

CHAPTER: 100
Agency Administration/Management

DEPARTMENT ORDER:
105 – Information Reporting

OFFICE OF PRIMARY
RESPONSIBILITY:
OPS

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Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "David Shinn", is written over a horizontal line.

David Shinn, Director

TABLE OF CONTENTS

PURPOSE	1
RESPONSIBILITY	1
PROCEDURES	1
1.0 GENERAL OPERATIONAL REPORT PROVISIONS	1
2.0 ROUTINE ACTIVITY, INFORMATION REPORTS AND/OR SPECIALTY REPORTS	1
3.0 REQUIRED DIVISION REPORTS TO THE DIRECTOR	2
4.0 OPIOID/OPIATE SUSPECTED OVERDOSE REPORTING REQUIREMENTS	4
5.0 DISCOVERY AND REPORTING OF A SIGNIFICANT INCIDENT – RESTRICTED	5
6.0 COMMUNICATIONS CENTER NOTIFICATION OF SIGNIFICANT INCIDENTS – RESTRICTED	5
7.0 ARCHIVE, RETENTION, AND DELETION OF SIGNIFICANT INCIDENT VIDEO – RESTRICTED	5
IMPLEMENTATION	5
DEFINITIONS/GLOSSARY	5
ATTACHMENTS – RESTRICTED	5
FORMS LIST	6

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, 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; and 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.

RESPONSIBILITY

The Director has delegated to the Deputy Director the authority to update Attachment A, Notification Matrix.

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 Use a Continuation Sheet, Form 105-5, for supplemental information or additional pages of any report that does not have its own continuation form.
- 1.1.3 Provide all reports with numbers according to the numbering system and complete a Report Log, Form 105-1.

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 by Department written instructions or whenever directed 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 A.
- 2.2.2 Staff members 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 REQUIRED DIVISION REPORTS TO THE DIRECTOR – Assistant 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. Additional reports may be required at the sole discretion of the Director.

- 3.1 Quarterly Reports – Quarterly Reports shall be due on the 15th day of January, April, July and October each year.
 - 3.1.1 Each Complex shall submit a report, in writing, to the Assistant Director for Prison Operations. The report shall include the following:
 - 3.1.1.1 Major developments in each department or administrative unit;
 - 3.1.1.2 Major incidents;
 - 3.1.1.3 Population data;
 - 3.1.1.4 Assessment of staff and inmate morale;
 - 3.1.1.5 Major problems and plans for solving them.
 - 3.1.1.6 An overall evaluation of the institution and its performance. The data collected shall include, but not be limited to:

- 3.1.1.6.1 Escape rate
 - 3.1.1.6.2 Frequency and number of assaults of staff
 - 3.1.1.6.3 Group disturbances by inmates
 - 3.1.1.6.4 Assaults and homicides by inmates
 - 3.1.1.6.5 Weapons and illegal drugs found
 - 3.1.1.6.6 Major and minor disciplinary actions
 - 3.1.1.6.7 Staff grievances
 - 3.1.1.6.8 Inmate grievances, general and medical
- 3.1.2 The Assistant Director for Prison Operations or designee, by using the information provided by the institutions, shall submit the following reports, which provide male and female data separately:
- 3.1.2.1 Inmate cases heard by the Arizona Board of Executive Clemency
 - 3.1.2.2 Inmates granted Community Supervision
 - 3.1.2.3 Inmates eligible for granted and denied Mandatory/Provisional Release
- 3.1.3 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.
- 3.1.4 The Chief Human Resources Officer or designee shall submit data relating to the reasons employees voluntarily leave the Department, as reported via Exit Surveys and/or Exit Interviews.
- 3.1.5 Arizona Correctional Industries shall submit reports as required by Department Order #115, Authority/Responsibility Delegated to ACI.
- 3.2 Monthly Reports – Monthly Reports shall be due the 15th of each month, for the data from the preceding month.
- 3.2.1 The Assistant Director for Prison Operations or designee shall submit the following monthly reports:
- 3.2.1.1 Inmates in Administrative Detention, by institution
 - 3.2.1.2 Inmate intake report categorized by male and female
 - 3.2.1.3 Inmate departures, including all releases
 - 3.2.1.4 Operational capacity, identifying both rated and unrated beds, by unit
 - 3.2.1.5 Use of Force/Incident Command Report and/or Use of Force/Incident Command Report Continuation Sheet forms
- 3.2.2 The Assistant Director for Financial Services or designee shall submit the Monthly Internal Financial Report and the Joint Legislative Budget Committee Monthly Report.

- 3.2.3 The Chief Human Resources Officer or designee shall submit the following monthly reports, by unit:
 - 3.2.3.1 Department employees hired and terminated, as requested
 - 3.2.3.2 Number of appointments by the use of the Central Promotional Register process, as requested
 - 3.2.3.3 Correctional Officer Vacancy Report
- 3.2.4 The Inspector General or designee shall submit the following reports, as required and/or requested:
 - 3.2.4.1 Escapes and escape attempts
 - 3.2.4.2 Major disturbances
 - 3.2.4.3 Annual Inspection Report for each institution/private prison
 - 3.2.4.3.1 The report shall include a completed ACA Significant Incident Summary and Outcome Measures Worksheet.
 - 3.2.4.3.2 The report is due on the anniversary of the institution's accreditation and a copy of the report along with the documentation of the submission shall be forwarded to the ACA.
- 3.2.5 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.

4.0 OPIOID/OPIATE SUSPECTED OVERDOSE REPORTING REQUIREMENTS

- 4.1 Wardens, Deputy Wardens of Reentry Centers, and Bureau Administrators shall ensure an internal reporting process is established for reporting all instances of a suspected Opioid/Opiate overdose or death among inmates and offenders and:
 - 4.1.1 Require Shift Commanders/Supervisors to complete the Prehospital Opioid/Opiate Overdose Report, Form 105-4, for each instance of a suspected overdose or death capturing:
 - 4.1.1.1 Incident information.
 - 4.1.1.2 Inmate/offender information.
 - 4.1.1.3 Naloxone/Narcan administration, with the total number of doses administered.
 - 4.1.1.3.1 Prior to arrival of medical aid; and
 - 4.1.1.3.2 After arrival of medical aid
 - 4.1.1.4 Reason(s) for the suspected overdose.
 - 4.1.1.5 Inmate/offender outcome or disposition.

- 4.1.2 Require the completion of Prehospital Opioid/Opiate Overdose Report form when staff members receive information pertaining to a positive test result after returning from the hospital.
- 4.1.3 Submit a weekly report to the Assistant Director of Prison Operations or designee on the first business day of each week with all Significant Incident Reports (SIR), Form 105-3 and Prehospital Opioid/Opiate Overdose Report form from the previous week by 1000 hours.
 - 4.1.3.1 If no suspected overdoses have occurred, the summary report shall indicate “Zero incidents for the week.”
- 4.2 The Assistant Director of Prison Operations, or designee, shall electronically transmit the weekly data to the Arizona Department of Health Services on the first business day of each week.

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 Assistant Director of Prison Operations shall ensure the Post Orders for the Communications Center address notification procedures for reporting significant incidents to Department management.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Business Day
- Criminal
- Field Briefing Report
- Morning Report
- Network Attached Storage Unit (NASU)
- Non-Criminal
- Numbering System
- Significant Incident Report (SIR)
- Significant Incident Report (SIR) Number
- Video Segment

ATTACHMENTS – RESTRICTED

Attachment A – Notification Matrix

Attachment B – Significant Incident Video Retention Log

FORMS LIST

- 105-1, Report Log
- 105-2, Information Report
- 105-3, Significant Incident Report (SIR)
- 105-4, Pre-hospital Opioid/Opiate Overdose Report
- 105-5, Continuation Sheet
- 105-6, Correctional Service Log