



**BOB RILEY**  
GOVERNOR

# State of Alabama Alabama Department of Corrections



**Donal Campbell**  
COMMISSIONER

Research and Planning  
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September 24, 2003

ADMINISTRATIVE REGULATION  
NUMBER 001

OPR: RESEARCH  
AND PLANNING

## **Administrative Regulation Procedures**

### **I GENERAL**

- A. This regulation establishes the responsibilities and procedures for the publication and maintenance of all Department of Corrections' Administrative Regulations (AR), changes and Standard Operating Procedure (SOP).
- B. Regulations are the most effective and economical way to state policies and/or procedures that affect a large organization and must be kept current and available for reference. In essence, a regulation is:
  - 1. Produced under controlled procedures that ensure coordination, review and approval.
  - 2. Distributed by an effective publishing distribution system.
  - 3. Numbered, indexed and maintained in publication libraries for convenient reference and use.
  - 4. Reviewed annually for essentiality, currency and accuracy.
  - 5. Readily changed, revised, supplemented and rescinded.

## **II POLICY**

Administrative regulations are designed as comprehensive guidelines by which the Department standardizes administrative and operational functions. The regulations encompass programs, procedures and policies of the Commissioner, the laws of Alabama, applicable decisions of the federal/state courts, American Correctional Association (ACA) and National Institute of Corrections (NIC) standards. Departmental regulations will serve as the basis for departmental institutional standard operating procedures.

## **III DEFINITION(S) AND ACRONYM(S)**

### **A. Office of Primary Responsibility (OPR):**

The Office of Primary Responsibility is that supervisor/director, deputy commissioner staff unit, office, or activity having functional responsibility for the program, procedure, law, rule, regulation or policy matter addressed therein.

### **B. Administrative Regulation (AR) Change:**

An Administrative Regulation Change is a small amount of modification to an existing administrative regulation paragraph. For example, a misspelled word correction, modifying an existing sentence, adding one or two paragraphs.

### **C. American Correctional Association (ACA): The American Correctional Association is an international correctional association that provides professional development and certification to standards and accreditation.**

### **D. National Institute of Corrections (NIC): The National Institute of Corrections is a center for correctional learning and provides assistance information, education, and training towards the achievements of state, local, and federal correctional goals and objectives.**

## **IV RESPONSIBILITIES**

### **A. The Department of Corrections Commissioner is responsible for:**

1. Approving and issuing administrative regulations and changes.
2. Maintaining a copy of the Content Review Verification/Instructions document.

### **B. The Research and Planning Division is responsible for:**

1. Viewing, monitoring, finalizing and coordinating with the OPR's and appropriate departmental staff all administrative regulations and changes.

2. Determining priority with the Commissioner for all proposed regulations prior to obtaining the Commissioner's approval and signature.
3. Monitoring the administrative regulation process to avoid duplication of effort, maintain quality control standards, minimize size and scope of numbered changes and publish a semi-annual index of administrative regulations and forms. Research will notify the OPR of the annual review of these regulations.
4. Maintaining the original copy of all administrative regulations and change(s). An original copy is that document signed by the Commissioner.
5. Conducting spot checks to ensure that administration regulations and standard operating procedures are being properly maintained at the institutions.
6. Maintaining a copy of all the institutions standard operating procedures and divisions manuals.
7. Maintaining the original copy of the OPR's signed Content Review Verification/Instructions document.

C. The OPR is responsible for:

1. Drafting and coordinating administrative regulations and changes relative to their respective functional areas or programs.
2. Reviewing their administration regulations annually, unless a law or policy has changed the procedures and has been submitted to the Research and Planning Division to document specific changes or revisions considered necessary or feasible. This annual review will be accomplished in accordance with the regulation's anniversary date.
3. Completing the Content Review Verification/Instruction (see Attachment 1) document indicating whether the administration regulation or standard operating procedure is current. The OPR will forward the original copy to the Research and Planning Division and an information copy, without enclosures, to the Commissioner.

D. The Institutional Warden and Division Director is responsible for:

1. Developing and issuing institutional standard operating procedure policies and procedures and manuals.
2. submitting a copy of the institutional/division unique/specific Standard Operating Procedures/Manuals to the Research and Planning Division

3. Annotating the Administrative Regulation indicating that there is a change to the publications/standard operating procedure.
- E. Supervisors are responsible for insuring that administrative regulations are read, understood, and complied with by their subordinates.
- F. The Information System Division will be responsible for posting the Administrative Regulation, change, or revision to the ALDOC Intranet.
- G. Each institution and division is responsible for maintaining a complete set of the administrative regulations and standard operating procedures and manuals as applicable.
- H. Employees are responsible for participation in the formulation of departmental and institutional policies, procedures, and regulations. To this end, and when practical, institutional, division, and staff heads may obtain such input concerning proposed regulations, revisions, and changes emanating from their respective areas of responsibility prior to submission of the proposed directive.

## **V PROCEDURES**

- A. ADMINISTRATIVE REGULATIONS AND CHANGES
  1. The OPR will submit draft administrative regulations and changes in electronic format to the Research and Planning Division.
  2. The draft administrative regulation, change, or revision will be prepared in double-spaced, Times New Roman font and 12 font size.
  3. The OPR cover letter will identify any suggested coordinated staff or agencies.
  4. The Research and Planning Division will prepare the administrative regulation, change, or revision to be coordinated. They will prepare a cover letter identifying the coordinating staff and agencies to review the draft documentation.
  5. The coordinating staff/agency will review the draft administrative regulation, change, or revision. The coordinating staff/ agency will initial that they concur with the proposed document “as is” or concur “with necessary changes.” Any necessary changes will be identified and the document will be forwarded to the next coordinating staff/agency. The coordinating staff/agency will complete the review within a time frame of not more than five (5) working days upon receipt of the draft document.

6. The Research and Planning Division Director will edit and coordinate any changes to the proposed new or revised administrative regulation with the OPR. The Research and Planning Division will prepare the document in its final form and submit it to the Commissioner for signature. Upon receiving the signed document, the Research and Planning Division will post the approved document in the ALDOC Public Folders. Specifically, the document will be located under DOC Research, tab Administrative Regulations. The Division will announce to the Department that the administrative regulation, change, or revision has been posted to the Public Folders.

B. Administrative regulations will contain the following Sections:

1. **I. GENERAL** This general section is a short paragraph of what the AR is doing.
2. **II. POLICY** This section provides a quick description of the policy.
3. **III. DEFINITION(S) AND ACRONYM(S)** This section identify terms and or acronyms used throughout the AR.
4. **IV. RESPONSIBILITIES** The section identifies who is responsible for what. See Responsible section above as example of responsibilities.
5. **V. PROCEDURES** This section identifies the step-by-step procedures for implementing the AR.
6. **VI. DISPOSITION.** This section prescribes the disposition of the forms identified in the AR.
7. **VII. FORMS.** This section lists the forms and titles implemented by the AR.
8. **VIII. SUPERSEDES.** This section is a statement that identifies what this AR or change supercedes.
9. **IX. PERFORMANCE.** This section identifies the state or Federal law that provides the authority that this AR is being published.  
i.e. Federal Law XXX. XX, Family Leave, Fair Labor Act, Code of Alabama 1975, Section 14-1-8, a court ruling, Federal Guide lines (U.S. Department of Justice, U.S. Department of Education).
10. A statement should be made if a Section is not used.

11. Sections will be identified by a Roman numeral then followed by a capital letter. (See below for the correct format.)

I. \_\_\_\_\_  
A. \_\_\_\_\_  
1. \_\_\_\_\_  
a. \_\_\_\_\_  
(1) \_\_\_\_\_  
(2) \_\_\_\_\_  
b. \_\_\_\_\_  
2. \_\_\_\_\_  
B. \_\_\_\_\_  
II. \_\_\_\_\_

12. Remember that you cannot have a without b, or a 1 without a 2. There should be two paragraphs.

13. Any attachments, annexes, or appendixes will be listed following Section IX. PERFORMANCE.

C. Format for Administrative Regulation Changes:

1. The OPR will make reference to the Section, paragraph number and line number that is to be changed.
2. The change is to be identified in quotes “\_\_\_\_\_.”
3. The institutions/divisions will line through changes and make a note stating “See change #.”

D. STANDARD OPERATING PROCEDURES

1. Institution standard operating procedures will follow the same format as the administrative regulations.
2. Standard operating procedures will supplement the Administrative Regulations. For example, since AR 025 is Security, then the Standard Operating Procedure would be SOP 025-1.

E. UNIQUE STANDARD OPERATING PROCEDURES

There are specific/unique programs/procedures that are only conducted at one or two institutions/divisions. The Warden/Director is responsible for developing and issuing these unique standard operating procedures, for example: Elmore CC

Recycling Program, Holman CF Death Row, Kilby CF Receiving Control Center,  
Tutwiler PFW Receiving Control Center.

**VI. DISPOSITION**

- A. The Department of Corrections will follow the duties and responsibilities for records disposition approved by the State Archives and History. The State Archives and History Commission will approve records disposal requests submitted by the Department prior to the records destruction (Code of Alabama 1975, Section 41-12-21).
- B. According to the State Archives and History Commission, the disposition of Attachment 1, Content Review Verification/Instructions is that it will be retained for one (1) year after the anniversary review date. Then the documentation will be submitted to the State Records Commission for approval to be destroyed.

**VII. FORMS**

This regulation implements:

Form AR 001 - Content Review Verification/Instructions.

**VIII. SUPERSEDES**

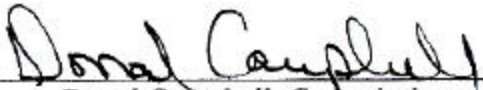
This administrative regulation supersedes the one dated March 25, 1992.

**IX. PERFORMANCE**

This administrative regulation is published under the authority of the Department functions and duties (Code of Alabama 1975, Section 14-1-8)

Attachment(s):

Form AR001 Content Review Verification/Instructions

  
\_\_\_\_\_  
Donal Campbell, Commissioner

## CONTENT REVIEW VERIFICATION/INSTRUCTIONS

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**TO:** Research and Planning Division

**FROM:** Office of Primary Responsibility (OPR)

Use the Public Folders file to audit the contents of the administrative regulation. Review the administrative regulation. Please forward this form back to our office. If we can be of further assistance, please call us at (334) 240-9585. Your cooperation is appreciated. This audit is to be conducted on the anniversary date of the administrative regulation each year.

**NOT CURRENT**

The Administrative Regulation \_\_\_\_\_ was audited for content on (date) \_\_\_\_\_ and the required documents are attached.

_____ Name (staff conducting audit)	_____ Location/Area of designated manual
_____ Facility/Unit	_____ Region/Division

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**CURRENT**

The Administrative Regulation \_\_\_\_\_ was audited for content on (date) \_\_\_\_\_ and is current.

_____ Name	_____ Position
_____ Facility/Unit	_____ Region/Division

The original copy will be forwarded to the Research and Planning Division.  
A copy will be forwarded to the Commissioner.  
A copy will be maintained by the Office of Primary Responsibility

From AR001  
Attachment A