

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 100</p> <p>AGENCY ADMINISTRATION/ MANAGEMENT</p>	<p>OPR:</p> <p>DIR</p>
	<p>DEPARTMENT ORDER: 105</p> <p><b><i>INFORMATION REPORTING</i></b></p>	<p>SUPERSEDES:</p> <p>DO 105 (09/01/96) DI 111 (05/13/99) DI 187 (02/28/02)</p> <p>EFFECTIVE DATE:</p> <p>AUGUST 6, 2009</p>

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## PURPOSE

This Department Order establishes report formats and specifies when each type is used, including proper notification and reporting of significant incidents. This Department Order also requires that specific statistical information and performance measures to be tracked and provided to the Director or designee through scheduled reports.

## PROCEDURES

### 105.01 GENERAL OPERATIONAL REPORT PROVISIONS - Staff shall:

- 1.1 Avoid unnecessary duplication of information by using only the report format(s) that the incident or information to be recorded requires.
- 1.2 Complete specially formatted Special-Purpose Reports as required by Department or Institution Order, for example, special watch logs, confinement logs and the Observation Record, Form 1101-16.
- 1.3 Complete additional reports when required by Department or Institution Order, or when directed to do so by a supervisor.
- 1.4 Ensure reports that have their own numbering system, (e.g., SIRs) are also assigned a unit report number.
- 1.5 Ensure the unit report number is consistent on all reports and subsequent follow-up reports generated from the same incident.
- 1.6 Photocopy original reports and distribute copies if additional copies are required.
- 1.7 Use a Report Continuation Sheet, Form 105-5, for supplemental information or additional pages of any report that does not have its own continuation form. (e.g., Inmate Discipline).
- 1.8 Provide all reports with numbers according to the numbering system and complete a Report Log, Form 105-1.

### 105.02 ROUTINE ACTIVITY, INFORMATION REPORTS AND/OR SPECIALTY REPORTS

- 1.1 Routine Activity – Staff shall document routine daily activities on a Correctional Service Log, Form 105-6 or a continuous log, including, but not limited to:
  - 1.1.1 Shift activities, events and routine actions
  - 1.1.2 Inspections of inmate work completion.
  - 1.1.3 Inmate movement or passes issued.
  - 1.1.4 Yard closures and emergency announcements.
  - 1.1.5 Orders and directives.
  - 1.1.6 Any other pertinent information in accordance with Department written instructions.

1.1.7 Security device inspections

1.1.8 Fire watches (as applicable)

1.2 Information Reports - Staff shall complete an Information Report (IR), Form 105-2:

1.2.1 When required to do so by Department written instructions.

1.2.2 When directed to do so by a supervisor.

1.2.3 To record any situation, routine incident or information that is not covered by any other report.

1.3 Incident Command System/Use of Force Reports - Wardens, Deputy Wardens or Bureau Administrators shall ensure that staff submit an Incident Command System (ICS)/Use of Force Report, Form 706-1, for any incident during which any element of the ICS is activated, or in instance where force is necessary to subdue and inmate.

1.3.1 Staff shall not complete an IR when they have completed an Incident Command System/Use of Force Report form as outlined in Department Order #804, Inmate Behavior Control.

1.4 Supervisor Review of Operational Reports and Logs - Supervisors shall:

1.4.1 Regularly inspect and initial the Correctional Service Logs and ensure that log entries are neat, legible, complete and do not contain grammatical errors, and that staff take the appropriate corrective action when deficiencies are noted.

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

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

**105.03 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.

1.1 Briefing Frequency – Management briefings shall be held Monday through Friday except for state holidays. These briefings are to be scheduled in addition to other required or necessary meetings including those identified in department Order #112, Department Meetings. Shift Briefings shall occur during the first 15 minutes of each shift, including operations or support services shifts.

1.2 Management Briefings

1.2.1 The Warden's Office shall schedule an operations briefing on each regular business day at a regularly scheduled time each morning. Designated staff unable to attend shall ensure a representative attends. The following staff shall attend:

1.2.1.1 The institution's Deputy Warden for Operations who shall be the chairperson and facilitator. In the absence of the Deputy Warden, the highest ranking individual present shall serve as chairperson/facilitator.

- 1.2.1.2 The institution's Chief of Security.
  - 1.2.1.3 The Support Services or Operations Captain or Lieutenant.
  - 1.2.1.4 The complex Correctional Officer IV.
  - 1.2.1.5 The Discipline Hearing Officer.
  - 1.2.1.6 The Physical Plant Administrator/Manager.
  - 1.2.1.7 The Correctional Education Program Manager.
  - 1.2.1.8 The Senior Chaplain.
  - 1.2.1.9 The on-duty Shift Commander.
  - 1.2.1.10 The complex Occupational Safety Consultant III.
  - 1.2.1.11 Other staff as requested.
- 1.2.2 Each unit Deputy Warden shall conduct a scheduled morning briefing. Designated staff unable to attend shall ensure a representative attends. The following staff shall attend:
- 1.2.2.1 The Associate Deputy Warden.
  - 1.2.2.2 The Chief of Security.
  - 1.2.2.3 The unit Correctional Officer IV.
  - 1.2.2.4 The Discipline Coordinator.
  - 1.2.2.5 The Support Services Lieutenant or Sergeant.
  - 1.2.2.6 The on-duty Shift Commander.
  - 1.2.2.7 Special Security Unit (SSU) supervisor.
  - 1.2.2.8 The Physical Plant supervisor or maintenance supervisor.
  - 1.2.2.9 Other staff as requested.
- 1.2.3 The following documents shall be reviewed by staff during the briefing.
- 1.2.3.1 New and/or revised Department Orders, Director's Instructions, Institution Orders and Post Orders.
  - 1.2.3.2 Information Reports.
  - 1.2.3.3 Inmate Disciplinary Reports.
  - 1.2.3.4 Correctional Post Journals.
  - 1.2.3.5 Maintenance Work Orders.

- 1.2.3.6 Detention Reports/Beds Rosters.
- 1.2.3.7 Other reports/documents relevant for administration and management.
- 1.2.4 Topics and Specific Discussion Issues - The 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.
  - 1.2.4.1 In addition to routine discussion of assignments and projects, the following are topics that Wardens and Deputy Wardens may consider at each briefing.
    - 1.2.4.1.1 Inmate Dynamics – Daily discussion regarding the changing inmate dynamics occurring within a unit, to include inmate gang-leadership and relationships, the most recent intelligence regarding inmate activity, and the Special Security Unit current cases are important topics for ensuring the unit’s day-to-day stability.
    - 1.2.4.1.2 Classification Issues – The daily briefing provides an opportunity to review and staff individual cases with a group of experts to determine the best course of action. For example, discussion of potential individual inmate classification overrides, either up or down, or a decision to manage out of the unit’s classification matrix may be discussed.
    - 1.2.4.1.3 Inspections and Audits – Preparation for annual Audits is a topic to be addressed and discussed routinely throughout the year. The briefing presents a time for the Warden or Deputy Warden to track issues, provide direction, receive feedback on progress in specific areas and resolve potential problems.
    - 1.2.4.1.4 Sanitation/Maintenance – Discussion should be conducted on an ongoing and continuous basis. The importance of sanitation/maintenance should be reinforced frequently throughout the chain-of command and must be fully supported by supervisors in order to be successful.
    - 1.2.4.1.5 Food Service – Providing quality meals to the inmate population. Wardens and Deputy Wardens may discuss food service issues for the purposes of ensuring that the food provided meets all approved requirements in quality, temperature, delivery, that service and quality is monitored and evaluated routinely, and that inmate meal counts/projections are accurate.

1.3 Shift Briefings - Shall be conducted at any location that posts uniformed Correctional Officers for duty. These briefings shall be conducted by the shift lieutenant or sergeant or, in the case of an operations or support services function, the assigned supervisor. A briefing book, containing information relayed during the scheduled briefing, shall be maintained for use by staff that has staggered work hours.

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

- 1.3.1.1 Written Instructions including Department Orders, Director's Instructions, Institution Orders, Post Orders and memorandums. Discussion may include obtaining written verification of understanding or other methods of ensuring that staff is made aware of the instruction.
- 1.3.1.2 Post Assignments - Post assignments shall be determined in accordance with approved posting charts in order of priority.
- 1.3.1.3 In accordance with Department Order #706, Incident Command System (ICS), and local procedures, "A" and "B" response team members shall be designated prior to the posting of each shift. Teams shall include a minimum of acceptable numbers for each type of response.
- 1.3.1.4 Designated Armed Response Team (D.A.R.T.) Assignments - In addition to ICS response team assignments, D.A.R.T. assignments, as dictated in local procedures, including the team leader designation shall be identified so that each member knows their role. Supervisors shall check each member's qualification card to ensure that each member is appropriately weapons qualified.
- 1.3.1.5 Positive Attendance Reporting – Supervisors shall ensure that Positive Attendance Reports for all staff are maintained and submitted in accordance with Department Order #512, Employee Assignments, Work Hours, Compensation, and Leave.
- 1.3.1.6 Staff Safety Procedures - Staff safety is the utmost priority for management of an institution. Review of procedures, response(s) to incidents, and other situations require that staff is aware of any changes and/or systems in which staff safety is a concern.
- 1.3.1.7 General Communications - In order to maintain communication, staff shall be briefed regarding events from earlier shifts and from other Department units and/or facilities as determined appropriate.
- 1.3.1.8 Security Device Issues - Deficiencies with any security devices shall be identified as outlined in Department Order #703, Security/Facility Inspections. Corrections shall be made in accordance with the appropriate written instruction.
- 1.3.1.9 Security - All staff are responsible for security issues. Training and other issues related to written instruction/security issues shall be discussed during scheduled briefings.

- 1.3.1.10 Sanitation - Each unit shall have a comprehensive plan addressing the sanitation, health, and beautification of the physical plant. Such plans shall be on going, rather than situational, and clearly communicated to all staff.
- 1.3.1.11 Uniform Inspections - Supervisors shall ensure that staff are in compliance with Department Order #503, Employee Grooming and Dress, and other applicable written instruction. Inspections shall be conducted during each briefing to include verifying that staff are in possession of their driver's licenses, employee identification cards, personal protective equipment (PPE), weapon cards, and other required materials. Inspection results shall be documented in accordance with the appropriate Institution Order.
- 1.3.1.12 Health Services – Review outstanding issues from the previous shift(s) that are relevant to the inmates' health care needs.
- 1.3.1.13 Questions and Answers - Supervisors shall encouraged staff to ask questions and provide answers and information as needed.
- 1.3.2 Supervisors may choose to include one or more of the following on a daily basis:
  - 1.3.2.1 Discussing incidents that have occurred at other institutions or units that provide insight and improvement to unit operations.
  - 1.3.2.2 Advising staff of Physical Plant issues and when appropriate prioritizing responses.
  - 1.3.2.3 Communicating general information or a discussion of the Warden's or Deputy Warden's meeting minute highlights.
  - 1.3.2.4 Disseminating information regarding food service issues.
  - 1.3.2.5 Announcing Employee Recognition or Awards or charitable campaign activities.
  - 1.3.2.6 Scheduling time for institutional or unit management to address staff.
  - 1.3.2.7 Addressing professional practices appropriate to the prison environment. A discussion of applicable written instructions such as sexual harassment, gender discrimination, work place violence responsibilities and other associated equal opportunity issues may be included. Professional behavior as applied to inmate management is an appropriate topic.
  - 1.3.2.8 Developing and allowing staff to participate in a discussion of teamwork and appropriate team building exercises.
  - 1.3.2.9 Discussing "Inmate Programs" as an essential tool in inmate management efforts.

- 1.3.2.10 Sharing information regarding inspections and/or the results of an inspection in an effort to solve problems and ensure unit compliance with written instruction.
- 1.3.2.11 Briefing staff in regard to inmate dynamics and intelligence information furthering unit efforts to manage inmate behavior and limit Security Threat Group (STG) activities or other criminal or unauthorized behavior.

**105.04 REQUIRED DIVISION REPORTS TO THE DIRECTOR** - Division Directors 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.

- 1.1 At the sole discretion of the Director additional reports may be required.
- 1.2 Quarterly Reports - Quarterly reports are due October 15th, January 15th, April 15th and July 15th of each year.
  - 1.2.1 Arizona Correctional Industries shall submit reports as required by Department Order #115, Authority/Responsibility Delegated to ACI.
  - 1.2.2 Program Services shall, in accordance with Department Order #1101, Inmate Access to Health Care, submit a report of health care fees collected and debited.
  - 1.2.3 Offender Operations, using information provided by institutions and Community Corrections, shall submit the following reports. (The reports shall provide male and female data separately.)
    - 1.2.3.1 Inmate cases heard by the Board of Executive Clemency.
    - 1.2.3.2 Inmates granted parole.
    - 1.2.3.3 Inmates eligible for mandatory/provisional release.
    - 1.2.3.4 Inmates granted mandatory/provisional release.
    - 1.2.3.5 Inmates denied mandatory/provisional release.
  - 1.2.4 Health Services shall, in accordance with Department Order #1101, Inmate Access to Health Care, submit a Staff Time Report - Charging for Health Care.
  - 1.2.5 The Inspector General, or designee shall submit the following reports as requested:
    - 1.2.5.1 Escapes and escape attempts, by unit.
    - 1.2.5.2 Major disturbances, by unit.
    - 1.2.5.3 Use of Force Reports, by unit.
  - 1.2.6 The Director's Office, Legal Services shall submit a report of the number of lawsuits against the Department, including current status.
- 1.3 Quarterly Performance Measure Tracking Reports - Quarterly Performance Measure Tracking reports completed on Form 105-4 are due in accordance with Planning, Budget and Research Technical Manual 105-T- OSPB.

- 1.4 Each Division shall submit a Performance Measure Tracking report to Planning, Budget and Research.
- 1.5 Planning Budget and Research shall aggregate the Division Performance Measure Tracking reports and distribute the results in accordance with Technical Manual 105-T-OSPB.
- 1.6 Monthly Reports - Monthly reports are due the 15th of each month, for the data from the preceding month.
  - 1.6.1 Planning, Budget and Research shall submit the following reports:
    - 1.6.1.1 Monthly Internal Financial Report.
    - 1.6.1.2 Joint Legislative Budget Committee (JLBC) Monthly Report.
  - 1.6.2 Offender Operations shall submit the following monthly reports:
    - 1.6.2.1 Inmates enrolled in programs/completing programs, by institution.
    - 1.6.2.2 Inmates in administrative detention, by institution.
    - 1.6.2.3 Inmate intake report categorized by male and female.
    - 1.6.2.4 Inmate departures including, releases (MR, TR, Parole) and compassionate leaves.
    - 1.6.2.5 Operational capacity, identifying both rated and unrated beds, by unit.
  - 1.6.3 Program Services shall submit the following monthly reports:
    - 1.6.3.1 Population, by unit.
    - 1.6.3.2 Population employed, by unit.
    - 1.6.3.3 Population, by ethnicity, by unit.
  - 1.6.4 Human Services shall submit the following reports:
    - 1.6.4.1 Weekly Correctional Officer Status/Hiring Report.
    - 1.6.4.2 Staff hired and terminated, by unit as requested.
    - 1.6.4.3 Limited and Double Fill Position Report as requested.
    - 1.6.4.4 Number of appointments by the use of the Central Promotional Register process, by unit as requested.
    - 1.6.4.5 Quarterly StafTrak Report - This report uses information obtained from the exit survey/interview responses and includes institution Correctional Officer vacancy and resignation rates, and data relating to the reasons employees leave the agency.
  - 1.6.5 Health Services shall submit a High-Cost Health and Health Intake Monthly Report.

- 1.6.6 Legal Services shall submit a report on the status of all significant, newsworthy or other high priority legal cases.

## **105.05 GOVERNOR'S MONTHLY REPORT**

- 1.1 Each Division Director or designee shall submit the following information for to the Governor's Monthly report to Planning, Budget and Research.
  - 1.1.1 Information considered to be of interest to the Governor shall be submitted by the 8<sup>th</sup> work day of each month.
  - 1.1.2 Key performance measurement information shall be submitted by the 15th day of each month in the form prescribed by the Planning, Budget and Research.
- 1.2 Planning, Budget and Research shall consolidate the information received from the Division Directors or designees and ensure the final report is submitted to the Director within six work days after receiving the information.

## **105.06 DISCOVERY OF A SIGNIFICANT INCIDENT - RESTRICTED**

## **105.07 DISTURBANCES AND HOSTAGE SITUATIONS - RESTRICTED**

## **105.08 OTHER SIGNIFICANT INCIDENTS - NOTIFICATION/TIME FRAMES - RESTRICTED**

## **105.09 MANAGEMENT NOTIFICATIONS/RETENTION OF REPORTS - RESTRICTED**

### **DEFINITIONS - RESTRICTED**

## **IMPLEMENTATION**

Each Division Director or designee shall develop and maintain Technical Manuals that:

- Identify the person(s) responsible for preparing the required division reports.
- Detail the contents of each report.
- Describe the format of each report. To the extent possible, division reports are to be submitted to the Director under one cover memorandum.
- Track and report statistical information and performance measurement for division use or reports not specified in this Department Order.

Offender Operations shall ensure that the Post Orders for the Central Office Communications Center addresses notification procedure for reporting significant incidents to agency management.

Deputy Wardens shall ensure that an Adobe Writer program is installed on each computer for emailing reports regarding significant incidents as attachments to Central Office Communications Center.

## **DEFINITIONS**

**BUSINESS DAY** - Monday through Friday, except legal holidays.

**NUMBERING SYSTEM** - A system used to track the reports outlined in this Department Order. Report numbers shall consist of the two digit numerical designation for the year, the AIMS unit designation code, a four digit report number and the initials indicating the type of report, e.g., the designation for the first Incident Command System (ICS) Report for ASPC-E SMU for 2001 would be 01-A08-0001- ICS. The only reports that shall be subject to this numbering system are:

- Use of Force/Incident Command Report.
- Significant Incident Reports (SIR).
- Information Reports (IR)

**REPORT LOG** - A continuous record of the reports outlined in section 105.02 of this Department Order, maintained by designated staff in each unit, which shall include:

- The report number.
- Inmate name and number, if applicable.
- The date and time of the report.
- The type of report.
- The name, and badge number, if applicable of the staff member initiating the report.
- A brief description of the subject.
- A cross-reference of other report numbers, if applicable.

{Original Signature on File}

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**Charles L. Ryan**  
**Director**

**ATTACHMENTS**

- Attachment A – Phone Tree – Significant Incident Notifications - Restricted
- Attachment B – Incidents Requiring Filing a Significant Incident Report – Restricted
- Attachment C - Diagram for Identifying Type of Disturbance “Major or Minor” - Restricted

**FORMS LIST**

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