheet Schedules and Fleet Delivery Schedules

Disposition: Temporary Record. Retain 1 year.

Records documenting General Maintenance of the Warehouse

Disposition: Temporary Record. Retain 2 years or until audited.

Institutions:

INMATE CEMETERY PLOT ASSIGNMENT FILE

Disposition: PERMANENT RECORD.

Institutional Logs and documents essential to general operations of the facility (examples include, but are not limited to, Central Control Logs, Daily Post Roster (staff), Disciplinary Logs, Disposal of Contraband Form, Duty Post Logs (staff), Facility Legal Correspondence File, Fire Drill Logs, Fire Marshal Inspection Reports, Incident Report/Logs, Infirmary Logs, Radio Unit Log Sheets (Form N-615), Inmate Daily Movement Sheets, Inmate Segregation File, Lethal Drug Inventory Sheets, etc.

Disposition: Temporary Record. Retain 5 years.

Institutional logs/checklists and documents specific to day-to-day operations of the facility (examples include, but are not limited to, Administrative Segregation Forms, Barred Visitor's Lists, Certified Mail Logs, Employee Sign In/Out Logs, Inmate Bed Rosters, Inmate Legal Mail Logs, Inmate Visitors Sign In/Out Logs, Tool Inventory Forms, etc.)

Disposition: Temporary Record. Retain 3 years.

Subsidiary institutional logs/checklists and documents essential to operations of the facility (examples include, but are not limited to, Boiler Chemical Level Records, Daily Boiler Logs, Dryer Maintenance Reports, etc.)

Disposition: Temporary Record. Retain 2 years.

All other institutional logs/checklists and documents essential to operations of the facility (examples include, but are not limited to, Armory Entrance Logs, Daily Tool Logs, Hand Held Radio Logs, Daily Post Logs, Fire Extinguisher Checklists, Recycling Reports, Vehicle Logs, Inmate Personal Fund Records, Inmate Store Order Request Slips, Department of Public Health food store inspection reports, etc.)

Disposition: Temporary Record. Retain 1 year or for useful life.

All records documenting religious programs at the facility

Disposition: Temporary Record. Retain 3 years.

Records documenting incidents occurring at facilities

Disposition: Temporary Record. Retain 3 years after resolution of incident.

Prison Rape Elimination Act (PREA) Comparison Reports documenting sexual abuse data

Disposition: Temporary Record. Retain 10 years.

Administering Internal Operations

Managing the Agency

Records documenting routine administrative functions of internal agency operations

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

Office of the Commissioner:

ADMINISTRATIVE FILES OF THE COMMISSIONER
PUBLICATIONS AND PRESS RELEASES

SENIOR AND EXECUTIVE STAFF MEETING MINUTES

Disposition: PERMANENT RECORD.

Printouts of acknowledgment from the Secretary of State relating to notices of meetings posted by state agencies.

Disposition: Temporary Record. Retain 3 years.

Meeting Agendas and Minutes of Internal Task Forces or Committees

Disposition: Temporary Record. Retain 5 years.

Administrative Reference Files (materials not created by the agency, collected and used only as reference sources of information: calendars, schedules, logs and mailing lists in the Office of the Commissioner)

Disposition: Temporary Record. Retain for useful life.

Routine Correspondence (includes requests for information or assistance)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year.

Records documenting request and use of consultants

Disposition: Temporary Record. Retain 1 year after close of project.

LEGISLATIVE FILES (drafts of proposed department-sponsored legislation, tracking files)

Disposition: PERMANENT RECORD.

Legal:

Complaint/Legal Case Files

Disposition: Temporary Record. Retain 6 years after the resolution of the complaint or case.

Board of Adjustment Claim Files

Disposition: Temporary Record. Retain 6 years after determination of claim and settlement of all appeals.

Attorney General Informal Legal Opinions

Disposition: Temporary Record. Retain for useful life.

Personal Service Contracts

Disposition: Temporary Record. Retain 7 years after termination of contract.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 1 year after disposition of case.

Victim/Constituent Services:

Records documenting victim services and constituent services

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year.

Information Systems and Technology (*Information Systems*):

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at www.archive-it.org/organizations/62 to ensure your agency website 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 Government Services Division at 334-242-4452 to get them included.)

System Documentation (project/program files and specifications, computer planning/scheduling/configuration, design/requirement documentation, implementation plans, hardware/software manuals and diskettes, licenses, and warranties)

Disposition: Temporary Record. Retain documentation of former system 1 year after audit in the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

System Backup/Data File Backup

Disposition: Temporary Record. System backup and data file backup tapes should be reused on a rotating basis.

Records documenting routine functions of Information Systems

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

Managing Finances (*Accounting*)

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

Disposition: Temporary Record. Retain 1 year following audit.

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

Disposition: Temporary Record. Retain 1 year following audit.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips and cancelled checks; financial statements on various institutional funds (General Fund, Institutional Contingency Fund, Prisoner's Money on Deposit, Canteen Fund, Revolving Fund), etc.

Disposition: Temporary Record. Retain 1 year following audit.

Records documenting requests for authorization to travel in-state and out-of-state and other related documents such as travel reimbursement forms

Disposition: Temporary Record. Retain 1 year following audit.

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

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$15,500.00
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department – Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

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

Internal Audit Files (listing of discrepancies and appropriate action required)

Disposition: Temporary Record. Retain 5 years.

Notary Certification Files

Disposition: Temporary Record. Retain 5 years.

Managing Properties, Facilities, and Resources

ANNUAL/SEMI-ANNUAL PROPERTY INVENTORY LISTS*

Disposition: PERMANENT RECORD. Retain in Office. (§36-16-8(1) and §41-1-6 *Code of Alabama, 1975*, as amended)

Records documenting real property ownership and reporting

Disposition: Temporary Record. Retain 3 years after audit in the fiscal year in which the property was sold.

Records documenting contracts and agreement for services or personal property

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

Records documenting the lease or rental of office or warehouse space for the department

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

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

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 1 year following audit.

Receipts of Responsibility for Property

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

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 3 years from termination cancellation of insurance.

Records documenting routine maintenance on buildings (work orders)

Disposition: Temporary Record. Retain until problem resolved or work completed.

Records documenting maintenance of vehicle and equipment

Disposition: Temporary Record. Retain 1 year after audit in the fiscal year in which the property is removed from the inventory.

Managing Human Resources: (*Personnel*)

Employee Personnel Files (201 file) (includes employee work history and final leave status)

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

Employee Personnel Files/Records maintained within facilities/divisions

Disposition: Temporary Record. Retain 1 year after separation of employee from division.

Records documenting job requirements, job recruitment and interviews;

Disposition: Temporary Record. Retain 3 years.

Position Classification Files

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

Certification of Eligibility for Employment/Personnel Transaction Files

Disposition: Temporary Record. Retain until superseded.

Records documenting application for employment

Disposition: Temporary Record. Retain 2 years after date of receipt.

Records documenting payroll (e.g. GHRS report, LMS to GHRS report, GHRS ledger, compensatory time forms, payroll check receipt forms)

Disposition: Temporary Record. Retain 1 year following audit.

Records documenting payroll deduction authorizations

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

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

Disposition: Temporary Record. Retain 1 year following audit.

Records documenting employees hours worked, leave earned, leave taken, and leave donation

Disposition: Temporary Record. Retain 1 year following audit.

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings case files)

Disposition: Temporary Record. Retain 3 years following decision.

Employee Flexible Benefits Plan Files (applications and correspondence)
Disposition: Temporary Record. Retain 6 years after separation of the employee

Records documenting the State Employee Injury Compensation Trust Fund Claims
Disposition: Temporary Record. Retain 6 years after separation of employee.

Worker Compensation Injury and Settlement Reports
Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (§25-5-4 *Code of Alabama, 1975*, as amended)

Records documenting the Fair Labor Standards Act (FLSA) activities
Disposition: Temporary Record. Retain 1 year following audit.

Records documenting the Family Medical Leave Act (FMLA) activities
Disposition: Temporary Record. Retain 1 year following audit.

Requirements and Recommendations for Implementing the Records Disposition Authority

Requirements

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency 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 Alabama Department of Corrections (hereafter referred to as 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 of agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year.

Recommendations

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

The agency should designate a records liaison, 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 alternate 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 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.

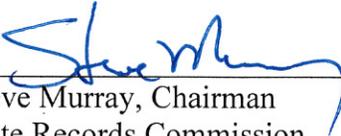
The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If an 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 may contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

agency should preferably employ an electronic records management system capable of sorting email 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. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 21, 2015.

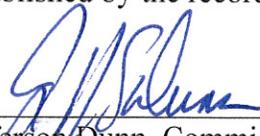


Steve Murray, Chairman
State Records Commission

11/16/15

Date

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



Jefferson Dunn, Commissioner
Alabama Department of Corrections

11/18/15

Date