Arizona Department of Corrections Rehabilitation and Reentry

CHAPTER: 100

Agency Administration/Management

DEPARTMENT ORDER:

105 – Information Reporting

OFFICE OF PRIMARY RESPONSIBILITY:

DIR
OPS

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ACCESS

☒ **Contains Restricted Section(s)**

Department Order Manual

David Shinn, Director

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PURPOSE

This Department Order establishes general report formatting, usage, and notification provisions, routine activity documentation and reporting requirements, the use of information and/or specialty reports, institution briefings, and required Division reports to the Director or designee. This Department Order also establishes staff requirements for significant incidents, management notification, report retention, and significant incident video. This Department Order also establishes requirements intended to promote and ensure the protection and preservation of evidentiary chains of custody and the integrity and confidentiality of criminal and/or administrative investigations. *[Revision – May 5, 2020]*

RESPONSIBILITY

The Director has delegated to the Deputy Director the authority to update Attachment A, Notification Matrix – Significant Incident Notifications, and Attachment B, Incidents Requiring Significant Incident Report (SIR).

PROCEDURES

1.0   GENERAL OPERATIONAL REPORT PROVISIONS

    1.1   Staff shall:

        1.1.1   Avoid unnecessary duplication of information by using only the report format(s) the incident or information requires.

        1.1.2   Complete specially formatted Special-Purpose Reports (i.e., Observation Record, Form 1101-16) and additional reports when required by Department Order, or when directed to do so by a supervisor.

        1.1.3   Ensure reports having their own numbering system (i.e., Significant Incident Report (SIR), Form 105-3), are also assigned a Unit Report Number.

        1.1.4   Ensure the Unit Report Number is consistent on all reports and subsequent Follow-up Reports generated from the same incident.

        1.1.5   Use a Continuation Sheet, Form 105-5, for supplemental information or additional pages of any report that does not have its own continuation form.

        1.1.6   Provide all reports with numbers according to the numbering system and complete a Report Log, Form 105-1, in accordance with section 2.0 of this Department Order.

2.0   ROUTINE ACTIVITY, INFORMATION REPORTS AND/OR SPECIALTY REPORTS

    2.1   Correctional Service Log, Form 105-6

        2.1.1   Staff shall document routine daily activities on a Correctional Service Log, including, but not limited to:

            2.1.1.1   Shift activities, events and routine actions.

            2.1.1.2   Inspections of inmate work completion.

            2.1.1.3   Inmate movement or passes issued.

2.1.1.4   Yard closures and emergency announcements.

2.1.1.5   Security device inspections in accordance with Department Order #703, Security/Facility Inspections.

2.1.1.6   Fire watches, as applicable.

2.2   Information Report, Form 105-2

2.2.1   Staff shall complete an Information Report form:

2.2.1.1   When required to do so by Department written instructions or when directed to do so by a supervisor.

2.2.1.2   To record any situation, routine incident or information not covered by any other report or incidents outlined in Attachment B.

2.2.2   Staff shall not complete an Information Report form when they have completed a Use of Force/Incident Command Report, Form 804-2, and/or a Use of Force/Incident Command Report Continuation Sheet, Form 804-2A, as outlined in Department Order #804, Inmate Behavior Control.

2.2.2.1   Wardens, Deputy Wardens and Bureau Administrators shall ensure staff submits a Use of Force/Incident Command Report form and/or a Use of Force/Incident Command Report Continuation Sheet form for any incident where force is necessary to subdue an inmate.

2.3   Supervisor Review of Operational Reports and Logs – Supervisors shall:

2.3.1   Regularly inspect and initial Correctional Service Logs to ensure:

2.3.1.1   Entries are neat, legible, and complete.

2.3.1.2   Entries do not contain grammatical errors.

2.3.1.3   Employees take appropriate corrective action when deficiencies are noted.

2.3.2   Review, take appropriate action, initial and forward all reports to the Warden or Deputy Warden through the chain of command.

2.3.3   Forward photocopies of reports requiring corrective action to the appropriate area or organizational unit.

3.0   INSTITUTION BRIEFINGS – Institution briefings shall be used to distribute and share information, make decisions, and encourage the exchange of communications within the Institution's operations and units.

3.1   Warden Operations Briefings

3.1.1   The Warden's Office shall schedule an Operations Briefing on each regular business day at a regularly scheduled time each morning in addition to other required or necessary meetings, including those identified in Department Order #112, Department Meetings.

3.1.2   The following staff shall attend:

    3.1.2.1   Deputy Warden of Operations, who shall be the Chairperson/facilitator - In the absence of the Deputy Warden of Operations, the highest-ranking individual present, shall serve as the Chairperson/ facilitator.

    3.1.2.2   Chief of Security

    3.1.2.3   Operations Captain or Lieutenant

    3.1.2.4   Complex Correctional Officer IV

    3.1.2.5   Discipline Hearing Officer

    3.1.2.6   Physical Plant Manager/Administrator

    3.1.2.7   Correctional Education Program Supervisor

    3.1.2.8   Senior Chaplain

    3.1.2.9   On-Duty Shift Commander

    3.1.2.10   Complex Occupational Safety Consultant

    3.1.2.11   Other staff as requested

3.1.3   Designated staff unable to attend shall ensure a representative attends.

3.2   <u>Deputy Warden Briefings</u>

3.2.1   Each Deputy Warden shall conduct a scheduled morning briefing on regular business days.

3.2.2   The following staff shall attend:

    3.2.2.1   Associate Deputy Warden

    3.2.2.2   Chief of Security

    3.2.2.3   Unit Correctional Officer IV

    3.2.2.4   Discipline Coordinator

    3.2.2.5   Operations Lieutenant or Sergeant

    3.2.2.6   On-Duty Shift Commander

    3.2.2.7   Special Security Unit (SSU) Supervisor

    3.2.2.8   Physical Plant Manager/Administrator

    3.2.2.9   Other staff as requested

3.2.3   Designated staff unable to attend shall ensure a representative attends.

3.3　　Warden Operations Briefings and Deputy Warden Briefings

　　3.3.1　The following documents shall be reviewed:

　　　　3.3.1.1　New and/or revised Department written instructions

　　　　3.3.1.2　Information Report forms

　　　　3.3.1.3　Inmate Disciplinary Report, Form 803-1

　　　　3.3.1.4　Correctional Service Logs

　　　　3.3.1.5　Maintenance Work Order Request, Form 403-2

　　　　3.3.1.6　Detention Reports/Beds Rosters

　　　　3.3.1.7　Other reports/documents relevant for administration and management

　　　　3.3.1.8　The Complex Open SIR Report

　　3.3.2　Wardens or Deputy Wardens shall establish an operational philosophy. Routine briefings afford an opportunity to clarify, elaborate, or explain the "who, what, when, where, why, and how" of correctional management.

　　3.3.3　In addition to routine discussion of assignments and projects, Wardens and Deputy Wardens may facilitate discussions on:

　　　　3.3.3.1　Inmate dynamics and intelligence information at each briefing to:

　　　　　　3.3.3.1.1　Further efforts to manage inmate behavior.

　　　　　　3.3.3.1.2　Limit Security Threat Group (STG) or other criminal or unauthorized behavior.

　　　　　　3.3.3.1.3　Discuss recent intelligence regarding inmate activity and current SSU cases.

　　　　3.3.3.2　Individual Classification Issues, As Required – Staff may review and discuss individual classification issues to determine the best course of action (i.e., potential up or down classification overrides or a decision to manage an inmate out of the unit's classification matrix).

　　　　3.3.3.3　Inspection and audit preparation throughout the year, which provides an opportunity to track issues, provide direction, receive feedback on progress in specific areas, and resolve potential problems.

　　　　3.3.3.4　Sanitation/Maintenance – Discussions shall be on an ongoing and continuous basis to reinforce the importance of sanitation/maintenance throughout the chain of command.

　　　　3.3.3.5　Food Services – Wardens and Deputy Wardens may monitor Food Services to:

3.3.3.5.1   Ensure quality meals are provided to the inmate population on an ongoing and continuous basis.

3.3.3.5.2   Ensure Food Services requirements are met (i.e., quality, temperature, delivery, service).

3.3.3.5.3   Evaluate the accuracy of inmate meal counts/projections.

3.4   Shift Briefings

3.4.1   Shift Briefings shall be conducted the first 15 minutes of each shift at any location posting uniformed Correctional Series Officers for duty.

3.4.1.1   Locations that operate under 12-hour shift schedules are not required to hold a briefing. In lieu of a formal briefing, a briefing book shall be maintained and made available to staff either through daily post rotation or other means that ensures communication concerning current information.

3.4.2   At the minimum, the following activities and topics shall be addressed:

3.4.2.1   Department Written Instructions – Discussion may include obtaining written verification of understanding or other methods to ensure staff is made aware of the instruction.

3.4.2.2   Post Assignments – Post assignments shall be determined in accordance with approved posting charts in order of priority.

3.4.2.3   Designation of "Type 5" and "Type 4" Response Team Members – Members shall be designated prior to the posting of each shift and include a minimum of acceptable numbers for each type of response.

3.4.2.4   Designated Armed Response Team (DART) Assignments

3.4.2.4.1   In addition to "Type 5" and "Type 4" Response Team assignments, DART assignments, including the DART Leader designation, shall be identified in accordance with local procedures.

3.4.2.4.2   To ensure each member is appropriately weapons qualified, DART Supervisors shall check each member's Firearms Qualification Card in accordance with Department Order #510, Firearms Qualification/Firearms Instructor Certification.

3.4.2.5   Attendance Reporting – Supervisors shall ensure Positive Attendance Reports (PARs) and/or Electronic Time Entry (ETE) for all staff are maintained and submitted in accordance with Department Order #512, Employee Pay, Work Hours, Compensation, and Leave.

3.4.2.6 Staff Safety Procedures – Staff safety is the utmost priority for management of an institution. Safety procedures, response(s) to incidents, and other situations requiring staff awareness of any changes and/or systems shall be reviewed.

3.4.2.7 General Communications – To maintain communication, staff shall be briefed regarding events from earlier shifts and from other Department units and/or facilities, as appropriate.

3.4.2.8 Security Device Issues – Security device deficiencies shall be identified, reported, and corrected in accordance with Department Order #703, Security/Facility Inspections.

3.4.2.9 Security – All staff are responsible for security issues. Training and other issues related to Department written instructions/security issues shall be discussed during scheduled briefings.

3.4.2.10 Sanitation – Each unit shall have a comprehensive plan addressing the sanitation, health, and beautification of the physical plant. Such plans shall be ongoing, rather than situational, and clearly communicated to all staff.

3.4.2.11 Uniform Inspections – Supervisors shall ensure employees are in compliance with Department Order #503, Employee Grooming and Dress, and other applicable Department written instructions.

3.4.2.11.1 Inspections shall be conducted during each briefing to include verifying employees are in possession of their driver's licenses, Employee Identification Cards, Personal Protective Equipment (PPE), Firearms Qualification Cards, and other required materials.

3.4.2.11.2 Inspection results shall be documented in accordance with the appropriate Post Order.

3.4.2.12 Contract Health Services – Outstanding issues from the previous shift(s) relevant to inmates' health care needs shall be reviewed.

3.4.2.13 Questions and Answers – Supervisors shall encourage staff to ask questions and provide answers and information as needed.

3.4.3 Additional topics may include one or more of the following on a daily basis:

3.4.3.1 Incidents occurring at other institutions or units that may provide insight and improvement to unit operations.

3.4.3.2 Physical plant issues and, when appropriate, prioritizing responses.

3.4.3.3 General information or a discussion of the Warden's or Deputy Warden's meeting minutes highlights.

3.4.3.4 Employee Recognition Awards or charitable campaign activities.

3.4.3.5 Scheduling time for institutional or unit management to address staff.

3.4.3.6 Professional practices appropriate to the prison environment including applicable Department written instructions (i.e., sexual harassment, gender discrimination, work place violence responsibilities and other associated Equal Opportunity issues) and professional behavior as applied to inmate management.

3.4.3.7 Developing and allowing staff to participate in a discussion of teamwork and appropriate team building exercises.

3.4.3.8 Inmate Programs as an essential tool in inmate management efforts.

3.4.3.9 Inspection, Food Service, inmate dynamics, and intelligence information as outlined in this section.

3.5 A briefing book or electronic briefing (e-briefing) containing information relayed during the scheduled briefing shall be maintained for use by staff with staggered work hours.

4.0 **REQUIRED DIVISION REPORTS TO THE DIRECTOR** – Division Directors, the Assistant Director and Bureau Administrators shall provide statistical information and performance measure tracking to the Director or designee as outlined in this Department Order and applicable Technical Manuals. Additional reports may be required at the sole discretion of the Director.

4.1 Quarterly Reports – Quarterly Reports shall be due on the 15th day of January, April, July and October each year.

4.1.1 The Division Director for Prison Operations or designee, using information provided by the institutions and Community Corrections, shall submit the following reports, which provide male and female data separately:

4.1.1.1 Inmate cases heard by the Arizona Board of Executive Clemency

4.1.1.2 Inmates granted Community Supervision

4.1.1.3 Inmates eligible for granted and denied Mandatory/Provisional Release

4.1.2 The General Counsel or designee shall report on the number and status of lawsuits against the Department. The report may be written or oral, as necessary and appropriate.

4.1.3 The Chief Human Resources Officer or designee shall submit:

4.1.3.1 Data from New Employee 90-day surveys.

4.1.3.2 Data relating to the reasons employees voluntarily leave the Department, as reported via Exit Surveys and/or Exit Interviews.

4.1.4 Arizona Correctional Industries shall submit reports as required by Department Order #115, Authority/Responsibility Delegated to ACI.

4.2 Monthly Reports – Monthly Reports shall be due the 15th of each month, for the data from the preceding month.

4.2.1 The Division Director for Prison Operations or designee shall submit the following monthly reports:

4.2.1.1 Inmates in Administrative Detention, by institution

4.2.1.2 Inmate intake report categorized by male and female

4.2.1.3 Inmate departures, including all releases

4.2.1.4 Operational capacity, identifying both rated and unrated beds, by unit

4.2.1.5 Use of Force/Incident Command Report and/or Use of Force/Incident Command Report Continuation Sheet forms

4.2.2 The Planning, Budget and Research Bureau Administrator or designee shall submit the Monthly Internal Financial Report and the Joint Legislative Budget Committee Monthly Report.

4.2.3 The Chief Human Resources Officer or designee shall submit the following monthly reports, by unit:

4.2.3.1 Department employees hired and terminated, as requested

4.2.3.2 Number of appointments by the use of the Central Promotional Register process, as requested

4.2.3.3 Correctional Officer Series Position Vacancy Report

4.2.4 The Inspector General or designee shall submit the following reports, as requested:

4.2.4.1 Escapes and escape attempts

4.2.4.2 Major disturbances

4.2.5 The General Counsel or designee shall report on the status of all significant, newsworthy or other high priority legal cases. The report may be written or oral, as necessary and appropriate.

RESTRICTED SECTIONS

5.0 DISCOVERY AND REPORTING OF A SIGNIFICANT INCIDENT – RESTRICTED

6.0 COMMUNICATIONS CENTER NOTIFICATION OF SIGNIFICANT INCIDENTS – RESTRICTED

7.0 ARCHIVE, RETENTION, AND DELETION OF SIGNIFICANT INCIDENT VIDEO – RESTRICTED

IMPLEMENTATION

The Deputy Director shall ensure the Post Orders for the Central Office Communications Center (Communications Center) address notification procedures for reporting significant incidents to Department management.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

ATTACHMENTS – RESTRICTED

Attachment A – Notification Matrix – Significant Incident Notifications
Attachment B – Incidents Requiring A Significant Incident Report (SIR)/With Video Requirement Information
Attachment C – Significant Incident Video Retention Log

FORMS LIST

105-1, Report Log
105-2, Information Report
105-3, Significant Incident Report (SIR)
105-5, Continuation Sheet
105-6, Correctional Service Log