



STATE OF ALABAMA

Department of Corrections



KAY IVEY
Governor



JOHN HAMM
Commissioner

March 10, 2025

**ADMINISTRATIVE REGULATION
NUMBER**

OPR: LEGAL

001

ADMINISTRATIVE REGULATION PROCEDURES

I. GENERAL

- A. This Alabama Department of Corrections (ADOC) Administration Regulation (AR) established the policies, procedures, and responsibilities for the publication and maintenance of ADOCs Administrative Regulations.
- 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 every three (3) years for essentiality, currency and accuracy.
 - 5. Readily changed, revised, supplemented and rescinded.

II. POLICY

It is the policy of the ADOC to design Administrative Regulations as comprehensive guidelines by which the Department standardizes administrative and operational functions. The regulations encompass programs, procedures and policies of the Commissioner, state and federal laws, 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. DEFINITIONS AND ACRONYMS

- A. **Administrative Procedures Coordinator (APC)**: The Administrative Procedures Coordinator is responsible for managing, organizing, and streamlining administrative processes within an organization or department. They oversee the development, implementation, and maintenance of administrative procedures to ensure smooth, efficient operations. This role involves ensuring that policies and procedures are followed correctly, managing documentation, and coordinating communication between departments.
- 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.
- E. **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.

IV. RESPONSIBILITIES

- A. The Department of Corrections Commissioner is responsible for:
 - 1. Approving and issuing ARs and updates.
 - 2. Maintaining a copy of the Content Review Verification/Instructions document.
- B. The Administrative Procedures Coordinator (APC) is responsible for:
 - 1. Viewing, monitoring, finalizing and coordinating with the OPRs and appropriate departmental staff on all ARs and changes.

2. Determining priority with the Commissioner for all proposed regulations prior to obtaining the Commissioner's approval and signature.
 3. Monitoring the AR process to avoid duplication of effort, maintain quality control standards, minimize size and scope of numbered changes and publish a semi-annual index of ARs and forms. The APC will notify the OPR of the three (3) year review of these regulations.
 4. Maintaining the original copy of all ARs. An original copy is that document signed by the Commissioner.
 5. Maintaining the original copy of the OPR's signed Content Review Verification/Instructions document.
- C. The OPR is responsible for:
1. Drafting and coordinating ARs and changes relative to their respective functional areas or programs.
 2. Reviewing their ARs every three (3) years, unless a law or policy has changed the procedures and has been submitted to the Legal Division's APC to document specific changes or revisions considered necessary or feasible. This three (3) year review will be accomplished in accordance with the regulation's anniversary date.
 3. Completing ADOC Form 001, *Content Review Verification/Instructions*, indicating whether the AR is current. The OPR will forward the original copy to the Legal Division's APC.
- D. Supervisors are responsible for ensuring that ARs are read, understood, and complied with by their subordinates.
- E. The Information Technology Division will be responsible for publishing the ARs, change, or revision to the ADOC SharePoint and website.
- F. Each facility/division is responsible for maintaining a complete set of the ARs.
- G. Employees are responsible for participation in the formulation of departmental and institutional policies, procedures, and regulations. To this end, and when practical, facilities/divisions, and facility heads may obtain such input concerning proposed regulations, revisions, and changes 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 a draft AR and change in electronic format to the Legal Division's APC.
2. The draft AR 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 APC will prepare the AR or revision to be coordinated for review and approval. They will prepare a Staff Action Summary (SAS) letter identifying the coordinating staff and divisions to review the draft documentation.
5. The coordinating staff/divisions will review the draft AR or revision. The coordinating staff/division will sign 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 Legal Division's APC in order to coordinate signature for the next staff/division listed. The coordinating staff/division will complete the review within a time frame of not more than five (5) working days upon receipt of the draft document.
6. The APC supervisor/designee will edit and coordinate any changes to the proposed new or revised AR with the OPR. The APC will prepare the document in its final form and submit it to the Commissioner for signature. Upon receiving the signed document from the Commissioner, the APC will put in a Help Desk ticket to have it published to ADOC SharePoint and the ADOC website. Those ARs which are "Restricted" will only be published on ADOC SharePoint.

B. Administrative regulations will contain the following Sections:

1. I. GENERAL:

This general section is a short paragraph of what the AR is doing.

- a. Begin each Section I. General with, "This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes the policies, procedures, and responsibilities for"
- b. When referring to another AR than the specific one being edited, state the number of the AR followed by a comma, then the italicized title of the AR followed by another comma (e.g., "Draft ARs in accordance with AR 001, *Administrative Regulation Procedures*, being sure to

follow all rules.”). However, when referring to the specific AR that is being edited, state “this AR” instead of using the number and title.

- c. Italicize the names of all ARs, forms, and annexes.
- d. Do not use apostrophes to indicate the plural form of a word.
 - (1) Wrong – “SOP’s” and “AR’s”
 - (2) Right – “SOPs” and “ARs”
- e. Ensure that “i.e.,” and “e.g.,” are used properly.
 - (1) “i.e.,” stands for the Latin *id est*, which means “that is.” As such, it should be used to indicate a specific thing and not a non-exhaustive list of items.
 - (2) “e.g.,” stands for the Latin *exempli gratia*, which means “for example.” As such, it should be used to indicate a non-exhaustive list of items and not a specific thing.
- f. Rescission is spelled with an “s.” Double check the spelling in rescission templates.
- g. Always check the spelling of all CAPS words. Spellcheck does not

2. II. POLICY:

This section provides a quick description of the policy.

- a. Begin each Section II. Policy with, “It is the policy of the ADOC to”
- b. Ensure that any procedural steps are included under Section V. Procedures and not under Section II. Policy

3. III. DEFINITIONS AND ACRONYMS:

This section identifies terms and or acronyms used throughout the AR.

- a. Place each term under Definitions and Acronyms in alphabetical (ABC) order.
- b. Place the full name before the acronym.

- i. Wrong – “CERT (Correctional Emergency Response Team)”
 - ii. Right – “Correctional Emergency Response Team (CERT)”
- c. If there are no definitions and acronyms used in the AR, then have Section III. Definitions and Acronyms read, “There are no definitions and acronyms prescribed in this AR.”

4. IV. RESPONSIBILITIES:

The section identifies who is responsible for what.

- a. Responsibilities descend in order of authority. Start with the Commissioner, then Associate and Deputy Commissioners, then Wardens and Division Directors, then certain classes of employees, then all employees.
- b. Begin each individual responsibility under Section IV. Responsibilities with, “The TITLE is responsible for” If there is a single responsibility listed, then it only requires one single line. If there are multiple responsibilities listed, then each responsibility should be broken down and included in its own sub-paragraph.

5. V. PROCEDURES:

This section identifies the step-by-step procedures for implementing the AR.

Each numbered paragraph under Section V. Procedures should only contain a single sentence. If there are multiple sentences in a single paragraph, then each sentence should likely be broken down and included in its own paragraph.

6. VI. DISPOSITION:

This section prescribes the disposition of the forms identified in the AR.

Have each Section VI. Disposition read, “Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).”

7. VII. FORMS:

This section lists the forms and titles implemented by the AR.

- a. Italicize the names of ARs and forms in both Section VII. Forms and throughout the entire AR.
- b. Always include the name of the form with its number in both Section VII. Forms and throughout the entire AR.
 - (1) Wrong – “Include ADOC Form 408-A with the packet.”
 - (2) Right – “Include ADOC Form 408-A, *Emergency Notification for Inmates*, with the packet.”

8. VIII. SUPERSEDES:

This section is a statement that identifies what this AR or change supersedes.

- a. Have each Section VIII. Supersedes read, “This Administrative Regulation supersedes AR ###, *Title*, dated DATE, and any related changes.” Be sure to include the AR number, title, and date of change.
- b. Ensure “supersedes” is spelled correctly.
 - (1) Wrong – supercedes (with a “c” in the middle)
 - (2) Right – supersedes (with an “s” in the middle)

9. IX. PERFORMANCE:

This section identifies the state or Federal law that provides the authority that this AR is being published.

- a. Cite the Code of Alabama first in the proper format: “Code of Alabama 1975 § 14-1-1.1 *et seq.*” If there are multiple code sections cited, then include them all in one line beginning with two section symbols and separate the sections by commas (i.e., Code of Alabama 1975 §§ 14-1-1.1 *et seq.*, 14-15-1).
- b. Each AR should at least cite: Code of Alabama 1975 § 14-1-1.1 *et seq.* For additional statutes, consult the Legal Division.
- c. Place ARs and other sources in numerical (123) order.

10. Annexes:

- a. Remove parentheses around “(s)” and remove apostrophe before the “s”.
 - i. Wrong – “Annex(‘s).
 - ii. Right – “Annexes”.
- b. Delete this section completely if there are no annexes.

11. A statement should be made if a Section is not used.

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

- I. _____
 - A. _____
 - 1. _____
 - 2. _____
 - a. _____
 - b. _____
 - (1) _____
 - (2) _____
 - B. _____
- II. _____

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

14. Any attachments, 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 facility/divisions will line through changes and make a note stating, “See change #.”

VI. DISPOSITION

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

VII. ANNEXES AND FORMS


ADOC Form 001, *Content Review Verification/Instructions*.

VIII. SUPERSEDES

This Administrative Regulation supersedes AR 001, *Administrative Regulation Procedures*, dated December 10, 2024, and any changes.

IX. PERFORMANCE

Code of Alabama 1975 § 14-1-1.1 *et seq.*



John Q. Hamm
Commissioner

ALABAMA DEPARTMENT OF CORRECTIONS
CONTENT REVIEW VERIFICATION/INSTRUCTIONS



TO: Administrative Procedures Coordinator

FROM: Office of Primary Responsibility (OPR)

Use the Administrative Regulations posted on ADOC SharePoint 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) 242-0582. Your cooperation is appreciated. This audit is to be conducted on the anniversary date of the administrative regulation every three (3) years.

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

CURRENT

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

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

Disposition:
The original copy will be forwarded to the Legal Division's APC.
A copy will be maintained by the Office of Primary Responsibility