

CHAPTER: 700

Operational Security

DEPARTMENT ORDER:

703 – Security/Facility Inspections

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 "Ryan Thornell", is written over a horizontal line.

Ryan Thornell, Director

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PURPOSE

This Department Order ensures that security responsibilities at Department institutions and private prisons include regular inspection of security devices to ensure that they remain in good working condition and that supervisory and other management personnel conduct regular inspections and tours. 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.

PROCEDURES

1.0 SECURITY DEVICE INSPECTION

1.1 Wardens and Deputy Wardens shall ensure:

1.1.1 Staff members immediately report security device deficiencies to the Shift Commander and submit an Information Report, Form 105-2. This shall be documented in their respective Correctional Service Log, Form 105-6, noting the Information Report number and Work Order number. The Shift Commander shall:

1.1.1.1 Be responsible for immediately reporting any security device deficiency which may compromise the integrity and security of the institution/facility, and any action taken, to the Chief of Security during normal business hours or the Deputy Warden/Warden during non-business hours.

1.1.1.2 Ensure any security device deficiency that does not immediately affect the security of the institution/facility is submitted to the Chief of Security by submitting an Information Report.

1.1.1.2.1 Example: Staff member discovers a light out in a hallway and there is sufficient light due to five more light fixtures working in the hallway.

1.1.2 Staff members inspect all security devices in their areas of responsibility during their shift. Perimeter inspections shall be conducted and the results noted in the applicable Correctional Service Logs, including any deficiencies, and the action taken to resolve them. Any deficiencies of a serious nature shall be reported to the shift supervisor immediately.

1.1.2.1 Institutions/facilities operating on 8-hour shifts shall conduct perimeter inspections within two hours of the beginning of the shift.

1.1.2.2 Institutions operating on 12-hour shifts shall conduct perimeter inspections twice per shift. The inspection shall occur within two hours of the beginning of the shift and within four hours of the end of the shift.

1.1.2.3 Units without perimeter electronic detection devices shall be inspected every two hours.

1.1.3 The Chief of Security conducts a thorough weekly review of security devices and submits a Weekly Security Device Inspection Report, Form 703-4, of any deficiencies and action taken to the Deputy Warden and Warden. This report shall include explanations for any pending security device deficiencies.

- 1.2 Institutions/units shall maintain a current file of documentation relating to inspections, maintenance requests, follow-up action, and preventive maintenance programs at each institution or unit.
 - 1.2.1 The Warden, Deputy Warden, Associate Deputy Warden, Major, Chief of Security, Correctional Officer (CO) IV, and Lieutenants shall have access to the Total Maintenance Enterprise (TME) computer program to submit and track maintenance work orders.
- 1.3 Staff members assigned to areas in which security devices are utilized shall conduct a thorough inspection of each security device during their shift and enter "SECURITY DEVICE INSPECTION" in the Correctional Service Log.
 - 1.3.1 Deficiencies needing immediate attention shall be immediately reported to the Shift Commander. All deficiencies and the action taken to resolve them shall be documented in the Correctional Service Log and cross-referenced with an Information Report form and Maintenance/Service Work Order Request, Form 403-2, or TME work order if applicable.
 - 1.3.1.1 Maintenance/Service Work Orders shall be submitted on the TME prior to the end of the Shift Commander's shift.
 - 1.3.1.2 Physical Plant personnel shall be contacted to effect immediate repairs if needed and document in the TME.
 - 1.3.1.3 Information Report numbers shall be written in the Correctional Service Log and on the corresponding Maintenance/Service Work Order Request form or TME work order.
- 1.4 The unit Chief of Security/designee shall ensure:
 - 1.4.1 Staff assigned to areas using security devices conduct and document inspections of each device during each shift in their respective Correctional Service Log.
 - 1.4.2 A comprehensive weekly review of security devices is conducted, to include areas of egress/ingress to unit structure and perimeter areas. This information shall be entered into the Department's 703 Inspection System, GREEN, AMBER, RED (GAR), noting any deficiencies and action taken.
 - 1.4.3 Monthly inspections/inventories of emergency key sets and locking devices are conducted and documented in accordance with Department Order #702, Key Control.

2.0 INSPECTIONS AND TOURS OF INSTITUTIONS, UNITS AND PRIVATE PRISONS – Wardens, Deputy Wardens, Associate Deputy Wardens, Majors, Captains, CO IVs, and supervisory staff shall conduct inspections of their areas of responsibility.

- 2.1 Formal Inspections – Wardens, Deputy Wardens, Associate Deputy Wardens, Majors, Captains, and CO IVs shall:
 - 2.1.1 Conduct frequent formal inspections of the institution/unit.

- 2.1.1.1 Inspections shall not be restricted to certain hours or routines; they shall be unscheduled and unannounced. Staff members are prohibited from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility.
 - 2.1.1.2 The inspector shall conduct casual, unstructured interviews of staff and inmates.
 - 2.1.2 Complete GAR inspections for required tours on a monthly basis.
 - 2.1.2.1 GAR Reports shall reflect the author’s observation during tours.
 - 2.1.2.2 Staff assigned to the Maricopa Reentry Center (MRC) and the Pima Reentry Center (PRC) is exempted from utilizing the GAR system. Tour observations shall be reported utilizing the GAR upon completion of each tour.
- 2.2 Required Institution Tours – In addition to formal inspections, Deputy Wardens, Associate Deputy Wardens, Majors, Captains, and CO IVs shall spend a minimum of 10 hours per week to equal an average of two hours per day touring their unit. Institution Tours shall be conducted at varying hours of the day and night and shall not be restricted to certain hours or routines.
 - 2.2.1 Tours shall include the following locations:
 - 2.2.1.1 Shift Briefings
 - 2.2.1.2 Health Units on-site; In-Patient Care Units and Special Needs Units, wherein the respective Complex may have inmates located
 - 2.2.1.3 Housing Units/Cell Blocks
 - 2.2.1.4 Inmate work areas and Inmate Education and Programs areas
 - 2.2.1.5 Kitchens and dining rooms
 - 2.2.1.6 Maintenance areas and physical plant
 - 2.2.1.7 All perimeter fencing and complete an independent security device inspection
 - 2.2.1.8 Visiting areas and rooms
 - 2.2.1.9 Warehouses and storage areas
 - 2.2.1.10 Yard and recreation areas
 - 2.2.1.11 Other – Observations of other areas toured/inspected
 - 2.2.2 Time during the tour shall be devoted to speaking with staff at their posts and inmates on an informal basis.
 - 2.2.3 At a minimum, tours shall be conducted on each operational shift of the unit no less than twice each month. These tours shall ensure each shift of employees is availed access to management personnel, and shall be documented utilizing the GAR Tour reporting protocol.

- 2.2.3.1 Staff assigned to complexes/facilities or units operating under:
 - 2.2.3.1.1 8-hour shifts shall document no less than 6 tours per individual each month (2 Days, 2 Swings, 2 Graveyards).
 - 2.2.3.1.2 12-hour shifts shall document no less than 8 tours per individual each month (2 AM Front, 2 AM Back, 2 PM Front, 2 PM Back).
 - 2.2.3.1.3 Schedules other than an 8-hour or 12-hour shifts shall follow the Deputy Assistant Director for Prison Operation’s direction.
- 2.2.4 Attention shall be given to visitation issues, including but not limited to, staff demeanor and the consistent enforcement of visitation rules.
- 2.2.5 Attention shall be given to environmental issues such as security, safety, staff and inmate policy compliance, staff/inmate communication, and the overall attitude of staff and inmates.
- 2.2.6 All areas accessible to inmates and staff shall be inspected for sanitation and repair. This includes, but is not limited to; showers, recreation areas, inmate living areas, classrooms, etc. All areas should be free of trash, dirt, pests and any other conditions that would affect the health of those in the area.
 - 2.2.6.1 Discrepancies shall be documented on the 703 Report, Form 703-3 and the GAR. Appropriate action shall be taken and documented.
 - 2.2.6.2 Areas identified previously as in need of any service, will be assessed for progress or completion.
- 2.2.7 The GAR shall be completed by the Warden, Deputy Warden of Operations, unit Deputy Warden, Associate Deputy Warden, Major, Captain, and CO IV documenting their observations, concerns, etc. in the following areas for each of their tours in accordance with section 2.2.3.1:
 - 2.2.7.1 Security operations
 - 2.2.7.2 Inmate Education and Programming
 - 2.2.7.3 Security device inspections and/or practices
 - 2.2.7.4 Compliance with Department Code of Conduct
 - 2.2.7.5 Staff/inmate communication and interactions
 - 2.2.7.6 Supervisor/subordinate staff communications
 - 2.2.7.7 Supervisor/subordinate professional relationships
 - 2.2.7.8 Other areas as needed
- 2.2.8 GAR shall be entered within 24 hours of the inspection/tour.
- 2.2.9 GAR entries shall include the following:

- 2.2.9.1 Date of tour
- 2.2.9.2 Beginning and ending times of tour
- 2.2.9.3 List all areas toured (i.e., building/dorm numbers, pods)
- 2.2.10 If there are any discrepancies, other than minor issues, the GAR shall be either marked an AMBER or RED, regardless if the issue was fixed on-site/during the tour.
- 2.3 Warden Tours – Wardens shall tour each shift at least twice per month and document these tours utilizing the GAR Tour reporting protocol.
- 2.4 Duty Officer Tours – Duty Officers shall be the rank of a CO IV, Captain, or higher. Duty Officers can be scheduled as an On-Site Duty Officer, Weekend Duty Officer or an Administrative Duty Officer and work a schedule as outlined below. Duty Officers shall provide a Duty Report, Form 703-5, at the end of their shifts.
 - 2.4.1 Assigned Work Schedule
 - 2.4.1.1 On-Site Duty Officer/Weekend Duty Officer: 0800 - 1600 hours
 - 2.4.1.2 Administrative Duty Officer: 1600 - 0000 hours (ASPC-Eyman, ASPC-Lewis, ASPC-Perryville, ASPC-Tucson and ASPC-Yuma)
 - 2.4.2 The On-Site Duty Officer/Weekend Duty Officer/Administrative Duty Officer shall:
 - 2.4.2.1 Speak with employees on post, as they tour all units as mandated.
 - 2.4.2.2 Submit a written report, by exception, to the Warden if any of the following are observed during his/her tours.
 - 2.4.2.2.1 Sexual harassment
 - 2.4.2.2.2 Unprofessional conduct
 - 2.4.2.2.3 Over-familiarity by staff to staff and/or staff to inmates
- 2.5 Employment Equal Opportunity (EEO) Liaison Tours/Shift Meeting Attendance – Each unit EEO Liaison shall:
 - 2.5.1 Attend each shift's briefings and conduct tours on each operational shift of the unit on a monthly basis, to ascertain if any problems exist among employees, which have not been elevated to or addressed by management.
 - 2.5.2 Submit to the Warden a monthly report that summarizes the findings of the tours and meetings with employees. The report shall address observations and concerns about sexual harassment, unprofessional conduct of staff (to include hazing, discrimination and favoritism), staff/inmate communication and relationships, and supervisor/subordinate officer communication and professional relationships. A copy of the report shall be forwarded to the Employee Relations Administrator.
- 2.6 Private Prison Inspections – Private prisons shall be inspected pursuant to Department Order #106, Contract Beds. Department Monitors assigned to private prisons are required to complete inspections in accordance with this Department Order.

- 2.6.1 Supervisory staff of the Department, with an approved purpose, may visit a contract facility or any inmate work site to check on the inmates at any time, including unannounced.
- 2.7 Daily Inspections – Line supervisory staff shall conduct daily post inspections of their areas of responsibility in order to assess inmate morale, the quality of their care and supervision, and to provide them the opportunity for informal access to supervisory staff. This responsibility cannot be delegated to a Corporal.
 - 2.7.1 Inspections shall be documented in the Correctional Service Log, Form 105-6 and the Daily Supervisor Sanitation and Inspection, Form 703-1.
 - 2.7.1.1 All shower and recreation areas utilized by inmates shall be sanitized and cleaned daily. Supervisors shall document inspection of these areas, complete the required documentation, and any additional documentation needed to remedy findings, such as work orders and entries into TME.
 - 2.7.1.2 All inmate housing areas shall be inspected daily for needed repairs, painting and trash removal. Supervisors shall document inspection of these areas, complete the required documentation, and any additional documentation needed to remedy findings such as work orders and entries into TME.
 - 2.7.1.3 The inspecting supervisor shall ensure that cleaning supplies (chemicals, mop, broom, rag, etc.) are available to inmates, and documented on the Inmate Activity and Out-of-Cell Tracking, Form 812-1. This documentation must include the date and time the supplies were given to the inmate and the date and time the supplies were returned.
- 2.8 GAR Inspections – Wardens and Contract Beds Monitors shall ensure each prison unit/entity under their scope of responsibility has a formal inspection conducted a minimum of once per month utilizing the GAR reporting protocol.
 - 2.8.1 Deputy Wardens shall complete and submit a GAR Inspection Report each month for their respective areas of responsibility. GAR Inspection Reports shall be submitted to the Warden’s office no later than the close of business on the last day of each calendar month.
 - 2.8.1.1 Each GAR Inspection Report shall reflect a minimum of one inspection during the reporting period for all applicable competencies, to include all active components of each competency.
 - 2.8.1.2 Additional inspections may be conducted at any prison unit, at the discretion of either the Warden or Deputy Warden.
 - 2.8.2 GAR inspections shall be recorded using the Department’s 703 Inspection System, to include specific notations indicating one of three findings.
 - 2.8.2.1 GREEN – In compliance, no issues noted
 - 2.8.2.2 AMBER – Minor issues observed, corrective action is required

- 2.8.2.3 RED – Significant threat to life and safety exist, immediate corrective action is necessary (this includes all security devices)
- 2.8.2.4 Not Applicable (N/A) – Component does not pertain to the unit or area being inspected.
- 2.8.3 Unit Deputy Wardens shall be responsible for creating and completing all corrective action plans resulting from AMBER or RED inspection findings.
 - 2.8.3.1 Corrective action taken for AMBER or RED findings shall be implemented and tracked for sustainability.
 - 2.8.3.2 All AMBER and RED findings and related corrective action plans shall be evaluated during the affected unit’s annual inspection to verify compliance.
- 2.8.4 During the course of GAR inspections, AMBER and RED findings shall result in executive staff notifications. Executive level notifications generated by GAR findings shall not be used as a substitute for a Significant Incident Report, Form 105-3, as defined in Department Order #105, Information Reporting.
 - 2.8.4.1 AMBER – Warden and unit Deputy Warden
 - 2.8.4.2 RED Level 1 – Deputy Assistant Director for Prison Operations, Warden and unit Deputy Warden
 - 2.8.4.3 RED Level 2 – Assistant Director and all level 1 members
 - 2.8.4.4 RED Level 3 – Director and all level 2 members
- 2.8.5 Wardens shall review and approve all requests for the creation of user accounts in the GAR inspection program. The Executive Staff Assistant assigned to the Warden’s office shall be responsible for the generation and maintenance of all user accounts at the respective complex.

3.0 CELL/LIVING ENVIRONMENT INSPECTIONS

- 3.1 Cell inspections shall be completed during inmate movement in/out of the cell to ensure that all areas are in good working condition, the door functions properly, cell integrity is intact, maintenance needs are addressed, and the cell is clean.
 - 3.1.1 All cells and assigned housing areas shall be inspected prior to assigning an inmate to or out of a living area utilizing the Cell Inspection, Form 703-2.
 - 3.1.1.1 Any additional documentation that needs to be completed (i.e., Information Report, Maintenance/Service Work Order and Inmate Disciplinary Report) shall be submitted with the completed form.
 - 3.1.1.2 Maintenance/Service Works Orders shall be completed in accordance with Department Order #403, Maintenance.
 - 3.1.2 If the inmates are not present during the inspection, this shall be noted in the Comments section of the Cell Inspection form.

- 3.2 Maximum Custody and Detention Units shall be inspected every seven days if the inmate(s) occupying the cell have elected not to attend recreation, programs, education or take a shower.
 - 3.2.1 The inmate(s) shall be removed from the cell and a search shall be completed utilizing the Cell Inspection form, paying particular attention to wall and window integrity and the living environment.
- 3.3 Watch cells shall be inspected at the beginning of every shift and the results shall be documented in the Correctional Service Log assigned to the watch area.
 - 3.3.1 This shall include a physical inspection and integrity of the cell furniture, fixtures and specialized security features including compliance with the Mental Health Watch Order, Form 807-1, (i.e., blanket/smock) for any tampering or unauthorized items.
 - 3.3.2 Inspections of Close Custody cells shall be conducted weekly.
- 3.4 All cell inspections shall be recorded in the Correctional Service Log to include the locations inspected.

IMPLEMENTATION

The Assistant Director for Prison Operations shall ensure Wardens address the contents of this Department Order in authorized Post Orders, as appropriate.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- GREEN, AMBER, RED (GAR) Inspections
- Operational Shifts
- Security Device

FORMS LIST

703-1, Daily Supervisor Sanitation and Inspection
703-2, Cell Inspection
703-3, 703 Report
703-4, Weekly Security Device Inspection Report
703-5, Duty Report