

Report on the  
**Alabama Security Regulatory Board**

Montgomery, Alabama



**Department of  
Examiners of Public Accounts**

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June 20, 2018

Representative Howard Sanderford  
Chairman, Sunset Committee  
Alabama State House  
Montgomery, AL 36130

Dear Representative Sanderford,

This report was prepared to provide information for use by the Sunset Committee in conducting its review and evaluation of the operations of the Alabama Security Regulatory Board in accordance with the *Code of Alabama 1975*, Section 41-20-9.

The report contains unaudited information obtained from the management, staff, and records of the Alabama Security Regulatory Board, in addition to information obtained from other sources.

Please contact me if you have any questions concerning this report.

Sincerely,



Rachel Laurie Riddle  
Chief Examiner

**Examiner**  
Rodney Wagstaff



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# **PROFILE**

## **Purpose/Authority**

The Alabama Security Regulatory Board was established by Act No. 640, Acts of Alabama 2009 to provide for the certification and regulation of security officers. The Board's mandated function is to enforce all provisions of the law regulating, certifying, and licensing security officers, security companies, and certified trainers. The Board operates under the authority of the *Code of Alabama 1975*, Sections 34-27C-1 through 34-27C-18.

The following legislation was passed since the last Sunset Review of the Board:

Act No. 100, Acts of Alabama 2015, continued the existence and functioning of the Alabama Security Regulatory Board until October 1, 2019, and amended the *Code of Alabama 1975*, Section 34-27C-9 authorizing the Board to establish fees relating to the licensure of certified trainers. The Act is included in the codification included in the appendix of this report.

<b><u>Characteristics</u></b>	
<b>Members and Selection</b>	<p>Five members:</p> <ul style="list-style-type: none"><li>• Two members appointed by the Governor from a list of names submitted by a recognized security association such as the American Society of Industrial Security (ASIS), the National Association of Security Companies (NASCO), or any state or private security service association which may be organized.</li><li>• One consumer member appointed by the Lieutenant Governor.</li><li>• One member appointed by the Speaker of the House of Representatives.</li><li>• One member appointed by the Attorney General from a list of names submitted by the Alabama Sheriff's Association</li></ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-2(a)</p>
<b>Term</b>	<p>Three year staggered terms. No term limits.</p> <p><i>Code of Alabama 1975</i>, Section 34-27C-2(b)</p>

<b>Qualifications</b>	<p>Members must be citizens of the United States and residents of Alabama.</p> <p><b>Governor appointees:</b></p> <ul style="list-style-type: none"> <li>• Cannot be a licensee;</li> <li>• Has not been engaged in the rendering of contract security service for a minimum of three years prior to appointment;</li> <li>• Not employed by or affiliated with any other member of the Board;</li> <li>• Has served for five or more years in a supervisory position in law enforcement in any municipality, county, state, or district attorney’s office</li> </ul> <p><b>Lieutenant Governor appointee:</b></p> <ul style="list-style-type: none"> <li>• Consumer member who has not been engaged in the rendering of contract security service;</li> <li>• Not employed by, related to, or affiliated with any other member of the Board or licensee of the Board</li> </ul> <p><b>Speaker of the House appointee:</b></p> <ul style="list-style-type: none"> <li>• Must be from an entity that employs, or has an employer-employee relationship with a contract security company.</li> </ul> <p><b>Attorney General appointee:</b></p> <ul style="list-style-type: none"> <li>• Sheriff</li> </ul> <p><i>Code of Alabama 1975, Section 34-27C-2(a)</i></p>
<b>Racial Representation</b>	<p>No specific statutory requirement.</p> <p>One Black member serving.</p>
<b>Geographical Representation</b>	<p>No specific statutory requirement.</p>
<b>Consumer Representation</b>	<p>One member required by statute.</p> <p>One consumer member serving.</p> <p><i>Code of Alabama 1975, Section 34-27C-2(a)(2)</i></p>
<b>Other Representation</b>	<p>The membership of the Board shall reflect the racial, gender, geographic, urban and rural, and economic diversity of the state.</p> <p><i>Code of Alabama 1975, Section 34-27C-2(a)</i></p>

<b>Compensation</b>	Members do not receive compensation but are reimbursed actual expenses incurred in the performance of their duties.  <i>Code of Alabama 1975</i> , Section 34-27C-2(b)								
<b><u>Operations</u></b>									
<b>Administrator</b>	Keith Warren, Executive Director.  The Board contracts with Warren & Company, Inc. for management services and office space. The current annual contract amount is \$182,325.84.  <i>Code of Alabama 1975</i> , Section 34-27C-3(a)(6)								
<b>Location</b>	2777 Zelda Road Montgomery, AL 36106 Office Hours: M-F 8:30 – 4:30								
<b>Examinations</b>	No examinations are required for licensure.  <i>Source</i> : Executive Director								
<b>Licensees</b>	As of February 14, 2018  <table border="1"> <tr> <td>Armed and Unarmed Security Guard</td> <td>9,547</td> </tr> <tr> <td>Contract Security Companies*</td> <td>153</td> </tr> <tr> <td>Certified Trainers</td> <td>164</td> </tr> <tr> <td><b>Total Licensees</b></td> <td><b>9,864</b></td> </tr> </table> *Shall provide proof that the business entity has at least one employee serving as a Qualifying Agent who is licensed by the Board as a Security Guard.  <i>Code of Alabama 1975</i> , Section 34-27C-4(c)(1)  <i>Source</i> : Executive Director	Armed and Unarmed Security Guard	9,547	Contract Security Companies*	153	Certified Trainers	164	<b>Total Licensees</b>	<b>9,864</b>
Armed and Unarmed Security Guard	9,547								
Contract Security Companies*	153								
Certified Trainers	164								
<b>Total Licensees</b>	<b>9,864</b>								
<b>Licensee Demographics</b>	Data not collected by the Board  <i>Source</i> : Executive Director								
<b>Reciprocity</b>	<b>Governmental Entities</b> - The Board shall engage in dialogue and enter into reciprocal licensing agreements with governmental entities in other states that supervise and regulate the provision of private contract security services in order to ensure that security officers and armed security								



	<p>officers licensed by the State of Alabama have full reciprocity to operate in other states.</p> <p><i>Code of Alabama 1975</i>, Section 34-27C-3(a)(12)</p> <p><b>Licensees</b> - The Board may grant a contract security license to a nonresident who holds a valid contract security license of the same type from another state upon satisfactory proof furnished to the Board that the standards of licensure and certification in such other state are at least substantially equivalent to those prevailing in this state.</p> <p><i>Code of Alabama 1975</i>, Section 34-27C-16</p>
<p><b>Renewals</b></p>	<p><b><u>Contract Security Companies</u></b></p> <ul style="list-style-type: none"> <li>• License expire on September 30 each year</li> <li>• Renewals must be submitted on or before October 1</li> <li>• Renewals with late fee allowed through October 31</li> <li>• Renewals not accepted after October 31</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-4(g)(1)</p> <p><b><u>Armed/Unarmed Security Guards</u></b></p> <ul style="list-style-type: none"> <li>• License expire two years from date of issuance</li> <li>• Renewals not filed on or before date of expiration of license are accepted with imposed late fee.</li> <li>• License expired two years past its expiration date not eligible for renewal.</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-4(g)(2)  <i>Administrative Rule</i> 832-X-1-.12(1)</p> <p><b><u>Certified Trainers</u></b></p> <ul style="list-style-type: none"> <li>• License expire two years from date of issuance</li> <li>• Renewals not filed on or before date of expiration of license are accepted with imposed late fee.</li> <li>• License expired two years past its expiration date not eligible for renewal.</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-3(a)(3) and 34-27C-9  <i>Administrative Rule</i> 832-X-1-.7(1)(b)(3) and 832-X-1-.12(2)</p> <p><b><u>Special Licensure</u></b></p> <ul style="list-style-type: none"> <li>• One-time fee paid by armed/unarmed security guards who work for six months or less per year</li> <li>• No renewal fee assessed to any special license</li> </ul>

	<ul style="list-style-type: none"> <li>• Submit renewal form along with all required documents, to include but not limited to any employment and training documents that are requested by the Board, every two years from the issuance of the original license</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-7(f) <i>Administrative Rule</i> 832-X-1-.04(5)</p> <p>Online renewal is not available.</p> <p><i>Code of Alabama 1975</i>, Section 34-27C-4(e)</p>
<b>Continuing Education</b>	<p><b><u>Armed and Unarmed Security Guards</u></b></p> <ul style="list-style-type: none"> <li>• Eight hours of Board approved refresher training before submitting an application for renewal</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-8(b)</p> <p><b><u>Armed Security Guards</u></b></p> <ul style="list-style-type: none"> <li>• In addition to completing the eight hours of Board approved refresher training, must annually complete two hours of Board approved firearms refresher training</li> </ul> <p><i>Code of Alabama 1975</i>, Section 34-27C-8(c)</p>
<b>Immigration</b>	E-Verify – N/A, no employees SAVE – Partially compliant – See Prior Significant Issues
<b>Employees</b>	None
<b>Legal Counsel</b>	T. Cameron McEwen, Deputy Attorney General, employee of the Alabama Board of Funeral Services.
<b>Subpoena Power</b>	None except as provided by the Administrative Procedure Act, <i>Code of Alabama 1975</i> , Section 41-22-12 for hearings and contested cases.
<b>Internet Presence</b>	<p><a href="http://www.asrb.alabama.gov">www.asrb.alabama.gov</a></p> <ul style="list-style-type: none"> <li>• Contact information</li> <li>• Board meeting schedule/minutes</li> <li>• Rules &amp; regulations</li> <li>• Forms (Licensing/complaint)</li> <li>• Disciplinary actions</li> <li>• Licensee search</li> <li>• Training</li> </ul>

<b>Attended Board Member Training</b>	One Board member
<b><u>Financial</u></b>	
<b>Source of Funds</b>	Licensing fees, fines and penalties.
<b>State Treasury</b>	Yes – Special Revenue Fund 1238  <i>Code of Alabama 1975</i> , Section 34-27C-15
<b>Required Distributions</b>	None
<b>Unused Funds</b>	The Board retains unused funds at fiscal year-end.  <i>Code of Alabama 1975</i> , Section 34-27C-15

**SIGNIFICANT ISSUES**

No new significant issues.

**STATUS OF PRIOR FINDINGS/SIGNIFICANT ISSUES**

All prior findings/significant issues have been resolved, except for the following:

**Prior Finding 2016-01**

The Board has not completed enrollment in the Federal Systematic Alien Verification for Entitlements (SAVE) program used to verify documentation presented by non-citizen applicants for licensure.

The Board is not in compliance with requirements of the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (Alabama Immigration statute) to withhold licensure from applicants who do not demonstrate that they are United States citizens prior to issuance of their initial or renewal license.

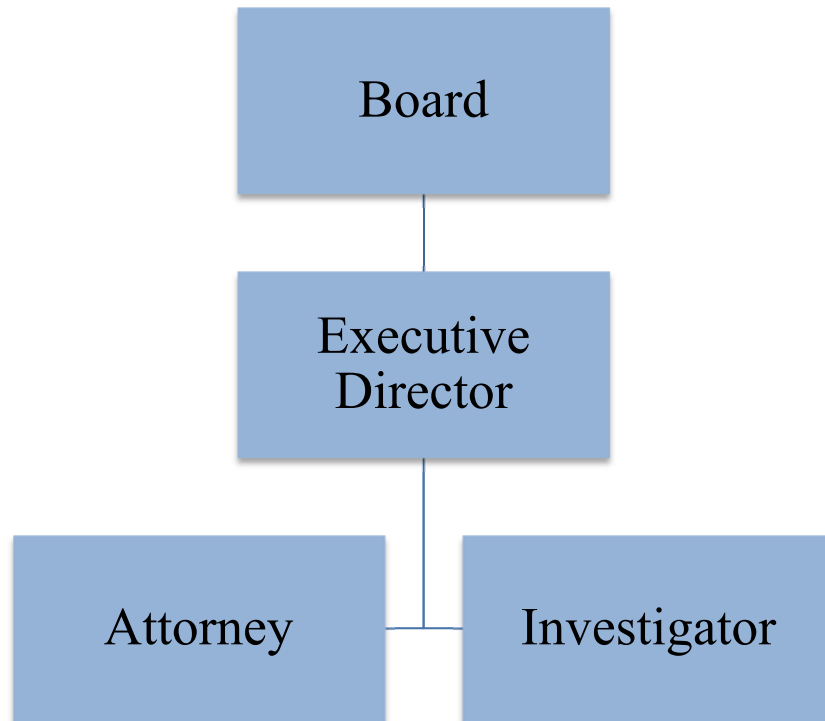
The *Code of Alabama 1975*, Section 34-27C-4(d)(2) of the Board’s licensing law requires that as a prerequisite to licensure, applicants must be either citizens of the United States or legally present in the United States with appropriate documentation from the federal government. More specifically, Section 31-13-29(c)(1) of the Alabama Immigration statute requires that, “Any person entering into a public records transaction or attempting to enter into a public records transaction with this state or a political subdivision of this state shall be required to demonstrate his or her United States citizenship, or if he or she is an alien, his or her lawful presence in the United States to the person conducting the business transaction on behalf of this state or a political subdivision of this state.” Section 31-13-29(g) lists documents to be used to verify citizenship. Section 31-13-3(10) provides that “a person shall be regarded as an alien unlawfully present in the United States only if the person's unlawful immigration status

has been verified by the federal government pursuant to 8 U.S.C. § 1373(c)” and then lists documents to be used to verify lawful presence.

**Current Status 2018**

The Alabama Security Regulatory Board has yet to complete enrollment in the Federal Systematic Alien Verification for Entitlements (SAVE) program.

**ORGANIZATION**



**PERSONNEL**

The Board does not have employees. The Board contracts with Warren & Company, Inc. for management services and office space. Keith Warren, president of Warren & Company, Inc. serves as the Board’s executive director. The current annual contract amount is \$182,325.84.

**Legal Counsel**

T. Cameron McEwen, Deputy Attorney General, an employee of the Alabama Board of Funeral Services, provides legal counsel to the Board for \$20,000.00 annually via an interagency agreement.

# PERFORMANCE CHARACTERISTICS

## Number of Persons per Licensee in Alabama and Surrounding States

	Population (estimate)*	Security <sup>1</sup> Guards	Security Companies	Certified Trainers	Total Licensees	Persons Per Licensee
<b>Alabama</b>	<b>4,878,747</b>	<b>9,547</b>	<b>153</b>	<b>164</b>	<b>9,864</b>	<b>495</b>
Florida	20,984,400	134,161	1,579	1,604	137,344	153
Georgia	10,429,379	3,673	436	508	4,617	2,259
Mississippi <sup>2</sup>	2,984,100	N/A	N/A	N/A	N/A	N/A
Tennessee	6,715,984	31,960	379	382	32,721	205

**\*Source:** U.S. Census Bureau, Population Division July 1, 2017 Estimates

<sup>1</sup>Armed and Unarmed

<sup>2</sup>Mississippi does not have state-level licensing requirements for security guards

**Operating Disbursements per Licensee (FY 2017)** – \$35.59

**Fines/Penalties as a Percentage of Operational Receipts (FY 2017)** – 6.71%

### **Notification of Board Decisions to Amend Administrative Rules**

The Board complied with notification procedures prescribed in the Administrative Procedure Act, which includes publication of proposed rules in the Administrative Monthly, and public hearings on proposed rules. According to the Executive Director, the Board notifies licensees of proposed changes to administrative rules by posting notifications and copies of proposed rule changes on the Board’s website.

### **Inspections**

The *Code of Alabama 1975*, Section 34-27C-3(a)(14) authorizes the Board to inspect the business premises of any licensee, the training records of a licensed contract security company, and to inspect an unlicensed contract security company for licensure compliance.

<b>Schedule of Inspections<sup>1</sup></b>				
<b>FY 2015 through FY 2017</b>				
	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018<sup>2</sup></b>
Passed Initial Inspection	6	11	14	7
Complied within 30 Days	39	27	18	9
Business Closed	5	10	11	5
Exempt	1	0	0	0
Complaint Filed	0	9	10	1
<b>Total Number of Inspections</b>	<b>51</b>	<b>57</b>	<b>53</b>	<b>22</b>

<sup>1</sup>The Board began conducting inspections in FY2015 after statutory changes authorized the Board to conduct inspections.

<sup>2</sup>As of February 20, 2018

## COMPLAINT HANDLING

<b>Initial Contact/Documentation</b>	Complaints are submitted on forms provided on the Board's website via mail, email, or fax. Complaints are required to be signed and dated. The complainant is notified by letter acknowledging receipt of complaint.
<b>Anonymous Complaints Accepted</b>	No
<b>Investigative Process &amp; Probable Cause Determination</b>	Once complaint is received, it is submitted to the Investigative Committee. The Investigative is composed of the Executive Director, Board's Legal Counsel, Board's Investigator, and a Board member. The Investigator investigates the complaint and submits the results to the Executive Director and Legal Counsel for probable cause determination. The investigative committee decides whether the complaint has merit and if further action is required by the Board. The Board member involved recuses himself from further involvement.
<b>Negotiated Settlements</b>	Yes. The investigative committee negotiates the agreement then presents it to the Board for approval.
<b>Notification of Resolution to the Complainant</b>	Complainants are notified of the Board's resolution of the complaint by mail.

*Source:* Executive Director

<b>Schedule of Complaints Resolved</b>						
FY 2014 through FY 2018*						
Year/Number Received	Year/Number Resolved					Pending
	2014	2015	2016	2017	2018	
2014 /#26	24	1	1	-	-	-
2015 /#17		9	8	-	-	-
2016 /#28			23	5	-	-
2017 /#18				13	5	-
2018 /#7					5	2
<i>Source:</i> Executive Director						

\*As of February 14, 2018

**Average Time to Resolve Complaints (FY 2017) – 92 days**

**Disposition of Resolved Complaints**

22	Consent Agreement and Fine
19	No Jurisdiction
10	Came into Compliance
7	Cease and Desist
7	Letter of Concern
6	Complaint Withdrawn
4	Complaint Unfounded
3	Surrendered License
1	Fine and Suspended License for 2 years
1	Referred
14	Unknown
<b>94</b>	<b>Total Complaints Resolved</b>

**REGULATION IN CONJUNCTION WITH OTHER ENTITIES**

No other state/federal agencies licenses and regulates security officers.

**FINANCIAL INFORMATION**

**Source of Funds**

Licensing and certification fees, fines and penalties.

**Fund**

The Board operates from Special Revenue Fund 1238 in the State Treasury, authorized by the *Code of Alabama* 1975, Section 34-27C-15. Year-end balances are retained for the Board's continuous use, subject to appropriations.

## **Schedule of Fees**

The Board's fees are set in *Administrative Rule* 832-X-1-.10

<b>Fees</b>	<b>Statutory Authority</b>	<b>Amount Authorized</b>	<b>Amount Charged</b>
<b><i>Licensure Fees</i></b>			
Personal Application, Initial License and Renewal	34-27C-4(g)(2)	≤ \$100.00	\$50.00
Application Fee for Initial or Renewal	34-27C-7(b)	\$25.00	\$25.00
Contract Security Company Initial License and Renewal	34-27C-4(g)(1)	≤ \$350.00	\$250.00
Certified Trainer 1 Initial License and Renewal	34-27C-9	Set by Board	\$100.00
Certified Trainer 2 Initial License and Renewal	34-27C-9	Set by Board	\$200.00
Special License (One-time fee)	34-27C-7(f)	≤ \$100.00	\$100.00
<b><i>Late Fees</i></b>			
Personal License	34-27C-4(g)(2)	Set by Board	\$25.00
Contract Security Company License	34-27C-4(g)(1)	Set by Board	\$125.00
Certified Trainer 1 License	34-27C-9	Set by Board	\$50.00
Certified Trainer 2 License	34-27C-9	Set by Board	\$100.00
<b><i>Other Fees</i></b>			
Bad Check Fee	8-8-15(b)	≤ \$30.00	\$30.00
Criminal History Check Fee	34-27C-4(e)	Assessed By ALEA	\$37.00
Personal License Replacement Fee	34-27C-3(a)(5)	Cost Recovery	\$10.00
Contract Company License Replacement Fee	34-27C-3(a)(5)	Cost Recovery	\$50.00
Special Licensure Replacement Fee	34-27C-3(a)(5)	Cost Recovery	\$25.00
<b><i>Fines/Penalties</i></b>			
Fine – Per Violation	34-27C-13	\$75 - \$2,000	\$75 - \$2,000

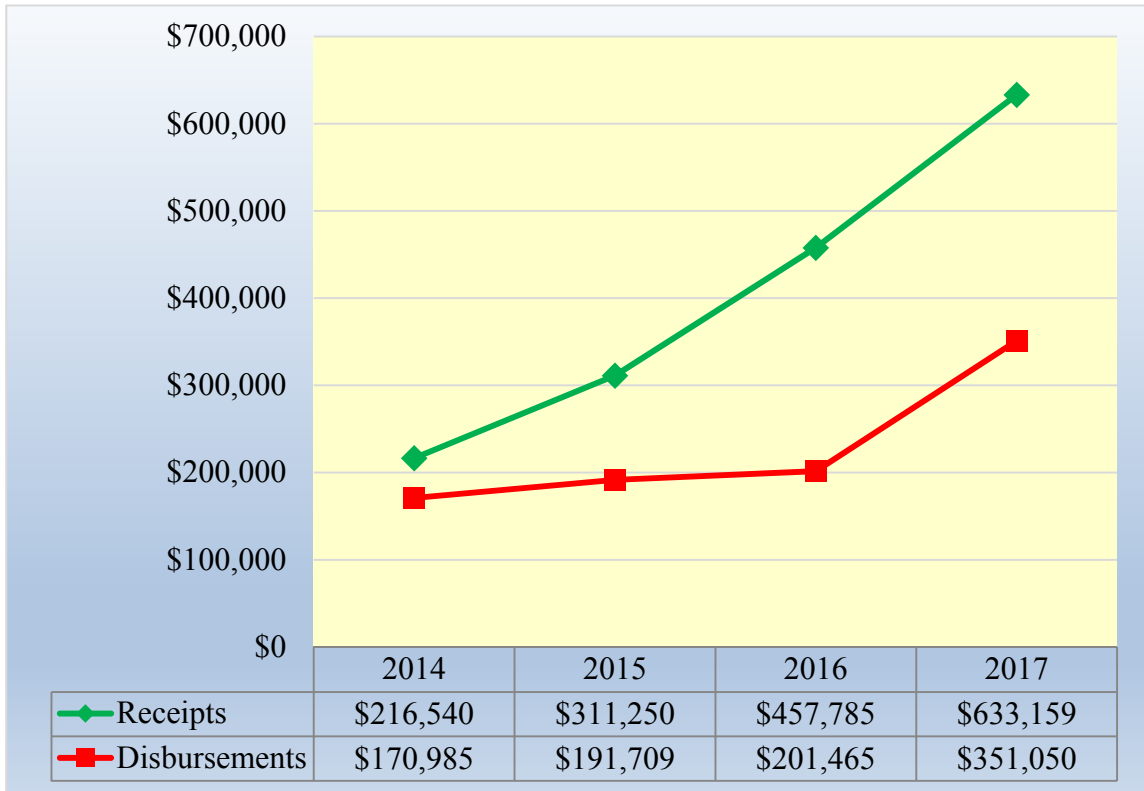


**Schedule of Receipts, Disbursements and Balances**

October 1, 2013 through September 30, 2017

	<b><u>2016-17</u></b>	<b><u>2015-16</u></b>	<b><u>2014-15</u></b>	<b><u>2013-14</u></b>
<b><u>Receipts</u></b>				
Security License Fees	\$ 590,659.00	\$ 411,734.68	\$ 285,675.00	\$ 197,040.00
Penalties	42,500.00	46,050.00	25,575.00	19,500.00
<b>Total</b>	<b>633,159.00</b>	<b>457,784.68</b>	<b>311,250.00</b>	<b>216,540.00</b>
<b><u>Disbursements</u></b>				
Personnel Costs	12,292.04	-	-	-
Employee Benefits	7,707.96	-	-	-
Travel, In-State	8,403.42	6,316.13	7,312.39	2,271.11
Travel, Out-of-State	1,074.05	-	-	-
Rentals & Leases	92.28	81.32	7.20	5.76
Utilities & Communications	13,352.21	7,545.57	7,420.08	5,072.19
Professional Services	297,480.85	180,913.31	167,418.63	159,324.17
Supplies, Materials, & Operating Expenses	10,646.83	6,608.83	9,550.68	4,311.77
<b>Total</b>	<b>351,049.64</b>	<b>201,465.16</b>	<b>191,708.98</b>	<b>170,985.00</b>
Excess of Receipts over Disbursements	282,109.36	256,319.52	119,541.02	45,555.00
Cash Balances at Beginning of Year	501,888.05	245,568.53	126,027.51	80,472.51
Cash Balances at End of Year	783,997.41	501,888.05	245,568.53	126,027.51
Reserved for Year End Obligations	(74,929.89)	(78,509.81)	(15,115.46)	(6,802.12)
Unobligated Cash Balances at Year End	<b>\$ 709,067.52</b>	<b>\$ 423,378.24</b>	<b>\$ 230,453.07</b>	<b>\$ 119,225.39</b>

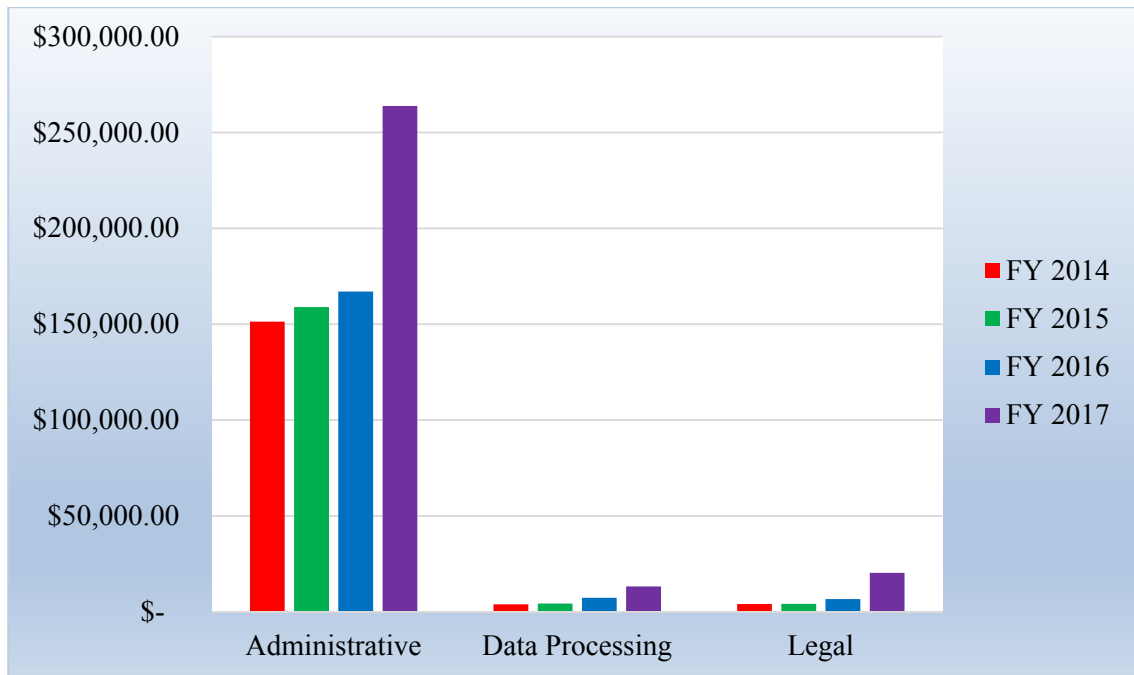
**Operating Receipts vs. Operating Disbursements (Chart)**



<b>SUMMARY SCHEDULE OF PROFESSIONAL SERVICE DISBURSMENTS*</b>				
As of September 30 <sup>th</sup>				
<b>Type of Service</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>
Administrative	\$151,380.00	\$158,972.50	\$167,008.38	\$263,872.00
Data Processing	3,894.17	4,311.85	7,289.93	13,258.85
Legal	4,050.00	4,134.28	6,615.00	20,350.00
<b>Total</b>	<b>\$159,324.17</b>	<b>\$167,418.63</b>	<b>\$180,913.31</b>	<b>\$297,480.85</b>

\*A detailed schedule of professional services disbursements by vendor is presented in the appendices of this report.

### Professional Service Disbursements Chart



## **QUESTIONNAIRES**

### **Board Member Questionnaire**

A letter was sent to all five members of the Alabama Security Regulatory Board requesting participation in our survey. Three participated in the survey.

**1. What are the most significant issues currently facing the Alabama Security Regulatory Board and how is the Board addressing these issues?**

**Board Member #1** - “Ensuring that all security companies and guards are licensed, comply with the state law regulating their industry, and follow the promulgated rules regarding training and employment. The ASRB and their management company, Warren & Co., is diligent in supervising the industry on behalf of the citizens of Alabama. Proper records are maintained to verify companies and members are in compliance. Non adherence is followed-up, as well as formal complaints, which are investigated. Violations are enforced per state law.”

**Board Member #2** - “The power to adequately investigate and enforce the law. Improve reporting of use of force issues. Better reporting will lead to more data that can help the board address training and licensure issues.”

**Board Member #3** - “Making sure that Security Guards are trained so that they won't put workers and the public in danger and protecting the property of the businesses. We are attempting to have legislative laws passed and training.”

**2. What, if any, changes to the Board's laws are needed?**

**Board Member #1** - “There is current proposed legislation from the board to the state legislators to correct the wording on a portion of the law to distinguish APOSTC law enforcement officers from security guards. The ASRB found some ambiguity in the wording.”

**Board Member #2** - “1. subpoena power and broader authority to inspect. 2. Currently all training requirements are statutory, The Board needs the ability to adjust minimum training requirements without having to change the law.”

**Board Member #3** - “We are tweaking the laws as needed”

**3. Is the Board adequately funded?**

Yes	3	100%
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**4. Is the Board adequately staffed?**

Yes	3	100%
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**Board Member #1** - “Warren & Co. does an outstanding job of managing the day-to-day affairs of the board.”



## *Board Member Questionnaire*

creation of the Alabama Security Regulatory Board was a positive move for the citizens of Alabama.”

**Board Member #2** - “There is a growing demand for contract security services and some entering the industry are trying to find ways to circumvent the law. At times, this can put the public at risk because officers may not be properly trained or they may have a criminal past that disqualifies them from being licensed. As the demand grows companies will find it more difficult to find qualified officers and may try to circumvent the law in an effort to fulfill contract obligations.”

**Board Member #3** - “n/a”

**Armed/Unarmed Security Guard Questionnaire**

A letter was sent to one hundred armed/unarmed licensees requesting participation in our survey. Nine participated in the survey. The percentages, where shown, are based on the number who responded to the question.

**1. Do you think regulation of your profession by the Alabama Security Regulatory Board is necessary to protect public welfare?**

<b>Yes</b>	<b>6</b>	<b>67%</b>
No	1	11%
Unknown	2	22%

**Respondent #2** - "For armed security YES. No for unarmed security."

**Respondent #4** - "I do believe training for those that have no law Enforcement background is a good way for people to understand what their jobs duties may consist of."

**Respondent #9** - "Don't think so. About low paying security job @ low risk sites"

**2. Do you think any of the Board's laws, rules, and policies are an unnecessary restriction on the practice of your profession?**

Yes	2	22%
<b>No</b>	<b>5</b>	<b>56%</b>
Unknown	2	22%

**Respondent #2** - "The constant supplying of Photo and fingerprints on renewals is not needed upon renewing the same license."

**Respondent #9** - "Don't know laws, rules, & policies to make decision"

**3. Do you think any of the Board's requirements are irrelevant to the competent practice of your profession?**

Yes	3	33%
<b>No</b>	<b>4</b>	<b>45%</b>
Unknown	1	11%
No Opinion	1	11%

**Respondent #2** - "The constant supplying of Photo and fingerprints on renewals is not needed upon renewing the same license. I am an alarm monitor dispatcher and do not see why we have to be licensed, I am not a security officer and do not do security officer duties."

*Armed/Unarmed Security Guard Questionnaire*

**4. Are you adequately informed by the Board of changes to and interpretations of the Board's positions, policies, rules and laws?**

<b>Yes</b>	<b>4</b>	<b>45%</b>
No	3	33%
Unknown	1	11%
No Opinion	1	11%

**Respondent #2** - "Have never heard of any changes on anything."

**5. Has the Board performed your licensing and renewal in a timely manner?**

<b>Yes</b>	<b>6</b>	<b>67%</b>
No	1	11%
Unknown	1	11%
No Opinion	1	11%

**Respondent #2** - "Mine expired (not notified) and I had to do it all over again. My company can't seem to supply renewal forms."

**6. Do you consider mandatory continuing education necessary for competent practice?**

Yes	3	33%
<b>No</b>	<b>5</b>	<b>56%</b>
Unknown	1	11%

**Respondent #2** - "For unarmed security officers and AMDO Alarm Monitor Dispatch Officers NO."

**Respondent #4** - "I feel if a person has made it through for one to two years as a security officer OR has a Law Enforcement/Military Law Enforcement background, the refresher training is overboard. UNLESS there is the latest information commensurate with the given year, ie 2018."

**Respondent #7** - "Some kind of small Training to refresh without all The Long forms & fingerprints stay the same!"

**7. Has the Board approved sufficient providers of refresher training to ensure your reasonable access to necessary refresher training hours?**

Yes	2	22%
No	2	22%
<b>Unknown</b>	<b>4</b>	<b>45%</b>
No Opinion	1	11%

**Respondent #4** - "This company seemed to only have one trainer and that trainer has to go all over Alabama, which leaves a big site behind the training curve when it comes to new hires."



*Armed/Unarmed Security Guard Questionnaire*

**Respondent #6** - "Not enough Certified company's or instructors to do the training and if they're not on the boards list then we can't use them. Why can't we use a certified police officer that does training and is willing to train you for the hours that you are needed to have"

**8. What do you think is the most significant issue(s) currently facing your profession in Alabama and what is the Board doing to address the issue(s)?**

**Respondent #1** - "N/A"

**Respondent #2** - "N/A"

**Respondent #3** - "I haven't seen any issues."

**Respondent #4** - "Not enough qualified security, but that is nothing the Board can do."

**Respondent #5** - "No comments"

**Respondent #6** - "The fees and fines for a small business such as renewal fees, late fees and instructor fees"

**Respondent #7** - "Every Examiners must be made To use The same forms & information. No one should Not have To use different forms or wait a month And go Long form. To Review License fingerprints should Not been done every time for Renewal of your License. Once fingerprints are on file with state"

**Respondent #8** - "No Comment"

**Respondent #9** - "Fees are too high for low pay rate for some security sites. Most employees live on S.S. status. And of age over 75 do not access computer system or means to communicate with email or internet."

**9. Do you think the Board and its' staff are satisfactorily performing their duties?**

Yes	3	33%
<b>Unknown</b>	<b>4</b>	<b>45%</b>
No Opinion	2	22%

**Respondent #2** - "Don't have a clue what their specific duties are."

**Respondent #7** - "Some Examiners are not using the short renewal form and having the person to go on the Long form for Renewal every Two years. And Information is the same for person and some are having the person carry over a month for The Long form."

**10. Has any member of the Board or its' staff asked for money (other than normal fees), services, or any other thing of value in return for performing a Board service for you?**

No	<b>8</b>	<b>89%</b>
Unknown	1	11%

**Certified Trainer Questionnaire**

A letter was sent to one hundred certified trainers requesting participation in our survey. Twenty-seven participated in the survey. The percentages, where shown, are based on the number who responded to the question.

**1. Do you think regulation of your profession by the Alabama Security Regulatory Board is necessary to protect public welfare?**

Yes	20	74%
No	6	22%
Unknown	1	4%

**Respondent #6** - “Would love to see standards increased. Additional Training hours annually with followup by the Board would be great. Florida presently requires 40 hours, Louisiana requires 16 hours.”

**Respondent #11** - “Absolutely to help to better the quality of training given! This is very important for the safety of the public!! Companies in most cases do care and some trainers/instructors do the quick/easy classes and just turn the students loose as fast as they can to the streets. When a law suit hits then training and regulations will be the first thing attacked. As a certified expert witness on training/use of force and such I see more and more problems with bad or no training!!”

**Respondent #12** - “This industry is best left regulated by the state industry itself.”

**Respondent #15** - “The 21st century demands that private sector security have basic skill sets required to provide safety and security to the public.”

**Respondent #24** - “Never was in the past.”

**Respondent #26** - “Regulation is good for the industry to keep everyone at or above the standard of a set bar. This also allows for our industry to become a more professional occupation for our workers if implemented and carried out properly.”

**2. Do you think any of the Board’s laws, rules, and policies are an unnecessary restriction on the practice of your profession?**

Yes	5	19%
No	22	81%

**Respondent #1** - “Requiring officers to travel to Montgomery for appeals creates a hardship on most officers, especially if they have to travel across state to do so. This hardship has caused quite a few good officers with valid grounds for appeal to lose their licenses and their incomes due to not being able to travel such a distance. The Board could help alleviate this hardship by having regional offices in places such as Huntsville and Mobile.”

**Respondent #11** - “In most cases the regs are sometimes not enforced enough and not strong enough!! Placing investigators undercover in required classes will wake people up!”

*Certified Trainer Questionnaire*

**Respondent #12** - "Having laws, rules and policies isn't the problem. It's the absence of proper enforcement. The industry and market will do a more efficient job than any state government can."

**Respondent #15** - "If anything, the rules should be strengthened. Individuals entering into or working in the private sector must realize and understand the importance of their assigned duties and responsibilities."

**Respondent #24** - "N/A"

**Respondent #26** - "The only two issues I have here is i have seen officers either NOT RECIEVE or receive TOO LATE a letter telling them to come to Montgomery or redo fingerprints, or turn in so and so etc. and then lose their job or come close to losing their job."

**3. Do you think any of the Board's requirements are irrelevant to the competent practice of your profession?**

Yes	6	22%
No	21	78%

**Respondent #11** - "If the board does not control the training and all other areas of this profession then it will be up to the instructor's to either not give proper training or just sign off and take money"

**Respondent #12** - "Established requirements are irrelevant. The requirements of our customers and the service we provide them should be the sole driving force that affect professionalism. It won't take long for an unprofessional company to be run out of town when they do not provide for the needs of their clients."

**Respondent #24** - "N/A"

**4. Are you adequately informed by the Board of changes to and interpretations of the Board's positions, policies, rules and laws?**

Yes	11	41%
No	11	41%
Unknown	1	3%
No Opinion	4	15%

**Respondent #5** - "I HAVE TO GO TO WEBSITE CONTINUALLY TO CHECK FOR CHANGES"

**Respondent #6** - "Rarely receive any information from the Board."

**Respondent #11** - "So far I have been, even though I am new to the Alabama regs"

**Respondent #12** - "This is the first instance where the Board has contacted me as a licensed practitioner."

**Respondent #22** - "However, more company direct internet notifications and mail outs would be better."

**Respondent #23** - "Web site could use an upgrade."

**5. Has the Board performed your licensing and renewal in a timely manner?**

<b>Yes</b>	<b>16</b>	<b>59%</b>
No	8	30%
Unknown	2	7%
No Opinion	1	4%

**Respondent #1** - "I received multiple hard copy trainer licenses with incorrect information on them. After multiple calls to the ASRB to attempt to have this resolved, I still haven't received a correct hard copy. In addition, my trainer license isn't listed correctly under "Certified Trainers" on the website. Instead it is listed as an addition to my unarmed guard license."

**Respondent #5** - "IT HAS RECENTLY ,BUT EARLY ON APPLICATIONS AND CHECKS WOULD GET LOST AND IT WOULD BE 3 OR 4 MONTHS TO GET LICENSE BACK"

**Respondent #6** - "I am a Certified Trainer as Well as Security Company owner. Presently takes 60 to 90 days for the Board to process application. Often times they say they did not receive application only to find them in some desk drawer. I have started asking for return receipt."

**Respondent #11** - "I have had nothing but great help anytime I have had to contact the board!"

**Respondent #12** - "It is an inefficient system that often facilitates change, but doesn't get the word out. My experience is having to resend and resubmit application requirements. Each time results in added costs."

**Respondent #17** - "They seem to be back logged at times and it takes a long time to process applications"

**Respondent #24** - "Received renewal notice on business license and CTI one year early."

**Respondent #25** - "Yes, however and at times, processing can be very slow."

**Respondent #26** - "Mine yes. However large lag on security officers."

**Respondent #27** - "Much improvement on receiving licensing and renewals after application."

**6. What do you think is the most significant issue(s) currently facing your profession in Alabama and what is the Board doing to address the issue(s)?**

**Respondent #1** - "Some significant issues could be streamlining the licensing and even appeals processes."

**Respondent #2** - "employee safety"

**Respondent #3** - "The lack of regularly required training to maintain a more current knowledge of the requirements of this job."

**Respondent #4** - "The Board is heavy handed on time span for applications but once the application is filed the wait for any action is considerable."

**Respondent #5** - "Basic security officers make just above minimum wage ,and that makes it very difficult to find individuals that ,that can meet and pass the state qualifications ,"

## *Certified Trainer Questionnaire*

**Respondent #6** - "Enforcement of Rules and Regulations Board cannot enforce these with one Investigator."

**Respondent #7** - "Cost of license needs to be reevaluated most security officers cannot afford it and is higher than any other license in cost."

**Respondent #8** - "N/A"

**Respondent #9** - "I think everything is operating in an adequate manner at this time."

**Respondent #10** - "TRAINING"

**Respondent #11** - "Convincing the companies that proper training MUST be given to protect the companies, officers and all involved. I was a member of the Tennessee board for about 12 years and that was the problem we ran into was fighting the companies who all they wanted to get a body on post and did not care about training. And NOW Tennessee has NO board and the problems are out the roof"

**Respondent #12** - "It is being bled for money to support the board that has created a way of making a lot of money, but providing little or no measurable benefit to the field."

**Respondent #13** - "There is a growing need for security professionals in this state with all the opportunities for industrial security. Unfortunately it is not as common knowledge as one would think. In short there are a lot of jobs with a lot of holes and not enough people to fill them. As far as what the board is doing to address these issues I am not sure. I also don't really see how this would be a board issue rather than a security company advertising issue."

**Respondent #14** - "wages"

**Respondent #15** - "The basic (8) training hours for an unarmed security officer should be increased."

**Respondent #16** - "No comment"

**Respondent #17** - "nothing at this time"

**Respondent #18** - "Board not performing duties which they are being paid to do"

**Respondent #19** - "EVERYTHING FINE"

**Respondent #20** - "Needs a higher standard of training."

**Respondent #21** - "Security Officer safety. Establish a standardized safety program."

**Respondent #22** - "Cost is the main issue for a small business like ours."

**Respondent #23** - "Security Officers are on the low end pay scale (usually minimum wage) and attract employees with low motivation and self-esteem. This means high turnover, extreme lack of entry level skill sets. As a trainer I find it harder and harder to address the complex issues required of a security officer with some candidates whose basic high school education is minimal."

**Respondent #24** - "N/A"

**Respondent #25** - "More training should be required. 8 hours is not sufficient."

**Respondent #26** - "Perception of the industry"

**Respondent #27** - "Crisis intervention training - nothing that I am aware of"

**7. Do you think the Board and its' staff are satisfactorily performing their duties?**

<b>Yes</b>	<b>18</b>	<b>67%</b>
No	5	19%
Unknown	1	3%
No Opinion	3	11%

**Respondent #11** - "As I stated I am new to the Alabama Regs, but so far I have no complaints at all"

**Respondent #12** - "Often phone calls into the board result in frustration when they, who govern the licensing requirements, often cannot answer simple questions about their processes or the fees associated with them."

**Respondent #13** - "I'm sure the board is doing the best they can but it would seem that security paper work moves rather sluggish. Again not sure if this would be a board issue or an individual security company issue."

**Respondent #19** - "NEED MORE PERSONNEL"

**Respondent #23** - "The Montgomery office staff have always been courteous, willing to help and interact well with me when I have had issues."

**Respondent #24** - "N/A"

**Respondent #26** - "I feel staff are doing the best they can with the amount of staff they have. The website is almost always behind, not up to date, or wrong. There is little communication directly with businesses due to the high volume and workload of the staff. (outside looking in) I do feel that everyone there tries and are good people trying to get the job done."

**8. Has any member of the Board or its' staff asked for money (other than normal fees), services, or any other thing of value in return for performing a Board service for you?**

<b>No</b>	<b>26</b>	<b>96%</b>
Unknown	1	4%

**Respondent #11** - "No and I would not give to that anyway and report it immediately!!!!!"

**Respondent #24** - "N/A"

**Contract Security Company Questionnaire**

A letter was sent to one hundred contract security companies requesting participation in our survey. Twenty-nine participated in the survey. The percentages, where shown, are based on the number who responded to the question.

**1. Do you think regulation of your profession by the Alabama Security Regulatory Board is necessary to protect public welfare?**

<b>Yes</b>	<b>26</b>	<b>90%</b>
No	1	3
No Opinion	2	7%

**Respondent #25** - "I have seen that since the board was established it has eliminated a lot of the bad apples in the industry."

**Respondent #26** - "It is absolutely necessary not only to protect the public welfare but also to protect the State of Alabama. The State is one of the larger "employers" of private security guard companies (and therefore private security guards), via bid contracts for services."

**2. Do you think any of the Board's laws, rules, and policies are an unnecessary restriction on the practice of your profession?**

Yes	4	15%
<b>No</b>	<b>21</b>	<b>72%</b>
Unknown	3	10%
No Opinion	1	3%

**Respondent #19** - "Up until 5 or 6 years ago there wasn't regulations regarding Security. I feel that knowledge is essential. However, I haven't received any support except acceptance to operate in Alabama."

**Respondent #25** - "Being re printed at each renewal is an unnecessary requirement. Fingerprints don't change and if an officer has his prints on file a renewal is just that. I do agree with the background check on renewal but that's done on a computer."

**Respondent #26** - "There are certain policies and rules that need to be modified and tailored more specifically for the unique business of security guard service, both armed and unarmed. This business like any business has certain nuances that some of these rules and policies do not adequately take into consideration. There is a major breakdown between the rules and the reality of the workforce who makes up the majority of security guards in the State."

**3. Do you think any of the Board’s requirements are irrelevant to the competent practice of your profession?**

Yes	6	21%
<b>No</b>	<b>19</b>	<b>66%</b>
Unknown	1	3%
No Opinion	3	10%

**Respondent #4** - “There is no standard for training. I think ASRB is just a revenue generator.”

**Respondent #19** - “See above answer”

**Respondent #26** - “Again, as stated above, there are several things that could be more carefully tailored which would still adequately safeguard the industry and the public, without unnecessary penalty and/or administrative headache. For instance, if a guard leaves employment of one company and remains unemployed for a large portion of the two year license period, they should not have to then pay a renewal late fee. Currently, in this scenario, a licensed guard who left the industry for a non security guard job who then decides to return to work as a guard some months later after expiration while working out of the industry is subject to an additional \$25.00 late fee. This restricts potential good, experienced and qualified personnel. This is just one example and would also apply to question 2.”

**4. Are you adequately informed by the Board of changes to and interpretations of the Board’s positions, policies, rules, and laws?**

<b>Yes</b>	<b>15</b>	<b>52%</b>
No	8	28%
Unknown	1	3%
No Opinion	5	17%

**Respondent #19** - “Very Seldom get communications in reference to any possible changes.”

**Respondent #25** - “If nothing changes there’s no reason to contact me. When a change is made I get an email.”

**Respondent #26** - “This is another area where better communication and actual understanding of the industry would help both the Board and the Companies.”

**5. Has the Board performed your licensing and renewal in a timely manner?**

<b>Yes</b>	<b>20</b>	<b>69%</b>
No	7	24%
No Opinion	2	7%

**Respondent #15** - “I would like to see an online portal, it would greatly increase the speediness of renewals and applications.”

**Respondent #17** - “Normally 40-50 day turnaround for new and renewal applications. Would like to see the standard 30 days.”



## *Contract Security Company Questionnaire*

**Respondent #18** - "In our opinion response to company license yearly renewal are extremely slow sometimes allowing license to expire. We send in 2 months or more ahead of renewal time. We have customers that try to verify license and sometimes don't have a current one in hand. Same issue with processing renewals on individuals and new hires."

**Respondent #20** - "Processing of new, renewal, and armed status change take an extraordinary amount of time 4-6 weeks or longer. In my opinion additional personnel are needed at the board to process applications quicker."

**Respondent #23** - "When the finger prints are rejected, they are sent to the applicant instead of place of employment where the checks come from and we are not notified timely to get new prints done."

**Respondent #26** - "Most always late issuing and/or sending both new licenses and renewals. They are currently approximately (6) six months behind. They need substantial improvement to the current tracking system when new or renewal submissions are received in the ASRB office."

### **6. What do you think is the most significant issue(s) currently facing your profession in Alabama and what is the Board doing to address the issue(s)?**

**Respondent #1** - "I think the training requirements should be increased, 8 hours is not enough time to adequately train and educate someone in the categories the state requires, and Active Shooter response training should be added."

**Respondent #2** - "none at this time"

**Respondent #3** - "The laws are not defined on what we can or cannot do, and we do not have the adequate authority to perform today's society duties."

**Respondent #4** - "I didn't realize the board did anything. Getting in touch with them isn't the easiest thing I have ever done..."

**Respondent #5** - "Just received the license recently so I have no opinion."

**Respondent #6** - "Unknown"

**Respondent #7** - "N/A"

**Respondent #8** - "Unknown"

**Respondent #9** - "Lack of training facilities in the state makes it difficult to process employees in a timely manner. Suggest providing a format for organizations to train to a standard and to provide proof thru documentation that the training standard was met."

**Respondent #10** - "getting the right personnel for the job, the board are helping"

**Respondent #11** - "Denial of security guard licenses to guards that had misdemeanor charges that were 15-20 years old. The board is allowing the guards to have a hearing."

**Respondent #12** - "Conducting inspections to insure compliance statewide."

**Respondent #13** - "The determination of adequate training."

**Respondent #14** - "Background checks"

**Respondent #15** - "N/A"

**Respondent #16** - "No Opinion"

**Respondent #17** - "N/A"

**Respondent #18** - "Finding quality people to employ. However the board has no control over this issue. No other real issues or concerns to notate."

## *Contract Security Company Questionnaire*

**Respondent #19** - "I feel as though one should not have to a Qualified Agent to make their company operational due to not managing a Security Force, even though their Military Qualifications outweigh management duties."

**Respondent #20** - "Nothing to address"

**Respondent #21** - "No opinion."

**Respondent #22** - "Access to the latest legislation and proposed legislation."

**Respondent #23** - "Finger prints are needed every year without a photo. If electronic fingerprints can be done, it would make the process a lot easier."

**Respondent #24** - "Reciprocity agreements with other States regarding the employment of Private Security Officers from out of state would be helpful."

**Respondent #25** - "I feel that eliminating the poor examples and showing professionalism in the industry is one of the most important issues today. The board has taken a big step toward this with the licensing requirements."

**Respondent #26** - "That is where the establishment of the Board has proven to be overall effective despite the recommendations we have included herein. There was a desperate need to have such a board to clean up the rogue nature of so many uncaptialized and for lack of a better word, sham companies, who were rampant in the industry prior to the Board's creation. There are always new issues appearing as in any industry that will continue to need addressing and recent conversations with Board representatives indicate they are open to hearing Companies' feedback and suggestions to address these issues."

**Respondent #27** - "NO OPINION"

**Respondent #28** - "No known issues at this time"

**Respondent #29** - "Operators who are not licensed, not qualified."

### **7. Do you think the Board and its' staff are satisfactorily performing their duties?**

<b>Yes</b>	<b>20</b>	<b>69.0%</b>
No	2	7%
Unknown	1	3%
No Opinion	6	21%

**Respondent #1** - "But it seem they are overwhelmed with applications, the staff has been very helpful when I have called with an issue."

**Respondent #25** - "When I have a question I can get on the phone and get an answer."

**Respondent #26** - "See specifically the comment to question 5 above and generally the comments contained as a whole herein. This is likely from a lack of adequate staffing which is a result of minimum funding."

### **8. Has any member of the Board or its' staff asked for money (other than normal fees), services, or any other thing of value in return for performing a Board service for you?**

<b>No</b>	<b>29</b>	<b>100%</b>
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**Complainant Questionnaire**

A letter was sent to twenty-six complainants requesting participation in our survey. Four participated in the survey. The percentages, where shown, are based on the number who responded to the question.

**1. Was your complaint filed with the Alabama Security Regulatory Board by:**

<b>Mail</b>	<b>1</b>	<b>25%</b>
<b>Phone</b>	<b>1</b>	<b>25%</b>
<b>Fax</b>	<b>1</b>	<b>25%</b>
<b>Unknown</b>	<b>1</b>	<b>25%</b>

**Respondent #1** - "Guard entering condo units without permission."

**2. Was receipt of your complaint acknowledged?**

<b>Yes</b>	<b>2</b>	<b>50%</b>
No	1	25%
Unknown	1	25%

**3. If you answered 'yes' to Question 2, approximately how long after you filed your complaint were you contacted by the Board?**

<b>Immediately</b>	<b>2</b>	<b>50%</b>
Within 10 days	1	25%
Unknown	1	25%

**4. Was the person who responded to your complaint knowledgeable and courteous?**

<b>Knowledgeable &amp; courteous</b>	<b>3</b>	<b>75%</b>
No Opinion	1	25%

**5. Did the Board communicate the results of investigating your complaint to you?**

<b>Yes</b>	<b>3</b>	<b>75%</b>
Unknown	1	25%

*Complainant Questionnaire*

**6. Do you think the Board did everything it could to resolve your complaint?**

<b>Yes</b>	<b>3</b>	<b>75%</b>
Unknown	1	25%

**7. Were you satisfied with your dealings with the Board?**

<b>Yes</b>	<b>3</b>	<b>75%</b>
No Opinion	1	25%

## **APPENDICES**

### **Applicable Statutes**

#### **Section 34-27C-1 Definitions.**

For the purposes of this chapter, the following terms shall have the following meanings:

(1) ARMED SECURITY OFFICER. An individual whose principal duty is that of a security officer and who at any time wears, carries, possesses, or has access to a firearm in the performance of his or her duties. This definition does not include an off-duty law enforcement officer employed by and working for a public entity.

(2) BOARD. The Alabama Security Regulatory Board.

(3) CERTIFICATION CARD. The identification card issued by the board to an individual as evidence that he or she has met the basic qualifications required by this chapter and is currently certified with the board to perform the duties of a security officer.

(4) CERTIFIED TRAINER. Any person approved and certified by the board as qualified to administer, and certify as to the successful completion of, the basic training requirements for security officers required by this chapter.

(5) CONTRACT SECURITY COMPANY. Any individual, firm, association, company, partnership, limited liability company, corporation, institution, or similar business entity engaged in the business of providing, or which undertakes to provide, a security officer on a contractual basis to another person or entity. The security officer provided by a contract security company is a contract security officer. In addition, any person who provides security services for more than one employer in any one week period, except for a permanent change of employment, shall be deemed to be engaged in the contract security company business and shall be licensed pursuant to this chapter.

(6) EMPLOYER-EMPLOYEE RELATIONSHIP. The performance of any service for wages or under any contract of hire, written, oral, expressed, or implied by an individual, provided the employer has control or direction over the performance of the employee and provided the service is performed personally by the employee. This definition does not include the employer-employee relationship between a law enforcement officer and the public entity employing that law enforcement officer.

(7) LICENSEE. Any person or contract security company to which a license is granted in accordance with this chapter.

(8) PUBLIC ENTITY. The federal government, the state, or any political subdivision, agency, department, branch, or service of either the state or federal government, or any county or municipality, or any other unit of local government.

(9) SECURITY OFFICER. A person employed under contract, whose principal purpose is to protect a person or persons or property from criminal activity, and whose duties include, but are not limited to, the following:

a. The detection and prevention of unauthorized intrusion or entry, larceny, vandalism, abuse, arson, or trespass on private property.

b. The prevention, observation, or detection of any unauthorized activity on private property.

c. The control, regulation, or direction of the flow or movements of individuals, whether by vehicle, on foot, or otherwise.

d. The wearing of a uniform prescribed by his or her employer identifying him or her as a security officer. Persons whose duties are limited to custodial duties or the reporting of violations of inhouse administrative regulations only, and who do not wear a security uniform, are specifically excluded from this definition. This definition does not include an off-duty law enforcement officer employed by and working for a public entity.

(10) SWORN PEACE OFFICER. Any individual who derives plenary or special law enforcement powers from, and is an employee of, or certified by, the federal government, the state, or any political subdivision, agency, department, branch, or service of either, or of any county or municipality, or of any other unit of local government.

*(Act 2009-640, p. 1960, §1.)*

**Section 34-27C-2 Creation; composition; sunset provision.**

(a) The Alabama Security Regulatory Board is created. Each member of the board shall be a citizen of this state, and the membership of the board, which shall reflect the racial, gender, geographic, urban and rural, and economic diversity of the state, shall consist of the following members:

(1) Two members appointed by the Governor. The appointees shall be residents of the state who are not qualified to be licensed under this chapter, who have not been engaged in the rendering of contract security service for a minimum of three years prior to appointment, who are not employed by or affiliated with any other member of the board, and who have served for five or more years in a supervisory position in law enforcement in any municipality, county, state, or district attorney's office. The members appointed by the Governor shall be selected from a list of names submitted by a recognized security association such as the American Society of Industrial Security (ASIS), the National Association of Security Companies (NASCO), or any state or private security service association which may be organized. The initial term of one of the members appointed by the Governor shall be two years and the initial term of one of the members appointed by the Governor shall be three years. Subsequent terms shall be for three years.

(2) One member appointed by the Lieutenant Governor. The appointee shall represent consumers and shall be a citizen of the United States, a resident of this state, not have been engaged in the rendering of contract security service, and not employed by, related to, or affiliated with any other member of the board or licensee of the board. The initial term of the member appointed by the Lieutenant Governor shall be one year. Subsequent terms shall be for three years.

(3) One member appointed by the Speaker of the House of Representatives. The appointee shall be from an entity that employs, or has an employer-employee relationship with, a contract security company.

(4) One member appointed by the Attorney General. The appointee shall reside in the state and shall be selected from a list of names submitted by the Alabama Sheriff's Association.

(b) Unless otherwise provided in subsection (a), board members shall serve three-year terms of office. A vacancy in any board position shall be filled for the duration of the unexpired term in the same manner as the original appointment. Should an appointing authority fail to make an appointment to fill an unexpired or new term within 60 days after receiving notice from the board of the vacancy, the board shall make the appointment of a qualified person within the appropriate category by majority vote of

the board members present. The board shall annually elect a chair from among the membership of the board at its first meeting. The board shall meet on a quarterly basis at a date, time, and place designated by the chair. No compensation shall be paid to members of the board. Actual expenses incurred by board members in the performance of duties on behalf of the board shall be reimbursed from the funds of the board. Decisions of the board shall be determined by a majority vote of the board members present and voting.

(c) The Alabama Security Regulatory Board shall be subject to the Alabama Sunset Law, Title 41, Chapter 20, as an enumerated agency as provided in Section 41-20-3, and shall have a termination date of October 1, 2011, and every four years thereafter, unless continued pursuant to the Alabama Sunset Law.

*(Act 2009-640, p. 1960, §2; Act 2011-174, p. 339, §3.)*

### **Section 34-27C-3 Powers of the board.**

(a) The board shall have the following powers:

(1) In accordance with the Administrative Procedure Act, to promulgate rules not in conflict with the laws of this state which are reasonable, proper, and necessary to carry out the functions of the board in the regulation of persons engaged in providing security officers within this state. Any interested person may petition the board to adopt, amend, or repeal any rule and the board shall prescribe by rule any necessary forms for petitions and procedures for submission, consideration, and disposition of petitions.

(2) To enforce compliance with this chapter.

(3) To establish rules and procedures for the preparation and processing of examinations, applications, license certificates, certification cards, renewals, appeals, hearings, and rule making proceedings.

(4) To determine the qualifications of licensees, certified trainers, and security officers consistent with this chapter.

(5) To levy and collect fees in amounts determined necessary by the board for licensing, application processing, background checks, including fingerprints, inspections, investigations, and hearings.

(6) To employ or contract for necessary personnel, including a director, pursuant to the state Merit System, provided such persons are employed by the board on a full-time basis exceeding 32 hours per calendar week, and provide for necessary offices, supplies, and equipment to fulfill the requirements of this chapter.

(7) To delegate its power and duties by resolution to a named designee.

(8) To enter into contracts and expend funds of the board to fulfill the requirements of this chapter.

(9) To borrow money.

(10) To work with the Attorney General and other law enforcement agencies to prohibit and punish any violation of this chapter.

(11) To establish volunteer procedures for those persons or businesses that are exempt from this chapter.

(12) To engage in dialogue and to enter into reciprocal licensing agreements with governmental entities in other states that supervise and regulate the provision of private contract security services in order to ensure that security officers and armed security officers licensed by the State of Alabama have full reciprocity to operate in other states.

(13) Upon the declaration of the Governor of a state of emergency, to authorize the operation of out-of-state contract security companies and staff within the state for the

duration of the state of emergency, and up to a maximum of 30 days after the expiration of the state of emergency. To be eligible to operate within the state pursuant to this subdivision, the out-of-state contract security company shall satisfy all of the following requirements:

a. Be licensed in another state in which the qualifications, insurance, training, and other requirements for licensure are substantially similar to those required by this chapter, as determined by the board.

b. Provide notice to the board of an intention to operate in the state and submit to the board any information requested by the board.

(14) To inspect the business premises of any licensee during normal business hours. The inspection of a licensed contract security company shall be limited to an inspection of training records. The inspection of an unlicensed contract security company shall be limited to licensure compliance.

(b) All powers granted in this chapter and any other powers granted to the board are public and governmental functions, exercised for a public purpose, and matters of public necessity.

*(Act 2009-640, p. 1960, §3; Act 2013-349, p. 1248, §1.)*

**Section 34-27C-4 License application; renewal; fee.**

(a) Commencing on May 21, 2009, any security guard, armed security guard, or contract security company providing private security services in this state shall apply to the board for a license. Any security guard, armed security guard, or contract security company providing security services in this state before May 21, 2009, may continue to engage in business operations pending a final determination by the board, provided such security guard, armed security guard, or contract security company files an application for license. This chapter shall not abrogate the terms of a contract existing on May 21, 2009.

(b) An application for licensure shall include all of the following information:

(1) The full name, home address, post office box, and actual street address of the business of the applicant.

(2) The name under which the applicant intends to do business.

(3) The full name and address of any partners in the business, principal officers, directors, and business manager, if applicable.

(4) The names of at least three unrelated and disinterested persons to be used as references for board inquiries regarding the character, standing, and reputation of the applicant.

(5) Such other information, evidence, statements, or documents as may be required by the board.

(c)(1) A contract security company applying for a license shall include proof that the business entity has at least one person in its employ serving as a qualifying agent who is licensed by the board as a security guard that, in addition to meeting the requirements of subsection (d), possesses three years of experience as a manager, supervisor, or administrator with a contract security company or possesses three years of supervisory experience with any federal, military, state, county, or municipal law enforcement agency.

(2) No person may serve as the qualifying agent for more than one contract security company without prior written approval of the board.



(3) A contract security company shall notify the board within 10 working days if the qualifying agent for the company ceases to perform his or her duties as qualifying agent and shall obtain a substitute qualifying agent within 30 days after the original qualifying agent ceases to serve. The board may grant an extension to the company for good cause, for not more than three months.

(d) Every applicant for licensure shall provide the following to the board:

(1) Proof that the applicant is 21 years of age or older, or 18 years of age if the person is not allowed to carry any type of firearm in the course of his or her employment with the contract security company.

(2) Proof that the applicant is a citizen of the United States or, if not a citizen of the United States, a person who is legally present in the United States with appropriate documentation from the federal government.

(3) A statement of the applicant, made under oath, declaring all of the following:

a. That he or she has never been convicted in any jurisdiction of the United States of any felony or crime involving moral turpitude for which a full pardon has not been granted.

b. That he or she has never been declared, by any court of competent jurisdiction, incompetent by reason of mental defect or disease, and competency has not been restored.

c. That he or she is not suffering from habitual drunkenness or from narcotics addiction or dependence. The board may require certified results of medical tests for drug or alcohol use.

(e) In addition to the requirements of subsection (d), an applicant for certification or renewal shall submit to the board a form, sworn to by the applicant, containing the name, date of birth, and Social Security number for completion of a criminal history background check. The applicant shall submit two complete sets of fingerprints to the board. The board shall submit the fingerprints to the Alabama Bureau of Investigation (ABI) for a state criminal history record check. The fingerprints shall be forwarded by the ABI to the Federal Bureau of Investigation (FBI) for a national criminal history record check. Costs associated with conducting a criminal history background check shall be borne by the applicant. The board shall keep information received pursuant to this section confidential, except that such information received and relied upon in denying the issuance of a certificate of qualification for a license to a security officer in this state may be disclosed if necessary to support the denial.

(f) Applications for licensure shall be filed with the board on a form developed by the board. The board shall prescribe the procedures and methods of submission, consideration, and disposition of applications. An applicant corporation incorporated under the laws of this state or any other state shall be required to qualify with a certificate of authority issued by the Secretary of State and shall designate an agent for service of process. The applicant shall be issued a license or denied a license in writing within a reasonable period after receipt by the board of all required information.

(g)(l) Each contract security company requesting or renewing a license shall pay a security license fee upon application to be determined by the board that does not exceed three hundred fifty dollars (\$350) and may not be increased more than fifty dollars (\$50) per licensing period. A license shall expire on September 30 and an application for renewal shall be submitted to the board before October 1. A renewal application may not be accepted by the board after October 31. The board may impose a reasonable late fee on renewals not filed by October 1. The board shall promptly notify an

applicant if the board refuses to issue or renew a license. An applicant or licensee may appeal any decision of the board and may request a hearing, in accordance with the Administrative Procedure Act, on the decision of the board to refuse to issue or renew a license. A licensee may continue to engage in the security business while his or her renewal application is pending.

(2) Each security officer or armed security officer requesting or renewing a license shall pay a nonrefundable security license fee to the board upon application to be determined by the board that does not exceed one hundred dollars (\$100) and may not be increased more than twenty-five dollars (\$25) per licensing period. The license issued to a security officer or armed security officer shall expire two years from the date of issuance. If the board refuses to issue or renew a license, the applicant or licensee shall be promptly notified. The applicant or licensee may appeal any decision of the board and may request a hearing, in accordance with the Administrative Procedure Act, on the refusal of the board to issue or renew a license. A licensee may continue to serve as a security officer or armed security officer while his or her renewal application is pending. The board may impose a reasonable late fee on renewals not filed before the date of expiration of the license.

(h) No license issued pursuant to this chapter shall be assigned or transferred by operation of law or in any other manner. A new license for an assignee or transferee of a business shall be applied for using the same procedures and requirements as set forth in this chapter for an initial license applicant. The security operation of a security company may continue until the final disposition of the pending license application.

(i) The current license certificate or duplicate copy of the certificate shall be posted and displayed at all times at all business offices of the licensee within the state.

(j) The board shall be notified within 30 days of any changes in officers, directors, or management of a licensee or any changes that may reasonably affect the right of a licensee to hold a license under this chapter.

*(Act 2009-640, p. 1960, §4; Act 2011-174, p. 339, §3; Act 2013-349, p. 1248, §1.)*

#### **Section 34-27C-5 Suspension or revocation of license.**

(a) A license may be revoked or suspended by the board for any violation of this chapter.

(b) In the event of revocation or suspension of a license, a licensee shall be notified of the action of the board. The licensee may request a hearing and appeal the decision of the board in accordance with the Administrative Procedure Act. The licensee shall cease to provide security services to clients immediately upon receipt of a final notice from the board of revocation or suspension of its license.

(c) The board may grant a stay or postponement of a revocation or suspension under certain circumstances and with certain conditions attached, upon a majority vote of the board.

*(Act 2009-640, p. 1960, §5.)*

#### **Section 34-27C-6 Insurance requirements.**

(a) Contract security company licensees shall file certificates of insurance with the board certifying coverage. The minimum amount of coverage shall be two million dollars (\$2,000,000) for bodily or personal injury and two hundred thousand dollars (\$200,000) for property damage. There shall be included endorsements for general liability, personal injury, and workers' compensation.

(b) An insurance policy may not be modified or cancelled without 30 days' prior notice to the board. The insurance company shall be licensed in this state, or in the state in which the insurance is purchased, with the name of a designated agent for service filed in the office of the Secretary of State.

*(Act 2009-640, p. 1960, §6.)*

**Section 34-27C-7 Certification.**

(a) Within 30 days after initial employment, a security officer or armed security officer shall apply to the board for a license. On or after May 21, 2009, all security officers or armed security officers not exempted under Section 34-27C-17, shall apply to the board for a license in accordance with this chapter. A license card issued by the board shall be carried by each security officer and armed security officer while performing his or her duties. A temporary card may be issued by the board pending the completion of training. Licensure shall be renewed every two years on the date which original certification was granted.

(b) Each applicant for licensure or renewal of licensure shall submit to the board, within 30 days after initial employment or 30 days before licensure expiration, the appropriate form as developed by the board, a fee of twenty-five dollars (\$25), and proof of completion of a certified training program or refresher course.

(c) Licensure shall be denied or may be revoked if a security officer or armed security officer does not meet the standards of a security officer or armed security officer established by the board pursuant to this chapter. In the event of denial or revocation of a license by the board, the applicant may appeal the action of the board. Upon receipt of a notice of appeal from the applicant, the board shall set a hearing date and promptly notify the applicant of the hearing date. The hearing shall be held in accordance with the Administrative Procedure Act.

(d) A contract security company shall notify the board within 10 days after discovering any adverse information pertaining to the eligibility of an individual to be licensed as a security officer or armed security officer.

(e) The board may issue a license to a security officer who has been licensed as a security officer in another state if the board determines that the applicant is currently a resident of this state and the qualifying and training requirements of the issuing state are equivalent to those required by this chapter.

(f) A security officer or armed security officer who works as such for six months or less per year may pay a one time fee for special licensure by the board. Any security officer or armed security officer who works as such for more than six months in a year shall be subject to all fees and requirements of this chapter. The one time fee may not exceed one hundred dollars (\$100).

*(Act 2009-640, p. 1960, §7; Act 2013-349, p. 1248, §1.)*

**Section 34-27C-8 Training requirements.**

(a) A person seeking certification as a security officer or an armed security officer shall have completed at least eight hours of board approved classroom training with a certified trainer. This training shall include, but may not be limited to, fire prevention, legal information relevant to providing security services, detention procedures, methods of handling crisis situations, methods of crowd control, and the use of equipment needed in providing security services. Training shall be completed as follows:

(1) Security officers and armed security officers employed as such on or before May 21, 2009, shall have until January 1, 2010, to complete the first four hours of training. The second four hours of training shall be completed by July 1, 2011.

(2) Persons hired as security officers or armed security officers after May 21, 2009, shall complete the first four hours of training within 30 days after their initial employment, and the second four hours of training shall be completed within six months after their initial employment.

(b) After initial certification in accordance with this chapter, security officers and armed security officers shall complete eight hours of board approved refresher training before submitting an application for certification renewal.

(c) In addition to the requirements of subsections (a) and (b), a person seeking certification as an armed security officer shall initially complete four hours of board approved firearms safety training and annually complete two hours of board approved firearms refresher training.

(d) The following persons are exempt from the basic training requirements of subsections (a), (b), and (c), except to the extent set forth below:

(1) Any security officer or armed security officer who, within three years before applying for certification, completed basic security training through a military, government, or security training institute that meets or exceeds the training required by this chapter. The board shall examine proof of training before declaring an applicant exempt. An initial exemption granted pursuant to this subdivision does not exempt an applicant from annual training requirements.

(2) Any security officer or armed security officer employed by a contract security company that has a training curriculum and standards that the board determines, upon presentation of proof of training, meet or exceed those required by this chapter.

(3) Any person who is employed as a sworn peace officer or who is a retired sworn peace officer.

(4) Any person who has a minimum of five years of continuous experience as a security officer or armed security officer is not subject to the eight hours of classroom training required in subsection (a). Notwithstanding the foregoing, such individual shall be required to complete annual training pursuant to subsections (b) and (c).

(e) The minimum training standards provided in this section are in addition to any qualifications required by an employing contract security company.

*(Act 2009-640, p. 1960, §8.)*

#### **Section 34-27C-9 Certified trainers.**

Any person conducting training of security officers shall be licensed as a certified trainer by the board. Any person seeking licensure as a certified trainer shall pay all fees required by the board and meet all of the following qualifications:

(1) Be 21 years of age or older.

(2) Have a minimum of two years of supervisory experience with a contract security company, a proprietary company, or in federal, state, county, or municipal law enforcement.

(3) Have a minimum of one year of experience in teaching security-related courses or have attended a board approved two-week instructor's course.

(4) Submit proof of compliance with all instruction and training requirements established by the board.

*(Act 2009-640, p. 1960, §9; Act 2015-100, §3.)*

**Section 34-27C-10 Payment of fees, etc.; deposit.**

(a) A contract security company, at the request of a security officer in its employ, may withhold from the wages of the security officer those amounts necessary to pay for the certification fees, uniforms, or other required equipment of the security officer.

(b) A reasonable deposit may be required of a security officer by an employer to ensure the return of uniforms and equipment. The total amount of deposit required under this section may not exceed the actual cost of uniforms and equipment provided to the security officer.

*(Act 2009-640, p. 1960, §10.)*

**Section 34-27C-11 Pistol permit.**

An armed security officer shall apply for and have his or her pistol permit issued by the sheriff of the county of his or her residence. It is a violation of this chapter for any security officer to carry a firearm in the performance of his or her duties without holding a valid certification card for an armed security officer issued by the board.

*(Act 2009-640, p. 1960, §11.)*

**Section 34-27C-12 Prohibited activities.**

(a) It is unlawful for any person or entity to do any of the following:

(1) Issue a shield or badge not in conformance with this chapter. Except for sworn peace officers, no person or entity shall wear or display any badge, insignia, device, shield, patch, or pattern containing words which would indicate that he or she is a sworn peace officer. The words "security officer," or a similar term, shall be displayed on any badge, insignia, device, shield, patch, or pattern worn by a security officer or armed security officer. Except for the vehicle of a sworn peace officer, no vehicle used by a security officer or an armed security officer shall have any equipment or markings denoting a law enforcement vehicle.

(2) Publish, advertise, use printed letterhead or circulars, or give statements, or use words or phrases which in any way suggest or imply that the security guard, armed security guard, or contract security company is a law enforcement organization or sworn peace officer, or an official of the state or federal government.

(3) Designate an individual meeting the definition of a security officer or armed security officer as anything other than a security officer or armed security officer.

(4) Knowingly quote false statements or omit any document or information required to be filed with the board.

(5) Falsely represent a person to be a holder of a license or a certification card.

(6) Engage in criminal conduct that would prohibit licensing or certification.

(b) In addition to subsection (a), it shall be unlawful for a security officer or armed security officer to do any of the following:

(1) Fail to comply with this chapter and the published rules of the board.

(2) Divulge to anyone other than his or her employer, unless required by law, any information that would jeopardize the property for which he or she is providing security.

(3) Fail to return his or her certification card to the board, if required.

(4) Possess a certification card issued to any other person.

(5) Use a badge or shield not in conformance with this chapter.

*(Act 2009-640, p. 1960, §12.)*

**Section 34-27C-13 Violations.**

A violation of this chapter shall be punishable by a fine of not less than seventy-five dollars (\$75) nor more than two thousand dollars (\$2,000) per violation and may result in the revocation or suspension of the license or certification, or both, of the violator. *(Act 2009-640, p. 1960, §13.)*

**Section 34-27C-14 Appeals.**

Any person or entity aggrieved by any final action of the board may appeal to the Circuit Court of Montgomery County.

*(Act 2009-640, p. 1960, §14; Act 2013-349, p. 1248, §1.)*

**Section 34-27C-15 Security Certification Fund.**

There is created in the State Treasury, with funds expended by the board to defray the expenses of administering this chapter, a special revenue trust fund designated as the Security Certification Fund. All receipts collected by the board under this chapter shall be deposited in the fund and shall only be used to implement this chapter. Receipts deposited into the fund shall be disbursed only by warrants of the state Comptroller drawn upon the State Treasury on itemized vouchers approved by the board. No funds shall be withdrawn or expended except as budgeted and allotted according to Sections 41-4-80 to 41-4-96, inclusive, and 41-19-1 to 41-19-12, inclusive, and only in amounts as stipulated in the general appropriations act, other appropriations acts, or this chapter. At the end of any fiscal year following May 21, 2009, any unencumbered and unexpended balance in the fund shall not revert to the General Fund of the State Treasury under Section 41-4-93, but shall carry over to the next fiscal year.

*(Act 2009-640, p. 1960, §15.)*

**Section 34-27C-16 Contract security license for nonresident.**

To the extent that other states which provide for licensing and certification of any security guard, armed security guard, or contract security company provide for similar action for citizens of this state, the board may grant a contract security license to a nonresident who holds a valid contract security license of the same type from another state upon satisfactory proof furnished to the board that the standards of licensure and certification in such other state are at least substantially equivalent to those prevailing in this state.

*(Act 2009-640, p. 1960, §16.)*

**Section 34-27C-17 Exemptions.**

The following persons and entities, including affiliated entities under common control, are exempt from this chapter:

- (1) Any person or entity which uses the employees of the person or entity for security services.
- (2) Any employee who provides security services only for his or her employer and not for any third party.
- (3) A sworn peace officer who only provides security services within the scope of his or her employment with a public entity and who does not contract for or otherwise provide in any manner private contract security services.

*(Act 2009-640, p. 1960, §17; Act 2013-349, p. 1248, §1.)*

**Section 34-27C-18 Relation to other provisions.**

(a) Commencing on May 21, 2009, no governmental subdivision of this state shall enact any legislation, code, or ordinance, or promulgate any rule relating to the licensing, training, or regulation of contract security companies or individuals functioning as security guards, other than for the imposition of a bona fide business tax or occupational tax, or both.

(b) Commencing on May 21, 2009, any provision of any legislative code, ordinance, or rule promulgated by any local governmental subdivision of this state, relating to licensing, training, or regulation of contract security companies or security guards, shall be superseded by this chapter.

*(Act 2009-640, p. 1960, §18)*

**Summary of Legislative Activity**

HB399, sponsored by Representative Ralph Anthony Howard, was introduced during the 2018 Legislative Session. The bill would provide further for the compensation of Board members; authorize the Board to hold hearings, issue subpoenas, and administer oaths; authorize the Board, by rule, to establish license and certification application fees and limit the amount by which each fee could be increased per licensing period; authorize the Board to impose reasonable late fees on late renewals; and clarify the authority of the Board to refuse to issue or renew a license or certification, place a licensee on probation, or suspend or revoke a license or certification for a violation of the licensing law or rule of the Board. The Bill did not pass.

## *Professional Services by Vendor*

	<u>2014</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Administrative Services</b>				
AL State Law Enforcement Agency \$	-	-	-	\$ 79,711.00
Business Systems & Consultants	-	-	-	8,276.26
Department of Finance	100.00	-	-	314.00
Legislative Reference Service	1,280.00	160.00	-	480.00
Walker 360	-	-	255.26	-
Warren & Company, Inc.	150,000.00	158,812.50	166,753.12	175,090.74
<b>Total Administrative Services</b>	<b>151,380.00</b>	<b>158,972.50</b>	<b>167,008.38</b>	<b>263,872.00</b>
<b>Data Processing Services</b>				
Department of Finance	3,894.17	4,311.85	7,289.93	13,258.85
<b>Total Data Processing Services</b>	<b>3,894.17</b>	<b>4,311.85</b>	<b>7,289.93</b>	<b>13,258.85</b>
<b>Legal Services</b>				
Attorney General Office	4,050.00	3,208.00	6,270.00	-
Alabama Board of Funeral Services	-	-	-	20,000.00
Carl Mike James	-	-	-	200.00
Henderson & Associates	-	926.28	345.00	150.00
<b>Total Legal Services</b>	<b>4,050.00</b>	<b>4,134.28</b>	<b>6,615.00</b>	<b>20,350.00</b>
<b>Total Professional Services</b>	<b>\$ 159,324.17</b>	<b>\$ 167,418.63</b>	<b>\$ 180,913.31</b>	<b>\$ 297,480.85</b>



**Board Members**



**Alabama Security Regulatory Board**  
**2777 Zelda Road**  
**Montgomery, AL 36106**  
**(334) 420-7234**  
**Fax (334) 263-6115**  
**www.asrb.alabama.gov**

February 13, 2018

Rodney Wagstaff  
Examiners of Public Accounts  
Post Office Box 302251  
Montgomery, AL 36130-2251

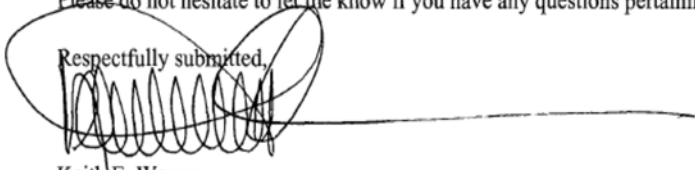
Dear Mr. Wagstaff,

Please find the following information regarding Board members that were appointed during the examination period.

<b><u>Board Member</u></b>	<b><u>Date of Appointment</u></b>	<b><u>Expiration of Appointment</u></b>
Kevin J. Murphy Chair Montgomery, Alabama	September 17, 2009	September 16, 2017
Stephanie Ortel Vice-Chair Hampton Cove, Alabama	November 8, 2013	October 18, 2019
Debra B. Davis Oxford, Alabama	August 18, 2016	September 16, 2018
Sheriff Richard E. "Ben" Bates Linden, Alabama	March 10, 2016	August 31, 2018
Burke V. Swearingen Vestavia Hills, Alabama	July 15, 2009	May 21, 2018

Please do not hesitate to let me know if you have any questions pertaining to this information.

Respectfully submitted,

  
Keith E. Warren  
Executive Director