

# **Alabama Board of Pardons and Paroles**

## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
October 28, 1998**

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# **Functional and Organizational Analysis of the Board of Pardons and Paroles**

## **Sources of Information**

### **Representatives of the Board of Pardons and Paroles**

Don Parker, Acting Executive Director  
Carolyn Courson, Accounting  
Flo Staggs, Field Services  
Steve Sirmon, Legal  
Anelyn Odom, Administrative Services  
Cynthia Dillard, Administrative Services  
Bill Segrest, Interstate Compact  
Jim Cotton, Research and Training

Frank Vickery, Montgomery County Field Office

Constitution of 1901, Article V, Section 124, and Amendment 38

Constitution of 1875, Article V, Section 12

Code of Alabama, 1975, Sections 12-15-34.1, and 15-22-1 through 15-22-77

Code of Alabama, 1940, Sections 1 through 18 and 19 through 26

Code of Alabama, 1907, Chapter 265, Sections 7510 through 7516

Code of Alabama, 1896, Chapter 185, Sections 5451 through 5462

Acts of Alabama, 1919, No. 161

Alabama Government Manual (1994)

Annual Report, 1996-1997

Annual Report, 1995-1996

Annual Report, 1994-1995

“Functional Analysis of Alabama Government” (1998)

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

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

Holdings of the Department of Archives and History for the Board of Pardons and Paroles

## **Current Agency Organization**

The board consists of three members, one of whom is designated as chairman by the governor. The governor appoints each member, with the advice and consent of the Senate, from a list of three qualified persons elected by majority vote of a nominating board. The governor also appoints individuals to fill vacancies occurring on the board from a list of qualified individuals provided by the nominating board. The nominating board consists of the chief justice

of the Supreme Court as chairman, the presiding judge of the Criminal Court of Appeals, and the lieutenant-governor.

Members of the Board of Pardons and Paroles devote full-time to their positions and may hold no other office for profit. They serve six-year staggered terms and may be removed by impeachment or for physical or mental disability as determined by the Montgomery County Circuit Court. The board meets at the call of the chairman or as determined by its rules. A quorum consists of two members, except that all three members must hear a case which involves: a vote on a pardon for a person based on innocence, whose sentence to death has been commuted; or, a vote on the parole case of an inmate who has not served one-third of his sentence or ten years, whichever is less.

The board appoints an executive director to supervise the work of the department. Currently, the board is organized into fifteen divisions and units. One division supervises the nine district and fifty-three field offices responsible for monitoring all parolees and probationers within the state. An organizational chart is attached.

## **Agency Function**

The mandated function of the Board of Pardons and Paroles is to determine which prisoners serving sentences in jails and prisons may be released on parole and under what conditions. The board also supervises all prisoners released on parole and those placed on probation by the courts, including: conducting investigations to determine if the conditions of parole or probation were violated; deciding (in the case of parolees) what response is made to the violation: determining the remission of fines or forfeitures; and assisting the parolee (or probationer) in finding employment. The board also grants pardons and/or restores civil and political rights to those showing evidence of rehabilitation. As such, it is one of the agencies responsible for performing the Law Enforcement and Emergency Powers function of Alabama government as described in the “Functional Analysis of Alabama Government,” chapter 5.

## **Historical Context of Function**

The legislature passed Alabama’s first parole law in 1897. The law authorized the governor to discharge an inmate and suspend a sentence without granting a pardon. The law also authorized the governor to prescribe the terms upon which an inmate so paroled should have a sentence suspended and to secure the re-arrest and re-imprisonment of any parolee who failed to observe the conditions of parole. Prior to this law, the only legal means of releasing a prisoner before the expiration of the sentence was by pardons granted by the governor under authority of Article V, Section 12, of the Constitution of 1875.

Article V of the Constitution of 1901 re-affirmed the governor’s power to grant pardons and paroles. However, it also provided for the establishment of a Board of Pardons composed of the attorney general, the state auditor, and the secretary of state to advise the governor on parole

and clemency matters.

Further authority, enacted in 1919 by the legislature, provided for the imposition of indeterminate sentences upon certain persons convicted of felonies and for the parole of such persons at the expiration of the minimum sentence by the Board of Pardons without the approval of the governor. This act was repealed in 1939 and now only definite sentences are authorized.

In 1935, the governor created by executive order the Alabama Parole Bureau to make an independent study of prisoners confined in the prisons of Alabama and to recommend to the Governor those worthy of test paroles. The bureau was composed of a chairman, an associate member, and a secretary. Only one parole officer was provided to investigate and supervise the prisoners.

On July 11, 1939, constitutional amendment no. 38 was adopted, providing for the removal of the pardoning and paroling authority from the governor and placing it in the hands of the legislature. The legislature passed an enabling act in August 1939 providing for the creation of a three-member State Board of Pardons and Paroles with complete and final authority in matters of pardons, paroles, restoration of civil and political rights, and remissions of fines and forfeitures. This act was subsequently amended in 1951 (Code of Alabama 1940, Title 42, as amended). The present statutory authority is Title 15, Code of Alabama 1975, as amended. The three original members of the board were Judge Alex Smith, chairman; Mrs. Edwina Mitchell, associate member; Judge Robert M. Hill, associate member. They were appointed on September 1, 1939, for staggered terms of two, four, and six years. All subsequent terms are for six years. The board appointed thirteen probation and parole officers on October 1, 1939. The organization and function of the Board of Pardons and Paroles have changed little since the 1951 revision of the code.

## **Agency Subfunctions**

In the performance of its mandated function, the Board of Pardons and Paroles may engage in the following subfunctions.

- **Paroling.** After an individual is sentenced to prison, the Board of Pardons and Paroles creates a file on the case. The board uses this file to schedule a date when the prisoner might be eligible for parole. This date is the parole consideration docket date. Parole is the conditional release of a prisoner serving an indeterminate (not precisely defined) or unexpired prison sentence. The prisoner must serve a minimum term as either required by statute or by guideline settings (generally ten years, one-third of a sentence, or other guideline setting) prior to becoming eligible for a parole hearing. Once the prisoner serves the minimum sentence with good behavior, a parole/probation officer conducts a pre-parole investigation and submits a written report evaluating whether the prisoner

should be released and on what conditions. This report becomes part of a parole case file that each board member reviews prior to the board decision.

Thirty days prior to the hearing date, written notification of a parole hearing is sent to the victim or the victim's estate, the attorney general, the chief of police in the city where the crime occurred, the sheriff of the county where the crime occurred, the district attorney who prosecuted the case, and the judge who tried the case (or his/her successor). These individuals may either appear before the board or provide their views in writing as to the eligibility of the prisoner for parole. The board convenes weekly to consider the docketed cases and to take formal action to grant or deny parole. If the board grants parole and the inmate has a suitable home and employment plan, the parole release is processed. A notice of parole and the conditions of parole are also sent to all who received an initial notification of the hearing along with the notification of parole hearing. The board sends a notice of denied parole to the prisoner as a record of its action.

A possible action of the Board of Pardons and Paroles is to conditionally transfer a prisoner to the authorities of the federal government or any other jurisdiction entitled to custody to answer pending charges or begin serving a sentence in response to a properly filed detainer. Conditional transfers are considered as part of a regular weekly docket. Before executing a transfer order, the board requests confirmation from the jurisdiction filing the detainer that it will assume custody and will agree to return the prisoner to the Alabama prison system once the detainer is satisfied.

- **Supervising.** By law, the board supervises all parolees and probationers within the state until the expiration of the parole/probation term and the discharge of the parolee. The board performs this duty through its field offices. To fund this supervision, parolees and probationers with an income pay \$30.00 a month to the board as reimbursement. The bulk of cases handled by the field offices are probation supervision. Probation is the act of suspending the sentence of a convicted offender and giving the offender freedom during good behavior under supervision of a probation officer. Violation of probation, or delinquency, may result in the imposition of a prison sentence in place of probation. The board may determine that some probationers require a higher level of supervision. These individuals visit their probation officer with greater frequency than the minimum of once a month, or may be required to wear an electronic monitoring device. There is also an additional fee paid by these individuals to cover the costs of supervision.

Supervising activities begin with a request from the court or the board for an investigation of an offender. This investigation consists of information gathered by the parole/probation officer on the criminal history, current charges, and personal data about the offender. Various types of investigations may be conducted: pre-sentence, post-sentence, pre-probation, preliminary (for parole evaluation), or youthful offender (for individual qualifying under Code of Alabama 1975, Section 12-15-34.1.). These

investigations may affect whether or not the offender is given parole or probationary status.

Parole and probation officers report regularly (minimum once a month) on the status of parolees and probationers. Should a parolee/probationer violate the conditions of parole/probation, a violation or delinquency report is sent to the board. On receipt of a violation report, the board notifies the Department of Corrections and instructs it to issue a warrant for the re-arrest and detainment of the parolee/probationer. The board considers the parolee's violation and offers the parolee an opportunity to explain his/her actions to the board prior to acting on the revocation or reinstatement of parole.

The state of Alabama participates in the Interstate Compact whereby parolees and probationers are permitted to reside in any other state party to the compact. Parolees and probationers, who wish to live and work in another state and be supervised by that state, may apply to the board for permission to serve their parole or probationary period in that state. Upon consent of the receiving state, the board may allow the parolee or probationer to move.

- **Pardoning, Restoring, and Remitting.** Individuals having completed parole or probation or having served a prison sentence for an offense which takes away civil and political rights may be considered for pardon and/or restoration of rights after completing the prison sentence or being discharged from parole or probation. A pardon is the excusing or forgiving of a criminal offense without exacting a penalty. A pardon does not erase a criminal record. Restoration of civil and political rights is considered by the board upon application filed with the board by a probation and parole officer at the time of parolee discharge. Individuals who are assessed a fine, but are given no prison sentence may apply for pardon and/or restoration of rights after payment of the fine. Prior to payment of the fine, the individual may apply to the board for a reduction in the amount of the fine or for release from the obligation of paying the fine.

The board considers applications for pardons, restoration of rights, and remittance of fines and forfeitures at its weekly meetings. Thirty days written notice is provided to the prisoner being considered by the board. The attorney general, the judge and district attorney who tried the case, and the police of the city where the crime was committed or the sheriff of the county receive the same thirty days notice and may submit their objections in person or in writing to the board.

- **Administering Office Operations.** A significant portion of the board's mandate includes general administrative, financial, and personnel activities geared toward the programmatic areas of the agency. The activities of this subfunction are grouped together under the following headings: reporting and researching, representing, managing records, managing information systems and technology, budgeting, purchasing, accounting, traveling, auditing, contracting, bidding, hiring and recruiting staff, compensating staff,

benefitting staff, supervising staff, inventorying property, and leasing/renting/constructing.

**Reporting and researching:** The central office is responsible for making an annual report to the governor, the secretary of state, and to the archives on the case load of the agency and its field offices, on the receipt and deposit of supervision fees, and the volume of parolees and probationers. In order to accomplish this responsibility, the board collects statistics and completes studies designed to gather needed information.

**Representing:** The Legal Services office acts as chief legal advisor to the Board of Pardons and Paroles in all matters relating to the pardoning and paroling of prisoners. The office conducts or supervises all litigation in which the board is a party. The office prepares administrative and legal complaints; responds to inquires relating to regulations; prepares legal opinions; represents the board in administrative hearings; and, upon request, reviews contracts, program proposals, and other documents for the offices.

**Managing records:** The board maintains a records management program to document the storage, transfer, and disposition of its records.

**Managing information systems and technology:** Much of the applications software originates within the agency. The scope of services related to information systems management includes resource planning, systems analysis, application design and programming, microcomputer and personal computer (PC) procurement, installation and maintenance, training, telecommunications planning and support, end user technical assistance and support, departmental computer services, response to information requests, and management consultation.

**Budgeting:** In order to comply with the Budget Management Act of 1976, the Board of Pardons and Paroles prepares and reviews a budget package and submits it to the Department of Finance. During the course of the fiscal year, the board documents expenditures, allotments, amendments, and performance of the budget, and reports in established budget status categories to the Department of Finance.

**Purchasing:** Standardized purchasing processes provide procedures for requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

**Accounting:** The board accounts for the expenditure, encumbrance, disbursement, and balance of funds within the board's budget through a uniform system of accounting and reporting. The board receives money from the state general fund and from a special probationer's upkeep fund, deposited with the state treasury. This activity is performed for all funds, both federal and state.

**Traveling:** Staff members of the Board of Pardons and Paroles travel both instate and out-of-state learning current practices, assisting field offices, and representing the board. Prior to travel, staff must request and gain approval for the trip. Upon return, reimbursement for expenses is requested.

**Auditing:** Code of Alabama 1975, Title 41, Chapter 5 establishes a regular cycle of auditing and examining of the financial transactions of every state agency/department by the Examiners of Public Accounts to verify the accuracy of agency information.

**Contracting:** In order to purchase supplies and to ensure the performance of certain jobs or services, the board may contract with a company or individual. Code of Alabama 1975, Title 41, Chapter 16 establishes a mechanism to allow all state agencies to establish contracts for supplies, equipment, and services. The state bid law establishes a \$7500 limit over which competitive bidding must take place to establish a contract. Service contracts are exempt from this statute to allow for hiring the most qualified individual or company.

**Bidding:** Code of Alabama 1975, Sections 41-16-20 through 32 and 41-16-50 through 63, establish the procedures for local and state agencies to bid for products and services.

**Hiring and recruiting staff:** In order to maintain a quality workforce, the department advertises and recruits eligible individuals to fill vacant positions.

**Compensating staff:** Code of Alabama 1975, Title 41, Chapter 4 establishes the mechanism whereby state employees receive their salary by state warrants issued by the Division of Control and Accounts of the Department of Finance. The Board of Pardons and Paroles is responsible for verifying the correctness of the data and maintains records documenting salary and wages, deductions for taxes, and hours worked.

**Benefitting staff:** Code of Alabama 1975, Title 36 establishes the state merit system with its accompanying compensation and benefits package which includes such employer provided benefits as health insurance, unemployment compensation, workman's compensation, injury compensation, retirement, and death benefits, as well as such administratively supported but employee funded benefits as additional life and health insurance, tax-deferral plans, automatic deposit, charitable donation deductions, and savings plans.

**Supervising staff:** The activities forming the processes of supervising and establishing documentation of an employee's work history include promoting, demoting, evaluating performance, granting leave, and monitoring the accumulation of leave.

**Training staff:** In order to maintain a quality workforce, the board provides training and continuing education opportunities.

**Inventorying property:** According to section 36-16-8 of the Code of Alabama 1975, each agency must send to the State Auditor a list of all non-consumable property valued at more than \$500 excluding books. Each department and agency must account for the property items on their inventory. Examiners of Public Accounts may audit the property and records of property in the agency or at the offices of the State Auditor.

**Securing property:** State agencies, with the assistance of the police, are responsible for protecting property in their care.

**Completed: October 1998**

**Attachments: Organizational Chart**

# **Analysis of Record Keeping System and Records Appraisal of the Board of Pardons and Paroles**

## **Sources of Information**

Code of Alabama, 1975, Sections 15-22-1 through 15-22-77

### **Representatives of the Board of Pardons and Paroles**

Don Parker, Acting Executive Director  
Carolyn Courson, Accounting  
Connie Barton, Network Services  
Dianne Gantt, Computer Services

## **Agency Record Keeping System**

The Board of Pardons and Paroles operates a hybrid system composed of a computer network and paper-based record keeping.

Paper-based System: Staff members create and maintain most of the agency's records in paper form. The board does not have a paper records management procedural manual for guiding staff in records storage, transfer, and disposition activities. The board routinely transfers its case files to the Alabama Department of Archives and History, State Records Center.

The field offices continue to rely on paper files, although the recent implementation of a parole/probation supervision system is slowly changing the methods of work. The paper files of the field offices are color-coded to indicate the type of case: parole, probation, or out-of-state (OS). A card index system provides cross-referencing and indexes the case files. The face sheet, a screen in the computer system, performs a similar function for the computer records.

Computer Systems: The Board of Pardons and Paroles operates a Local Area Network (LAN) to provide computing capabilities for the staff. The personal computers within the board are both stand-alone for word processing applications and networked via an ethernet for financial and other applications. The LAN has approximately thirty-eight devices attached to it, including twenty personal computers (PC). One server provides data serving and application serving utilizing Windows 98 (the server currently runs Novell Netware 4 but a new operating system is being installed). All printers are stand-alone, although the server has print serving capabilities. The PCs run Windows 98, 3.1, and 3.11. The system is backed-up nightly and the tapes stored offsite.

The board maintains the following databases: (1) Parole/Probation System (Prober) -- used to schedule dockets; (2) Parole Officer Statistics -- tracks case load and location of each

parole officer; (3) FRMS — state financial system for documenting receipting and disbursements of funds and personnel actions; (4) Network Address Database -- maintains Network Interface Card (NIC) locations, and the names (or log-ons) of individuals on the network.

In November of this year, portions of the board's computer applications (primarily field office case management records and fee receipting system) will no longer be maintained by the board but will be administered by the Administrative Office of Courts on its mainframe system. This computer system contains information from both the board and the court system on the status of criminal cases and the supervision of parolee/probationers.

The board maintains a web site at <http://agencies.state.al.us/pardons/>. The information on the web site is available in the annual report of the board.

## Records Appraisal

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

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

- **Inactive Parole and Probation Case Files.** These files document all activity relating to the monitoring of an individual for the duration of parole/probation. These files must be retained for a period of time because their continued legal value in the event of the return of parolee/probationer into the inmate population. These records are located at both the central and field offices. These files may be purged of routine information upon the discharge of the individual and a core set of documentation maintained for an additional period of time. A case file is closed when the parole/probation office is no longer supervising the individual or after the death, discharge or imprisonment of the individual.
- **Transitory Records.** These are records created for short-term, internal purposes, as opposed to communications which document the program functions of an agency or perpetuate knowledge. Transitory records do not set policy. They do not establish guidelines or procedures, certify a transaction, or become a receipt. These records are not filed or appropriate for filing because they serve no documentary purpose. Transitory records are messages that might 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 department social activities, such as a note to a group going to lunch.

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

**Paroling and Pardoning, Restoring, Remitting:**

- **Board Minutes.** The minutes of the board document actions of the board as voted on during the meetings. They document policy and rule making as well as procedural and organizational changes made within the department to accomplish board goals. Decisions concerning the status of criminals are made at these meetings. Also documented in these files are the attendance at the meetings of the board members and the public. **(Bibliographic Title: Meeting Minutes)**
- **Board Orders.** The orders of the board are the actions taken by the board on the status of criminals. Actions which may be taken by the board include pardoning without restoration of rights, pardoning with restoration of rights, remitting fines or forfeitures, and paroling. **(Bibliographic Title: Orders)**

**Supervising:**

Records documenting this subfunction are found in the Paroling and Pardoning, Restoring, Remitting subfunctions.

**Administering Office Operations:**

- **Policy and Procedures Manuals.** These manuals are designed by the department (with the approval of the board) to assist both the central office and the field offices in the conduct of day-to-day operations. The manuals contain rules and regulations governing personnel, work time, leave, travel, training, and detailed operating procedures for the various programs and divisions. Additions and deletions are reviewed by the board. This series documents the department's role in prescribing standards and procedures for its programs. **(Bibliographic Title: Policy and Procedure Manuals)**
- **Administrative Rules and Regulations.** These rules and regulations are approved by the board and govern the conduct of board meetings, parolee and probationer supervision, record keeping, and general administration of the department. Combined with the policy and procedures manuals above, they document the department and board's roles in prescribing standards for its programs. **(Bibliographic Title: Administrative Rules and Regulations)**
- **Annual Reports.** By law, the Board of Pardons and Paroles creates and distributes an annual report documenting accomplishments and trends in recidivism rates. These reports provide an overview of all board activities in monitoring individuals on probation

and parole and provide valuable statistics on crime and criminals in the state.  
**(Bibliographic Title: Annual Reports)**

**Completed: October 1998**

**Permanent Records List**  
**Function: Law Enforcement and Emergency Powers**  
**Board of Pardons and Paroles**

**Paroling:**

1. Board Orders
2. Board Minutes

**Pardoning, Restoring, Remitting:**

1. Board Orders
2. Board Minutes

**Administering Office Operations:**

1. Policy and Procedures Manuals
2. Administrative Rules and Regulations
3. Annual Reports

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

# **Board of Pardons and Paroles Records Disposition Authority**

This records disposition authority (RDA) lists records created and maintained by the Board of Pardons and Paroles in carrying out its mandated functions and subfunctions. The RDA establishes the retention and disposition requirements for those records as approved by the State Records Commission and provides the legal authority for the agency to implement the disposition instructions.

## **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of records in the Board of Pardons and Paroles.
- The statement “retain for useful life” means that when records are no longer useful to the agency and have met their fiscal, administrative, and/or legal requirements they should be destroyed.
- Many temporary records listed within the Administering Office Operations subfunction of this RDA represent duplicate copies of long-term and permanent records maintained by other agencies. For example, records management documentation, maintained by the agency until the completion of one audit and release of the audit report, is maintained as a permanent record by the Department of Archives and History.
- Temporary records documenting the receipt and expenditure of funds and whose retention states “retain until completion of one audit and the release of the audit report” should be maintained through the completion of an external audit by the Examiners of Public Accounts. Neither the conduct of an independent audit nor an internal audit will satisfy this requirement.
- Transitory records are those records created for short-term, internal purposes, as opposed to communications which document the program functions of an agency or perpetuate knowledge. They should be retained for their useful life and then destroyed.
- Electronic mail is a communications tool that may record permanent or temporary information. Review the retention periods for the appropriate subfunctional areas to determine the retention periods for e-mail records.
- The RDA establishes a time limit for which the documentation of a subfunction must be maintained regardless of the format of that documentation.

## Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the board and lists records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The disposition instructions set a minimum length of time to hold the records, not a maximum retention. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### ■ Paroling

#### BOARD ORDERS

Disposition: PERMANENT RECORD.

#### BOARD MINUTES

Disposition: PERMANENT RECORD.

### ■ Supervising

#### Alabama Parolee and Probationers Being Supervised Out-of-State Parole and Probation (OS Files)

Disposition: Temporary Record. Retain 25 years after discharge of individual or other release of inmate.

#### Alabama Parolee and Probationers with Pardons with Restoration of Civil and Political Rights Being Supervised Out-of-State (OS Files)

Disposition: Temporary Record. Retain 50 years after discharge of individual.

#### Inactive Parole and Probation Case Files

##### Case Files Maintained at the Central Office

Disposition: Temporary Record. Retain 50 years after discharge of parolee or other release of inmate.

##### Case Files Maintained by the Field Offices

Disposition: Temporary Record. Purge files of all routine information after closure of case file. Case file should contain the following information after purging: Investigation Report (Youthful Offender, Pre-Sentence, or Post Sentence or Preliminary), Delinquency Report, and Certificate of Discharge

##### Investigation Report, Delinquency Report, and Certificate of Discharge

Disposition: Temporary Record. Retain 50 years. If no activity on file occurs, destroy case file.

Supervision Fee Deposit Slips and Records

Disposition: Temporary Record. Retain until completion of two audits and the release of the audit reports after creation of records.

■ **Pardoning, Restoring, and Remitting**

BOARD ORDERS

Disposition: PERMANENT RECORD.

BOARD MINUTES

Disposition: PERMANENT RECORD.

■ **Administering Office Operations**

**General Administration:**

POLICY AND PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

ADMINISTRATIVE RULES AND REGULATIONS

Disposition: PERMANENT RECORD.

Probation and Parole Officers Automation Manuals

Disposition: Temporary Record. Retain current manual.

**Reporting and Researching:**

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Quarterly Reports

Disposition: Temporary Record. Retain 3 years.

Monthly Statistical Reports

Disposition: Temporary Record. Retain 3 years.

Time Studies

Disposition: Temporary Record. Retain 10 years.

Institution Parole Officer (IPO) Statistical Reports

Disposition: Temporary Record. Retain 10 years.

Banked Caseload Reports

Disposition: Temporary Record. Retain 10 years.

Arrest Statistics

Disposition: Temporary Record. Retain 10 years.

Docket Statistics

Disposition: Temporary Record. Retain 10 years.

Corrections Statistical Reports (CPR 123, 108, 119, 121, and CJP 509)

Disposition: Temporary Record. Retain 10 years.

Criminal Justice Information Service (CJIS) Summary Sheets on Activity

Disposition: Temporary Record. Retain 10 years.

Log Out Sheets on Criminal History Requests

Disposition: Temporary Record. Retain 10 years.

Electronic Monitoring Caseload Reports

Disposition: Temporary Record. Retain 10 years.

**Representing:**

Inmate Litigation Files

Disposition: Temporary Record. Retain 5 years after final disposition.

Records documenting the employee appeal of formal reprimands, demotions, transfers, or terminations.

Disposition: Temporary Record. Retain 3 years following decision.

Records documenting Equal Employment Opportunity Commission (EEOC) complaints and lawsuits

Disposition: Temporary Record. Retain 5 years after final settlement.

Records documenting Board of Adjustment claims.

Disposition: Temporary Record. Retain 5 years after final settlement.

**Managing Records:**

Records documenting the implementation of the agency's approved RDA, including copies of transmittals for records transmitted to the State Records Center, records transferred to ADAH, and the agency's annual report to the State Records Commission

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report after creation of records.

Copy of RDA

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report after the RDA is superseded.

**Managing Information Systems and Technology:**

System Backup Tapes

Disposition: Temporary Record. Retain off-site in a temperature-controlled facility. System backup tapes should be reused on a rotating basis.

Source/Object Code Backups

Disposition: Temporary Record. Retain 2 weeks.

Data File Backup

Disposition: Temporary Record. Backup tapes and cartridges should be reused on a rotating basis.

System Documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation of former system until all records have been migrated to current software. (Includes records on backup tapes)

Network Address Database

Disposition: Retain current network addresses.

System Maintenance Contracts

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

Warranty Documentation

Disposition: Temporary Record. Retain for life of equipment.

Purchase and Repair Order Documents

Disposition: Temporary Record. Retain for life of equipment.

Probation and Parole Officers Automation Manuals

Disposition: Temporary Record. Retain current manual.

Parole and Probation Computer System (Prober Files)

Disposition: Temporary Record. Retain 1 year after transfer of information to AOC.

Prober Memos and Faxes

Disposition: Temporary Record. Retain 1 year after transfer of information to AOC.

AOC-Docket Planning Correspondence

Disposition: Temporary Record. Retain 1 year after transfer of information to AOC.

**Budgeting:**

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

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

Quarterly Performance Standards Reports

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

**Purchasing:**

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

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

**Accounting:**

Records of original entry such as journals, registers, and financial reports

Disposition: Temporary Record. Retain until completion of two audits and the release of the audit reports.

Bank Statements

Disposition: Temporary Record. Retain until completion of two audits and the release of the audit reports.

Federal Programs Grant Records

Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

**Traveling:**

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

**Auditing:**

Agency audit files

Disposition: Temporary Record. Retain until the completion and release of two successive audit reports.

**Contracting:**

Contractual records established for the purchase of services or personal property

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

**Bidding:**

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

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-20 to 41-16-24).

**Hiring and recruiting staff:**

Job recruitment materials

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

**Compensating:**

Records documenting salary and wages

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

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

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.

Records documenting leave donations

Disposition: Temporary Record. Retain 3 years.

Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

**Benefitting:**

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 5 years after tax year.

Records documenting the administration of the unemployment compensation program

Disposition: Temporary Record. Retain 5 years.

**Supervising:**

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

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

Records documenting the employee appeal of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following final decision.

Position classification records

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report after record is superceded.

**Inventorying Property:**

Semiannual inventory lists

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

Agency copies of transfer of state property forms (SD-1)

Disposition: Retain through the completion of an audit and the release of the audit report.

Inventory cards

Disposition: Retained until release of the audit report following the removal of an item from inventory.

Property inventory affidavits

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

Receipts of responsibility for property

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

**Constructing and Maintaining Facilities:**

Leases

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

Housekeeping Records

Disposition: Temporary Record. Retain 3 years.

Records documenting telephone systems

Disposition: Temporary Record. Retain 3 years.

Emergency Contact Listings

Disposition: Temporary Record. Retain current listing.

## **Approval of Records Disposition Authority**

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

- The Board of Pardons and Paroles agrees to keep a signed copy of the RDA, to develop procedures for regular implementation, to document the destruction of the records, and to submit a report on its records management activities to the State Records Commission in October of each year.
- Despite the provisions of this authorization, no records should be destroyed that are necessary for agency compliance with requirements of the state Sunset Act, agency audit, any legal notice or subpoena, or reasonable precautions in anticipation of possible investigatory action.
- Permanent records, while in the custody of the Board of Pardons and Paroles, should be maintained in a secure environment, in a usable order, and under environmental conditions that will ensure their continued preservation.
- The Board of Pardons and Paroles should designate a managerial position as the agency records officer. This position would be responsible for ensuring the development of quality record keeping systems that meet the business and legal needs of the department,

for coordinating the transfer and destruction of records, and for ensuring the regular implementation of the agency's approved RDA.

- The Board of Pardons and Paroles agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine into the condition of the permanent records maintained in the custody of the department and to inspect documentation on the destruction of public records.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Donald L. Parker, Acting Executive Director  
Board of Pardons and Paroles

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