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ADMINISTRATIVE REGULATION
NUMBER

027

OPR: RESEARCH AND PLANNING

RECORDS RETENTION

I. GENERAL

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

II. POLICY

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

III. DEFINITION(S) AND ACRONYM(S)

- A. **Agency Records Administrator**: The Research and Planning Division employee assigned the responsibility to coordinate the RDA department-wide and to represent the ADOC as a liaison with the Alabama Department of Archives and History (ADAH).
- B. **Records Coordinator(s)**: The employee(s) designated by the Warden/Division Director and tasked with the responsibility of the records management duties for their facility and/or division.
- C. **Record**: Any book, paper, map, photograph, database record, email message, image, or other documentary material, regardless of physical form or characteristics, that is made or received by a government agency and is evidence of the agency's activities or has informational value.
- D. **Records Disposition Authority (RDA)**: A document compiled by the Government Records Division (GRD) of the Alabama Department of Archives and History (ADAH) and approved by the State Records Commission (SRC), which establishes retention periods and disposition

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

- E. **Records Management**: The administrative and managerial activities related to managing records throughout their life cycle, from creation to their final stage of disposition in which they are either destroyed or permanently preserved.
- F. **State Records Commission (SRC)**: The state authority established to oversee the disposition of government records created by state agencies and institutions and charged with the responsibility of determining which records shall be permanently preserved because of historical value.

IV. **RESPONSIBILITIES**

- A. Wardens/Division Directors shall designate an employee as Records Coordinator for their area of responsibility to manage the disposal of records for their location.
- B. The Agency Records Administrator shall:
 - 1. Provide oversight of the development, implementation, and compliance of records retention procedures in accordance with ADOC policies and the RDA;
 - 2. Maintain an inventory of all ADOC records (Master Document List);
 - 3. Oversee the transfer and/or disposal of records including, but not limited to, the review of all records destruction requests and approval or denial, as appropriate; and
 - 4. Provide training and records management assistance to ADOC employees.
- C. The Records Coordinator shall:
 - 1. Act as liaison between the Agency Records Administrator and their facility/Division;
 - 2. Facilitate records management for his/her facility/Division according to agency policies and procedures and the RDA;
 - 3. Notify the Agency Records Administrator whenever records are transferred and stored at the ADAH;
 - 4. Advise the Agency Records Administrator of any additions or changes to the inventory (Master Document List); and

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

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

V. PROCEDURES

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

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

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

VI. DISPOSITION

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

VII. FORMS

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

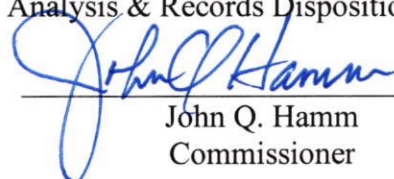
VIII. SUPERSEDES

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

IX. PERFORMANCE

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

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



John Q. Hamm
Commissioner