

 <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: 101</p> <p><b><i>SYSTEM OF WRITTEN INSTRUCTIONS</i></b></p>	<p>SUPERSEDES:</p> <p>DO 101 (06/21/02)</p>
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## PURPOSE

This Department Order establishes a coordinated system of written instructions through which the Department communicates its management philosophy, intent, and expectations to employees, inmates, and the public. Development and revision processes ensure input from appropriate employees. Maintenance and distribution methods provide employees, inmates, and the public with access to written instructions. Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the Department. Requests shall be made as early as possible to allow time to arrange the accommodation.

## RESPONSIBILITY

The Deputy Director, through the Inspector General and the Policy Unit Manager, is responsible for the administration of the system of written instructions. The administration of the system shall include developing and maintaining a consistent standardized style and format and using an accepted grammar style.

The Director's Office, the Deputy Director and Division Directors are responsible for serving as Offices of Primary Responsibility, or OPR's, for Department Orders and for identifying the need for Department Orders to guide critical functions within the Department or organizational unit. Offices of Primary Responsibility shall ensure written instructions address administrative and/or operational needs, while meeting the Department's requirement for a systems approach to written instructions.

- The Policy Unit shall assist Offices of Primary Responsibility, as needed, in determining the most appropriate placement and/or type of instruction for guidelines they would like to issue.

The Inspector General shall ensure the Audit Unit, at the completion of the annual audit cycle, or more often as appropriate, provide Offices of Primary Responsibility and the Policy Unit with a report identifying system-wide trends in policy related issues.

## PROCEDURES

### 101.01 DIRECTOR'S INSTRUCTIONS

- 1.1 Offices of Primary Responsibility (OPR) shall:
  - 1.1.1 Develop Director's Instructions, in consultation with the Deputy Director, Division Directors, other appropriate managers in the affected operational areas and the Contract Beds Operations Director in order to immediately address critical and/or urgent issues. (See Attachment A)
  - 1.1.2 Prepare Director's Instructions in the format provided in Attachment E and determine if the Director's Instruction requires an inmate notification. If notification is desired, the OPR shall prepare an Inmate Notification as outlined in section 101.03.
  - 1.1.3 Determine whether the Director's Instruction is to be general or restricted distribution, and include appropriate notification of the decision to the reviewing chain of command and to the Policy Unit.
  - 1.1.4 Send Director's Instructions to the Contract Beds Operations Director who shall:
    - 1.1.4.1 In consultation with the Division Director for Offender Operations, determine the applicability of the Director's Instruction to the operation of Contract Beds and prepare an applicability statement for use with the Director's Instruction.

- 1.1.4.2 Return the Director's Instruction along with the applicability statement to the OPR.
- 1.1.5 Finalize the Director's Instruction and forward it to the Director for review and signature.
- 1.1.6 Provide the Policy Unit with an electronic copy of the Director's Instruction when it is signed.
- 1.2 The Director's Office shall forward the original signed Director's Instruction to the Policy Unit.
- 1.3 The Policy Unit shall:
  - 1.3.1 Notify the OPR that the Director's Instruction is ready for final distribution and in consultation with the OPR, determine an effective date as outlined in section 101.06, 1.1.
  - 1.3.2 Assign a number to the Director's Instruction.
  - 1.3.3 Forward an electronic copy of the new/revised Director's Instructions to the Information Technologies Bureau Webmaster for posting on the "ADCNet" (restricted) and the Department internet website (general access), if applicable.
  - 1.3.4 Distribute a notification to the Deputy Director, Division Directors, Wardens, and selected management staff in accordance with established distribution schedule, advising of the new/revised Director's Instructions.
- 1.4 The Policy Unit, in consultation with the OPR(s), shall incorporate the Director's Instruction into a Department Order(s), within one year of issue date, if practicable.
  - 1.4.1 A new Department Order is authorized only if the subject matter covered in the Director's Instruction is a topic not currently addressed by an existing Department Order.
  - 1.4.2 Director's Instructions may be incorporated into a Technical Manual or other written instruction as determined by the OPR.
- 1.5 Circumstances may require a signed and published Director's Instruction be modified.
  - 1.5.1 The OPR in consultation with the Policy Unit may:
    - 1.5.1.1 Prepare a replacement Director's Instruction as outlined above. The new DI may use the existing number.
    - 1.5.1.2 Supersede the existing Director's Instruction using the process outlined above.
    - 1.5.1.3 Modify the Director's Instruction by preparing a memorandum for the Director's signature, which provides clarification, or issue replacement pages after obtaining the Director's signature on the appropriate approval documents.

- 1.5.2 When modification is required, the OPR shall ensure that the approval and publication process outlined in Attachment A is followed. The Policy Unit may offer technical assistance.
- 1.6 If employees other than the OPR wish to request a Director's Instruction be developed, revised, or rescinded they shall submit their written request through the chain-of-command to the appropriate Division Director for consideration and approval/disapproval. The Policy Unit shall not develop a Director's Instruction without authorization from the Director, Deputy Director or Division Directors.
- 1.7 Director's Instruction Rescissions - When it is determined that a Director's Instruction should be rescinded because it is no longer necessary due to procedural, organizational, or operational changes, the OPR shall submit a memorandum identifying the Director's Instruction and providing supporting justification for the rescission to the Policy Unit.
  - 1.7.1 The Policy Unit shall develop a rescission request and forward it to the Director for review and signature.
  - 1.7.2 If the rescission affects other organizational units, the Policy Unit shall provide the Deputy Director and/or the appropriate Division Director with an opportunity for comment prior to submission to the Director.

**101.02 DEPARTMENT ORDER DEVELOPMENT (See Attachment B)**

- 1.1 Initiation - The OPR shall begin the development process by submitting a written request to the Policy Unit Manager. The request shall describe the topic and any specific requirements for content. The OPR may provide a complete draft, an outline or more general guidance and may assign a Subject Matter Expert (SME) to work with the Policy Unit in developing the draft. The OPR shall also inform the Policy Unit of the priority of the request.
- 1.2 Development - Policy Unit staff shall:
  - 1.2.1 Formally notify the OPR or designated staff member the request has been received.
  - 1.2.2 Determine, in consultation with the OPR, whether or not a new Department Order should be prepared or if the new topic is best addressed by including it in an existing Department Order.
  - 1.2.3 Analyze, research, edit and format, as necessary, to develop a thorough, clear, concise, and accurate preliminary draft.
  - 1.2.4 Work with the OPR and/or an assigned SME to resolve any questions and concerns during development of the preliminary draft. Policy Unit staff shall also work with the OPR in development and/or revision of any forms necessary to comply with the Department Order.
  - 1.2.5 In cooperation with the OPR/SME determine if:
    - 1.2.5.1 The entire Department Order, or sections of the Department Order should be restricted from inmate and public access. Restricted ("R") designations shall be assigned by exception - only when the instruction contains specific information which would pose a direct threat to the secure, safe operation of the institution, placing employees, inmates, or the public at risk.

- 1.2.5.2 Technical Manuals and/or Institution Orders are necessary to implement the Department Order. An outline of content requirements for the Technical Manual(s) may be included in the IMPLEMENTATION section of the Department Order.
- 1.2.6 Upon completion, determine the level of review required and prepare the Department Order for review.
- 1.3 Review Process - The Policy Unit shall prepare appropriate review binders for the Department Order.
  - 1.3.1 The Policy Unit may work directly with an SME or other staff member identified by the OPR. A draft which has been approved by the SME or other assigned staff member shall be completed.
    - 1.3.1.1 When the Director is the OPR, the Policy Unit may work with the Deputy Director, the appropriate Division Director or with the appropriate staff member from the Director's staff during development of the Department Order.
    - 1.3.1.2 May provide a review draft to the General Counsel, if a legal issue is of concern, or the OPR requests a legal review.
    - 1.3.1.3 Based on circumstances, may provide a review copy to affected staff, identified by the OPR or other management staff members.
  - 1.3.2 The Policy Unit shall consolidate all comments received at this level into a preliminary draft and forward the binder to the Division Directors for review.
  - 1.3.3 The Division Directors shall review the preliminary draft, and may forward the draft to additional staff for review. When complete, the Division Director or designee shall approve, disapprove and/or provide comments/additional direction and return the draft to the Policy Unit.
    - 1.3.3.1 The Division Director for Offender Operations shall review the draft and determine if any or all of the Department Order is not applicable to the operation of contract beds facilities. When the Department Order or any portion of it are determined to be not-applicable to contract beds facilities, Policy Unit staff, in consultation with the Contract Beds Operations Director, shall identify applicability by:
      - 1.3.3.1.1 Developing an APPLICABILITY section or an attachment as shown by example in Attachment D of this Department Order.
      - 1.3.3.1.2 Including exceptions or special instructions as text.
  - 1.3.4 During the review process, the Policy Unit shall address issues raised prior to submitting the final draft to the Deputy Director. Approval by the OPR is required for any significant revisions made during review. Additionally, multiple draft reviews may be necessary to obtain final approval. Policy Unit staff shall:
    - 1.3.4.1 Review recommendations and comments with the OPR and/or SME to determine whether they should be included, modified or omitted.

- 1.3.4.2 Whenever possible, eliminate the need for waivers to Department Orders by addressing specific issues raised during review.
- 1.3.5 Reviewers shall:
  - 1.3.5.1 Review Department Order drafts for accuracy, logic and completeness.
  - 1.3.5.2 Identify specific potential obstacles to compliance in their area of operation, including areas for which they determine a waiver would be needed, and why.
  - 1.3.5.3 Provide written comments and recommendations, as appropriate to the Policy Unit.
- 1.4 Director's Review and Approval - The Policy Unit shall:
  - 1.4.1 Forward the final draft, supporting documentation, and comments through the Deputy Director to the Director's Office for review.
  - 1.4.2 As necessary, work/consult with the OPR to make any changes requested by the Director, finalize the draft, and resubmit the draft to the Director for approval and signature.
- 1.5 Department Order Revision/Correction
  - 1.5.1 OPR's shall initiate revisions in writing when they determine a Department Order requires revision. They shall provide the Policy Unit guidance concerning specific changes to be made, including additions, deletions, modifications and, if needed, specific wording requirements.
    - 1.5.1.1 Based on the extent of revisions to be made, the Policy Unit shall determine whether to issue replacement pages, or to revise the entire Department Order.
    - 1.5.1.2 Development, review and approval of Department Order revisions shall follow the process described for developing a new Department Order.
      - 1.5.1.2.1 Based upon the amount of editing used in development, further review may or may not be required.
      - 1.5.1.2.2 The Policy Unit Manager, in consultation with the OPR and SME's, shall determine appropriate level of review for replacement pages.
  - 1.5.2 Manifest errors, as defined in this Department Order, may be corrected without review, based on the nature of the correction needed. A record of such corrections shall be prepared and placed in the Work File for the document being corrected. If appropriate, manifest errors found in Director's Instructions may be corrected in consultation with the OPR, author or appropriate SME.

1.6 Department Order Rescissions - When it is determined that a Department Order should be rescinded because it is no longer necessary due to procedural, organizational, or operational changes, the OPR shall submit a memorandum identifying the Department Order and providing supporting justification for the rescission to the Policy Unit.

1.6.1 The Policy Unit shall develop a rescission request and forward it to the Director for review and signature.

1.6.2 If the rescission affects other organizational units, the Policy Unit shall provide the Deputy Director and/or the appropriate Division Director with an opportunity for comment prior to submission to the Director.

1.7 If employees other than the OPR wish to request a Department Order be developed, revised, or rescinded they shall submit their written request through the chain-of-command to the appropriate Division Director for consideration and approval/disapproval. The Policy Unit shall not develop a Department Order without authorization from the Director, Deputy Director or Division Directors.

**101.03 INMATE NOTIFICATIONS** - As part of the system of written instructions, the Director, Deputy Director or Division Directors may determine notice to the inmate population is required for an issue which impacts all or part of the population.

1.1 The originator of the Inmate Notification shall:

1.1.1 Develop the Inmate Notification in accordance with Attachment F. Effective dates or other issues shall be included in the text of the Notification as determined by the OPR. (See Attachment F and the flowchart at Attachment C.)

1.1.1.1 Absent exigent circumstances, inmate notifications of changes impacting the population shall include a 30-day notice period prior to implementation.

1.1.2 Forward the completed Inmate Notification to the Director for final approval and signature.

1.2 When signed by the Director, the Director's office shall forward the signed document to the Policy Unit for distribution and publication.

1.3 The Policy Unit shall assign a number to the notification and electronically distribute it to the Deputy Director, Division Directors, Wardens, and selected management staff in accordance with established distribution schedules.

1.4 The OPR may determine that an associated Director's Instruction is also required. If so, the Director's Instruction shall be prepared in accordance with section 101.01. Unless otherwise notified, the Policy Unit shall distribute related Director's Instructions and Inmate Notifications together.

1.5 Because of the limited life span, Inmate Notifications are not to be placed in Department Order Manuals. Inmate Notifications are to be posted on inmate bulletin boards and made available to inmates who do not have access to posted copies.

1.6 Based on circumstances, an OPR may determine that a particular issue affects members of the public and staff as well as inmates. The Inmate Notification may be used for notifying those individuals and modified as needed for that purpose.

- 101.04 DEPARTMENT ORDER WAIVERS** - The Deputy Director, Division Directors, Regional Operations Directors, Regional Education Directors, Regional Health Administrators, Wardens, Administrators and the Contract Beds Operations Director may apply for a waiver of a Department Order or other written instruction.
- 1.1 Limitations of Approval - Only the Director shall approve Department Order and Director's Instruction Waivers.
- 1.2 Conditions for Application for a Waiver - A waiver of a Department Order or other written instruction may be applied for when:
- 1.2.1 The Department Order or other written instruction does not currently apply to the areas's operation.
- 1.2.2 The requesting area has developed an alternate procedure or process which meets the requirements of the Department Order or other written instruction and is an acceptable practice within the guidance provided by the Department Order or other written instruction.
- 1.2.3 The requesting area is seeking temporary relief from a requirement for which it does not have sufficient resources to achieve compliance.
- 1.3 Time Limitations on Waivers - Waiver shall specify the length of time the waiver shall be in effect as one of the following examples:
- 1.3.1 Temporary Relief - The time frame is limited to the expected date when the relief of the condition is achieved.
- 1.3.2 Current Operational Waiver - The time limit is for one year from the date the waiver is approved.
- 1.3.3 As set by the Director. The requestor may ask for a specific date. The waiver should indicate the date set by the Director.
- 1.4 Waiver Request Requirements
- 1.4.1 The waiver request (Attachment H) shall be addressed to the Director from the requesting management official.
- 1.4.2 The waiver request shall be routed through the appropriate chain-of-command and organizational levels to the Director.
- 1.4.3 Each level shall signify acceptance or rejection of the request. Any level of management may stop the request process with justification and approval by the next higher management level.
- 1.4.4 The waiver request shall contain:
- 1.4.4.1 The Department Order number and title, section number(s) and a description of the requirement for which the waiver is being requested.
- 1.4.4.2 A statement of justification, including identification of resources required to remedy the situation.

- 1.4.4.3 A statement of operational conditions which will be in place if the waiver is granted.
- 1.4.4.4 A request for a length of time for the waiver.
- 1.4.4.5 A statement of corrective action, if necessary.
- 1.4.4.6 An identification of contract number, if applicable.

1.5 Process for Approval and Notification of an Accepted Waiver

- 1.5.1 The initiating area, institution, unit or bureau shall forward the waiver through the chain of command to the Director.
- 1.5.2 If a level of management authority wishes to reject the request, that level shall have the agreement of the next higher level.
- 1.5.3 The initiating area, institution, unit or bureau shall not operate according to the request until approval is received.
- 1.5.4 When the Director approves the waiver and any additional applicable conditions, the initiating area, institution, unit or bureau may implement the waiver.
- 1.5.5 The initiating area, institution, unit or bureau shall:
  - 1.5.5.1 Forward a signed copy of the approved waiver to the OPR.
  - 1.5.5.2 Forward a signed copy of the approved waiver to the Policy Unit.
  - 1.5.5.3 Provide a signed copy of the waiver to the Audit Team at the onset of the next scheduled audit.

**101.05 TECHNICAL MANUALS, INSTITUTION ORDERS, POST ORDERS - DEVELOPMENT, REVISION, RESCISSION AND WAIVERS**

- 1.1 Technical Manuals shall be developed only when authorized by the IMPLEMENTATION section of a Department Order.
- 1.2 Technical Manuals and revisions to Technical Manuals shall be submitted to the Policy Unit for review, to ensure that they meet established criteria. Technical Manuals shall:
  - 1.2.1 Not place responsibility or requirements on any other organizational unit, unless approved by the Deputy Director or affected Division Director and reviewed by the Policy Unit.
  - 1.2.2 Be specifically authorized by a Department Order.
  - 1.2.3 Be consistent with the authorizing Department Order.
  - 1.2.4 Not repeat or duplicate information from any Department Order.
  - 1.2.5 Be formatted, numbered, and titled in accordance with Attachment I.

- 1.2.6 Include a cover sheet that displays a masthead, table of contents, and a signature line for the approving authority.
- 1.3 Technical Manuals may be of varying lengths - from several pages to several hundred pages, depending on the topic to be addressed.
- 1.4 If an OPR has numerous brief Technical Manuals, they may be maintained together in a single binder.
- 1.5 Any requested deviations from these established criteria shall be reviewed and approved on a case by case basis by the Policy Unit.
- 1.6 Institution Orders shall be:
  - 1.6.1 Normally developed only when authorized by the IMPLEMENTATION section of a Department Order, and applicable to the institution.
    - 1.6.1.1 Under certain conditions, an Institution Order may be required by a Director's Instruction or other written instruction.
    - 1.6.1.2 When a written instruction other than a Department Order requires an Institution Order, the Policy Unit and the OPR, shall determine numbering and placement of the Institution Order within individual Department Order Manuals.
  - 1.6.2 Formatted, titled, and numbered in accordance with the standardized numbering system as outlined in Attachment J. Alpha-numeric designations may be added to the end of the Institution Order number for identification, access and retrieval.
  - 1.6.3 Consistent with higher level instructions, and not repeat or duplicate information provided in higher level instructions.
- 1.7 Institution Orders shall be forwarded to the Division Director for Offender Operations or designee through the appropriate Regional Operations Director for review and approval prior to implementation. The Division Director or designee shall ensure that the Institution Order is consistent with the requirements of this Department Order.
- 1.8 Post Orders shall:
  - 1.8.1 Be consistent with all higher level instructions.
  - 1.8.2 Not repeat or duplicate information in higher level instructions.
  - 1.8.3 Be written for all identified posts, applicable to the institution.
  - 1.8.4 Be consistently formatted, numbered and titled from institution to institution as prescribed by the Division Director for Offender Operations. Some subject content may vary to reflect local operation requirements.
  - 1.8.5 Be developed, numbered, titled and formatted in accordance with the IMPLEMENTATION section of this Department Order.
    - 1.8.5.1 All Post Orders shall contain the word "RESTRICTED" placed in the title page header.
  - 1.8.6 Be reviewed and approved by the appropriate Warden or Deputy Warden.

- 1.9 Technical Manuals, Institution Orders and Post Orders shall be developed, revised, and rescinded based on guidelines established in accordance with the IMPLEMENTATION section of this Department Order. When a contract bed facility is determined to be exempt from a written instruction, no Technical Manuals, Institution Orders or Post Orders addressing the subject are authorized.
- 1.10 Waivers to Technical Manuals, Institution Orders and Post Orders shall be addressed through a process similar to that established in section 101.04, of this Department Order.
  - 1.10.1 Waiver requests shall be submitted through the chain of command to the appropriate level of authority:
  - 1.10.2 The Deputy Director and Division Directors may waive requirements established by Technical Manuals for their respective area of responsibility.
    - 1.10.2.1 Wardens may waive requirements established by Institution Orders for their institution, with a copy forwarded to the appropriate Regional Operations Director for review.
    - 1.10.2.2 Deputy Wardens may waive requirements established in Post Orders for their unit, with a copy forwarded to the Warden for review.
  - 1.10.3 Copies of waivers to Technical Manuals shall be forwarded to the Policy Unit.

## 101.06 EFFECTIVE DATES

- 1.1 Director's Instructions – OPR's establish the effective date, otherwise it will be effective on the date signed or received by the Policy Unit. Typically, effective dates are established after the Director has signed the Director's Instruction, and then placed on the document during preparation for publication.
  - 1.1.1 If a specific date is selected, the Director's Instruction shall contain an effective date line as shown on Attachment E.
  - 1.1.2 Due to legislative changes, court mandates and executive development review some Director's Instructions may be issued/published well after their established effective date.
- 1.2 Inmate Notifications – OPR's shall establish both the issue date and an effective date of the notification. OPR's shall coordinate publication with the Policy Unit. Typically, dates are established after the Director has signed the notification and placed on the document during preparation for publication.
- 1.3 Department Orders and Revisions - The Policy Unit shall establish the effective date of Department Orders, revisions and rescissions.
- 1.4 Effective Dates - To the extent possible, effective dates shall allow 15 work days between receipt by the field and implementation.
  - 1.4.1 Based on recommendations from the OPR, Department Orders or revisions which have a significant impact on the inmate population may allow for a 30 day notice to be provided to the inmates prior to the effective date. If desired, the OPR may prepare an Inmate Notification to provide notice to the inmate population.

- 1.4.2 Other accelerated or delayed effective dates may be established at the request of the OPR or Director.
- 1.5 Technical Manuals – OPR’s shall establish the effective date of their Technical Manuals.
- 1.6 Institution Orders - Upon final approval by the Division Director for Offender Operations or designee, Wardens shall establish the effective date of Institution Orders.
- 1.7 Post Orders
  - 1.7.1 Deputy Wardens shall establish the effective date of Post Orders.
  - 1.7.2 The Assistant Director for Health Services shall establish the effective date for Health Services Post Orders.

**101.07 DEPARTMENT ORDER MANUAL ACCESS**

- 1.1 The Deputy Director, Division Directors, Regional Operations Directors, Regional Health Administrators, Wardens, Deputy Wardens, and Administrators shall ensure access to the electronic Department Order Manuals (including general and restricted distribution) 24 hours per day, seven days per week for employees who are on duty.
- 1.2 Employees who are off duty will have access to the electronic Department Order Manual in accordance with accessibility for the general public, via Department Internet website.
- 1.3 Restricted Department Orders shall not be available to inmates and the public.

**101.08 DEPARTMENT ORDER DISTRIBUTION**

- 1.1 The Policy Unit shall:
  - 1.1.1 Ensure an electronic copy of new/revised Department Orders and Director’s Instructions are forwarded to the Information Technologies Bureau Webmaster for posting on the “ADCNet” (restricted) and the Department internet website (general access).
  - 1.1.2 Update the Policy Summary Sheet, outlining the significant revisions or synopsis of the new/revised Department Orders and Director’s Instruction and forward to the Information Technologies Bureau Webmaster for posting on the “ADCNet”.
  - 1.1.3 Distribute a notification to the Deputy Director, Division Directors, Wardens, and selected management staff in accordance with established distribution schedule, advising of the new/revised Department Orders and Director’s Instructions.
  - 1.1.4 Electronically distribute Inmate Notifications as outlined in section 101.03 of this Department Order.
  - 1.1.5 Distribute the Publication Announcement, which identifies the new/revised Department Orders, Director’s Instructions, and Inmate Notifications to Policy Unit Liaisons on a monthly basis.
  - 1.1.6 Distribute Forms Listings to Forms Liaisons quarterly. See Department Order #114, Forms Management System.

- 1.2 Policy Unit Liaisons shall distribute the Publication Announcement to designated recipients.
- 1.3 The Warden or designee shall coordinate with the Institutional Web Master to ensure accurate update of automated Department Order Manual files.

**101.09 WRITTEN INSTRUCTION ACCESS AND DISTRIBUTION**

- 1.1 Technical Manual publication, access, and distribution shall be determined by the OPR. Actual distribution is the responsibility of the OPR. Restricted Technical Manuals/sections shall be printed on goldenrod paper. Distribution, at a minimum, shall include:
  - 1.1.1 The Wardens, when such distribution is requested by the Division Director for Offender Operations.
    - 1.1.1.1 The Division Director for Offender Operations shall determine which Technical Manuals are to be maintained in the Warden's Office.
    - 1.1.1.2 OPR's for authorized Technical Manuals shall, in coordination with Offender Operations, distribute Technical Manuals to the approved locations.
  - 1.1.2 The Policy Unit.
- 1.2 The Policy Unit shall maintain a copy of every Technical Manual. Restricted Technical Manuals and/or sections of restricted manuals shall be maintained in a secured area. OPR's shall provide updates, replacements or new manuals to the Policy Unit as part of their distribution process.
- 1.3 Institution Order access and distribution shall be the same as Department Order access and distribution.
  - 1.3.1 General access Institution Orders shall be printed/copied on blue paper.
  - 1.3.2 Restricted Institution Orders/sections shall be printed/copied on goldenrod paper.
- 1.4 Post Orders shall be accessible to staff in accordance with the applicable Institution Order. All Post Orders are restricted and shall be printed/copied on goldenrod paper.

**101.10 MAINTENANCE OF WRITTEN INSTRUCTIONS** - Department Order Manuals shall be maintained in one or more, three-ring binders which are clearly marked or in metal magazine/catalog style racks. Policy Unit Liaisons, or designees, shall maintain current, accurate manuals organized as follows:

- 1.1 Department Order/Institution Order Waivers
  - 1.1.1 Maintain a Waiver log, which identifies all of the Department Order Waivers and Institution Order Waivers, the affected Department Order and Institution Order Number/Title, the approval date and expiration date of the waiver.
  - 1.1.2 Department Order Waivers are filed immediately behind the Waiver log in numeric sequence by the Department Order number.
- 1.2 Institution Orders
  - 1.2.1 Institution Orders are placed directly behind the Department Order Waivers.

1.2.1.1 Waivers to Institution Orders are filed immediately behind the affected Institution Order.

- 1.3 Forms - An alpha/numerical forms listing shall be maintained in this section.
- 1.4 Technical Manuals - The Deputy Director and Division Directors shall ensure assigned staff maintain and update Technical Manuals. Technical Manuals shall be maintained in separate binders from the Waivers and Institution Orders.
- 1.5 Post Orders - Shall be maintained in accordance with the Institution Order on Written Instructions.

## 101.11 EMPLOYEE NOTIFICATION, FAMILIARIZATION AND COMPLIANCE

- 1.1 All employees and supervisors shall be held accountable and responsible for compliance with all levels of written instructions; Department Orders, Director's Instructions, Technical Manuals, Institution Orders, and Post Orders which have been signed and in effect, to include any revisions and shall be required to sign the System of Written Instruction Acknowledgment, Form 101-1, a one time requirement, which shall be maintained in the employee's Personnel file.
- 1.2 During orientation, new employees shall be required to read all levels of written instruction and sign the System of Written Instruction Acknowledgement, Form 101-1, which shall then be placed in the employee's Personnel file.
- 1.3 Employees are responsible for reading and understanding all levels of written instruction and shall address any questions they may have with their supervisor.
- 1.4 Deputy Director, Division Directors, Regional Operations Directors, Regional Health Administrators, Wardens, Deputy Wardens, Bureau Administrators, and Supervisors shall:
  - 1.4.1 Ensure written notices are permanently placed on official Department employee bulletin boards identifying the Policy Unit Liaisons and advising employees of the location of electronic Department Order Manuals and Technical Manuals maintained in their work area. Such notices may include information identifying access to the Department Order Manual on the Department's Internet website (general access) and the ADCNET (restricted).
  - 1.4.2 Ensure the following methods are used to advise employees of new, revised and/or rescinded Department Orders and Institution Orders:
    - 1.4.2.1 General Distribution written instructions shall be posted on an official Department bulletin board in the work area or made available for review in a designated area for a minimum of 15 work days from the effective date. Areas designated for review shall be identified on the appropriate bulletin board.
    - 1.4.2.2 Restricted and General Distribution written instructions and revisions shall be circulated among employees using clip boards, briefing books, or other methods which ensure access by employees only.
    - 1.4.2.3 Restricted and General Distribution written instructions and revisions shall be announced and discussed during employee meetings and/or briefings.

- 1.4.2.4 All levels of written instruction shall be electronically available to employees through the Department Internet website (general access) and ADCNet (restricted).
- 1.4.3 Ensure appropriate staff are advised of new, revised and/or rescinded Technical Manuals.
- 1.4.4 Ensure employees read and familiarize themselves with new/revised Department Orders, Director's Instructions, applicable Technical Manuals, Institution Orders and Post Orders. Supervisors shall ensure employees under their supervision have signed the System of Written Instruction Acknowledgement form, which is a one time requirement. Employees shall sign and date the form indicating they have read and understand the written instructions and return the form to their supervisor. The System of Written Instruction Acknowledgement form shall be maintained in the employee's Personnel file.
  - 1.4.4.1 Wardens, Facility Health Administrators or their designee, shall retain/maintain signed Post Orders for two years.
- 1.4.5 Ensure employee compliance and noncompliance with written instructions is reflected in employee performance evaluations.
- 1.5 All Employees are authorized to access the "ADCNET".

## **101.12 INMATE ACCESS**

- 1.1 The Warden or designee shall ensure an electronic "Read only" copy of the Department Order Manual (general access) is available for inmate use in the Reserve/Reference section of the unit library.
- 1.2 The Policy Unit Liaisons shall:
  - 1.2.1 Ensure a copy of the local Institution Orders, are available for inmate use in the Reserve/Reference section of the unit library.
  - 1.2.2 Coordinate appropriate Institution Order updates.
- 1.3 The Institutional Web Master shall:
  - 1.3.1 Update the electronic manual with new/revised Department Order and Directors Instruction as published.
  - 1.3.2 Audit the electronic manual at least once each month to ensure they are current and readily available.
- 1.4 Department Order Manuals maintained for inmate use shall include only general distribution Department Orders, Institution Orders or sections.
- 1.5 Inmate access to Technical Manuals shall be requested in writing through designated staff at the institution. If approved by the manual's OPR, the designated staff member shall review the Technical Manual with the inmate. Inmates shall not have access to "RESTRICTED" material in Technical Manuals.
- 1.6 Inmates shall not have access to Post Orders. Post Orders contain specific information which if released to inmates or the public, may pose a direct threat to the secure, safe operation of the institution, placing employees, inmates and/or the public at risk.

- 101.13 PUBLIC ACCESS** - Each institution shall maintain an electronic "Read only" copy of the Department Order Manual (General Distribution - Department Orders and Director's Instructions only) for public use.
- 1.1 The electronic Department Order Manual shall be readily available for any member of the public visiting the institution. The electronic manual may be located in the Warden's Administration area, in a visitation area or other appropriate location designated by the Warden. Wardens may authorize additional electronic manuals for units separated by long distances from the main institution.
- 1.2 The Institutional Web Master shall:
- 1.2.1 Update the electronic manual with new/revised Department Order and Directors Instruction as published.
- 1.2.2 Audit the electronic manual at least once each month to ensure they are current and readily available to the public.
- 1.3 Staff responding to questions and requests for information from the public shall remain courteous at all times, and shall refer the public to the proper authority for information which cannot be provided by that staff member.
- 1.4 Wardens and Deputy Wardens shall ensure their Institution Order on written instructions and applicable Post Orders include local guidelines for carrying out the requirements established in this section.
- 1.5 Members of the Public:
- 1.5.1 May purchase individual Department Orders in accordance with Department Order #201, Information Release.
- 1.5.2 Shall not be provided any electronic copies except where authorized by the Deputy Director or Division Director or by using the Department Internet website (general access).
- 1.5.3 May access the Department Order Manual on the Department's internet website. Where possible, staff shall refer members of the public to this site.
- 1.6 Other Criminal Justice agencies, State agencies, legal representatives and law firms requesting copies of restricted written instructions shall forward their request to the General Counsel for review and approval/disapproval.
- 1.7 Contractors, Offerors for Request for Proposal, or Invitation for Bid:
- 1.7.1 May obtain all or part of general and/or restricted distribution written instructions on paper or electronic media, by submitting a written request to the Deputy Director, Division Directors or designee, responsible for the contractual development.
- 1.7.2 A designated staff member from the requesting area shall be responsible for distribution of written instructions to contractors, offerors for request for proposal, or invitation for bid. Contractors and/or offerors shall be advised, in writing, of requirements in handling restricted materials.

- 1.8 The Department's Written Instructions shall be made available in alternate formats to accommodate a disability upon request, either in writing or verbally.

#### **101.14 SCHEDULED REVIEW AND RECORD KEEPING**

- 1.1 The Policy Unit shall:
  - 1.1.1 Establish and administer a management review process for review of Department Orders by OPR's.
  - 1.1.2 Make revisions in accordance with section 101.02.
- 1.2 The OPR's shall ensure that:
  - 1.2.1 Appropriate review of Department Orders within their area of responsibility is completed and shall provide a written response to the Policy Unit. The written response shall indicate necessary revisions or indicate no revision is needed.
  - 1.2.2 Each Technical Manual is reviewed at the same time as the authorizing Department Order.
- 1.3 The Contract Beds Operations Director shall review all changes to previously exempted Department Orders, Written Instructions, or sections of Department Orders/Written Instructions to determine whether or not exemptions are still applicable.
- 1.4 Wardens and Deputy Wardens shall ensure Institution Orders and Post Orders are scheduled for review annually, at a minimum, in accordance with their Institution Order on written instructions.
  - 1.4.1 Newly assigned Deputy Wardens shall review and sign all Post Orders for their unit within 120 days of new assignment and yearly thereafter.
  - 1.4.2 Newly appointed Warden's shall review and sign all Institution Orders for their complex within 120 days of new assignment and yearly thereafter.
- 1.5 Record Keeping - The Policy Unit shall maintain in paper files and/or on electronic media, the following:
  - 1.5.1 Work files for each Department Order developed, revised, and/or rescinded. The file may contain correspondence, review comments, drafts, back-up materials, scheduled OPR review results, and waivers.
  - 1.5.2 All superseded and rescinded Department Orders.
  - 1.5.3 All superseded and expired Director's Instructions.
  - 1.5.4 All Technical Manuals provided by the OPR.
  - 1.5.5 The list of authorized Institution Orders, as provided by Offender Operations, by number and title.
  - 1.5.6 The list of authorized Post Orders, as provided by Offender Operations, by number and title. If appropriate, the Assistant Director for Health Services shall provide a list of Health Services Post Orders.
  - 1.5.7 Any audit results or trend reports forwarded by the Audit Unit.

## IMPLEMENTATION

The Deputy Director, through the Inspector General and the Policy Unit Manager, shall update and maintain the Technical Manual that addresses administration of the Department's System of Written Instructions.

The Deputy Director and Division Directors may maintain:

- An Administrative Technical Manual to provide specific instructions unique to their area such as phone answering, filing guidelines, supply ordering schedules, etc. These instructions shall be consistent with the content and intent of the system of written instructions by not including topics already addressed through Department Orders, or which would be more appropriately addressed through a Department Order.
- A Technical Manual for the written system of instructions which addresses their internal process for developing and reviewing Director's Instructions and Department Order drafts, and a system of development, review, revision and distribution of their authorized Technical Manuals. (The Health Services manual may also include guidelines for the development of authorized medical Post Orders.)

The Assistant Director for Health Services may, in coordination with the Health Services Administrator and individual Facility Health Administrators, maintain Post Orders for each Facility Health Unit as deemed necessary.

The Division Director for Offender Operations shall:

- Maintain and publish a standardized list of authorized Post Orders and a uniform system for Post Order numbering, titling and formatting used for Post Order development.
- Ensure Wardens maintain an Institution Order that establishes, at a minimum:
  - A process for local review of draft Department Orders and Technical Manuals.
  - A formal system for development, review, revision, distribution, establishment of effective dates, rescission and waiver requests for Institution Orders and Post Orders, to include establishment of OPR's in major functional areas of each institution.
  - Any local processes necessary to meet written instructions public access requirements.
  - A review/revision schedule for Institution Orders and Post Orders.
  - A method of providing feedback to employees who provide input/review comments.

The Inspector General shall maintain a system for identifying Department-wide noncompliance patterns/trends based on Audit findings. The Audit Unit shall provide these findings to the OPR's and to the Policy Unit on an annual basis at the completion of an audit cycle, or more often as appropriate based on findings, as input to the revision process.

## DEFINITIONS

**ADCNET** - A Web-based tool providing internal Department Information to networked employees. A closed system which cannot be accessed by the public. The ADCNET can only be viewed from a microcomputer attached to the Department's Wide Area Network (WAN).

**APPROVING AUTHORITY** - The level of management authorized to issue written instructions in accordance with this Department Order:

- Director's Instruction, Inmate Notification and Department Order - the Director
- Technical Manual - Deputy Director/Division Directors
- Institution Orders - Wardens
- Post Orders - Deputy Wardens/Facility Health Administrators

**DIRECTOR'S INSTRUCTION** - A temporary written instruction issued in memo form and signed by the Director. Director's Instructions are issued to provide immediate instructions in critical/urgent situations.

**DEPARTMENT ORDER** - Issued under the Director's signature, these written instructions cross organizational lines to guide the uniform administration and operation of the Department. Based on a systems approach, each Department Order comprehensively addresses a specific topic. They are uniformly numbered and formatted in accordance with Attachment G.

**DISTRIBUTION/ACCESS CODES** - Codes for designating the distribution and accessibility of written instructions to employees, inmates and the public.

- "G" - General Access - The code indicating the written instruction shall be accessible to employees, inmates and members of the public.
- "R" - Restricted Access - The code indicating the written instruction or sections of the written instruction shall be accessible to employees only. These instructions contain specific information which if released to inmates or the public, may pose a direct threat to the secure, safe operation of the institution, placing employees, inmates and/or the public at risk. RESTRICTED written instructions are printed/copied on goldenrod paper. Electronic versions shall use red font for restricted sections.

**ELECTRONIC MEDIA** - For the purpose of this Department Order, any method of providing copies of written instructions in a format for use on a microcomputer. This includes, diskettes, CD-ROM, e-mail copies, Internet based manuals, and database versions of the manual.

**INMATE NOTIFICATION** - An optional notice, issued under the Director's signature to provide the inmate population a notice of a change, or a new rule, regulation, other type of written instruction, or to provide them with information as determined by the Director. An Inmate Notification may be associated with a specific Department Order or other type of written document; however, any management issue may be addressed regardless of the source.

**INSTITUTION ORDERS** - Written instructions issued under a Warden's signature to address issues/practices unique to the institution.

**INSTITUTIONAL WEB MASTER** - For the purpose of this Department Order, an employee designated by Information Technology and assigned within an institution to maintain the electronic "Read only" copy of the Department Order Manual (General Distribution) for the inmate unit libraries and public access.

**LEVELS OF INSTRUCTIONS** - The layers of written instructions, corresponding to different levels of the organization and authority. Director's Instructions and Department Orders are the highest level of written instruction developed within the Department, followed by Technical Manuals, Institution Orders and Post Orders.

**MANAGEMENT REVIEW** - The opportunity for the Director's Executive Staff and other selected members of management, such as Regional Operations Directors or Subject Matter Experts identified by the OPR to review and comment on drafts of new and/or revised Department Orders.

**MANIFEST ERROR** - A minor problem such as a typographical or punctuation error, a pagination fault, or grammar issue contained in a written instruction. Manifest errors may include corrections made when updating organizational structure, such as changing a title or proper name. A manifest error does not include any item which changes meaning or content and shall not be so extensive that significant corrections are needed. Typically, a manifest error would require no review and may be corrected without the Director's signature through a Publication Announcement distributed by the Policy Unit.

#### **OFFICE OF PRIMARY RESPONSIBILITY**

- Department Orders - The Deputy Director or Division Directors responsible for the development, revision and interpretation of Department Orders which guide administration and/or operations within their area of responsibility. OPR's develop Department Orders for the Director's signature. The OPR for each Department Order is identified on the masthead. (See Attachment G.)
  - The Deputy Director or more than one Division Director may serve as OPR for Department Orders that significantly impact more than one organizational unit.
  - The Director may be the OPR for Department Orders addressing processes involving the Deputy Director, more than one Division Director's area, and/or areas of critical importance to the Department.
- Other Levels - Each level of written instruction shall reflect an OPR for development and interpretation, and to serve as the subject matter expert for the specific instruction/topic.

**POLICY UNIT LIAISON** - The employee assigned by the Deputy Director, Division Director, Regional Operations Director, Regional Health Administrator, Warden or Administrator to receive and distribute written instructions for the institution, bureau, or organizational unit. These employees may personally maintain paper Department Order Manuals, (i.e., Department Order Waivers, Institution Order Waivers, Institution Orders, Forms alpha/numerical Listing, Technical Manuals and Post Orders) or formally delegate this responsibility. The Policy Unit Liaison is the formal contact between manual holders and the Policy Unit.

**POST ORDERS** - Written instructions issued under a Deputy Warden's signature for posts which are authorized by the Division Director for Offender Operations providing a detailed description of all responsibilities, duties and functions of a particular post/work assignment, to include specific procedures for carrying out activities. Health Services is authorized to issue Post Orders under the signature of the Assistant Director for Health Services.

**TECHNICAL MANUAL** - Detailed written instructions signed into effect and issued by the Deputy Director and Division Directors. They are limited to cases in which a written instruction affects only the Division Director or Deputy Director's area or applies to a limited number of employees in highly specialized areas within one or more work units, providing a level of detail unnecessary to the majority of employees (such as the Positive Attendance Reporting Technical Manual for timekeepers).

**WRITTEN INSTRUCTIONS** - The primary method for management to communicate its philosophy, intent and expectations to employees, inmates and the public. The only written instructions authorized for development are Director's Instructions, Department Orders, Inmate Notifications, Technical Manuals, Institution Orders and Post Orders.

{Original Signature on File}

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Charles L. Ryan  
Director

**ATTACHMENTS**

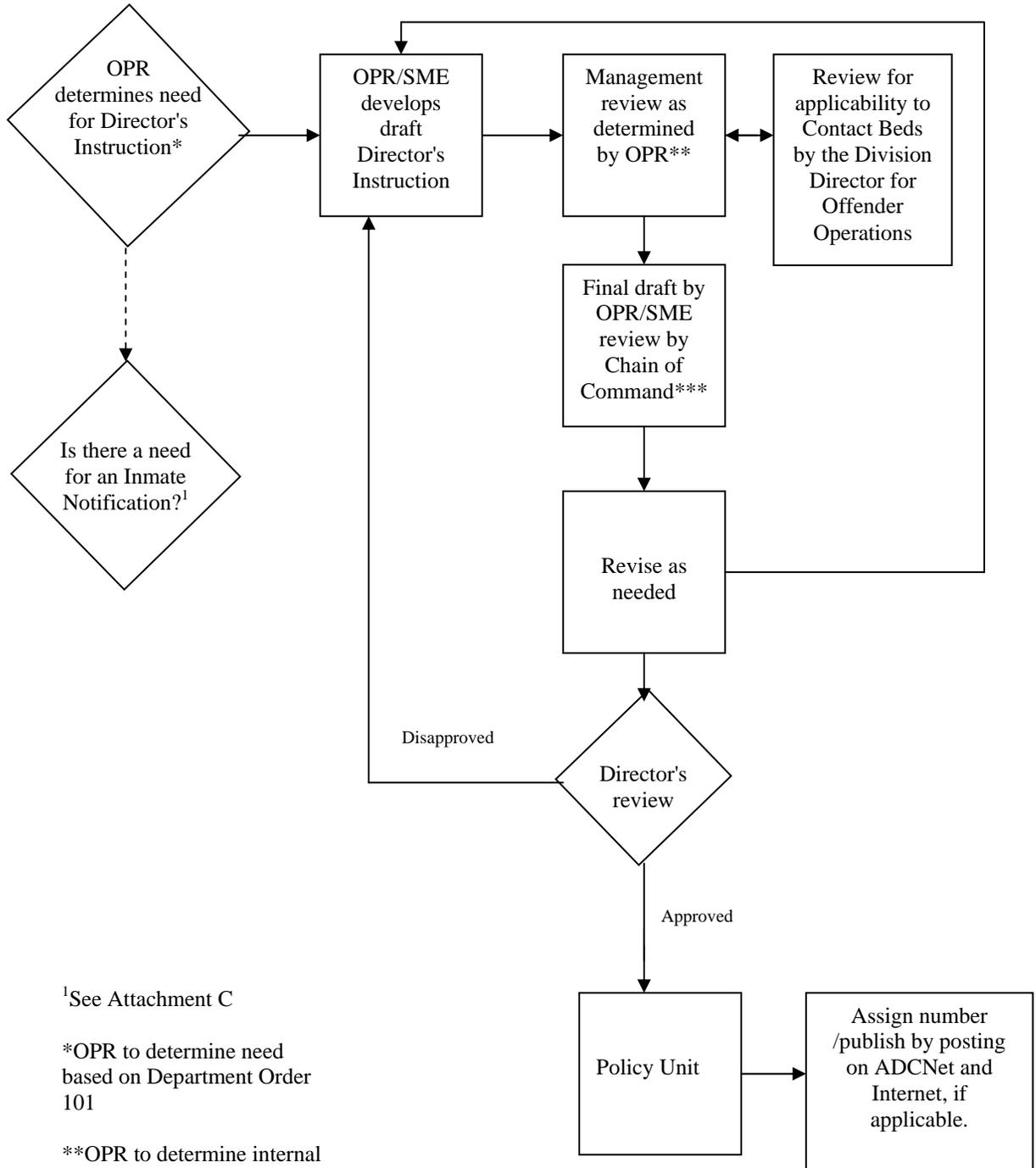
- Attachment A - Director's Instruction Development - Flowchart
- Attachment B - Department Order Development and Revision- Flowchart
- Attachment C - Inmate Notification Development - Flowchart
- Attachment D - Department Order Section/Subsection Exemptions
- Attachment E - Director's Instruction - Format
- Attachment F - Inmate Notification - Format
- Attachment G - Department Order - Format
- Attachment H - Department Order Waiver Request Format
- Attachment I - Technical Manual Cover Sheet Format
- Attachment J - Institution Order Format

**FORM LIST**

- 101-1, System of Written Instructions Acknowledgment

**ATTACHMENT A  
DEPARTMENT ORDER 101**

**DIRECTOR'S INSTRUCTION DEVELOPMENT PROCESS**



<sup>1</sup>See Attachment C

\*OPR to determine need based on Department Order 101

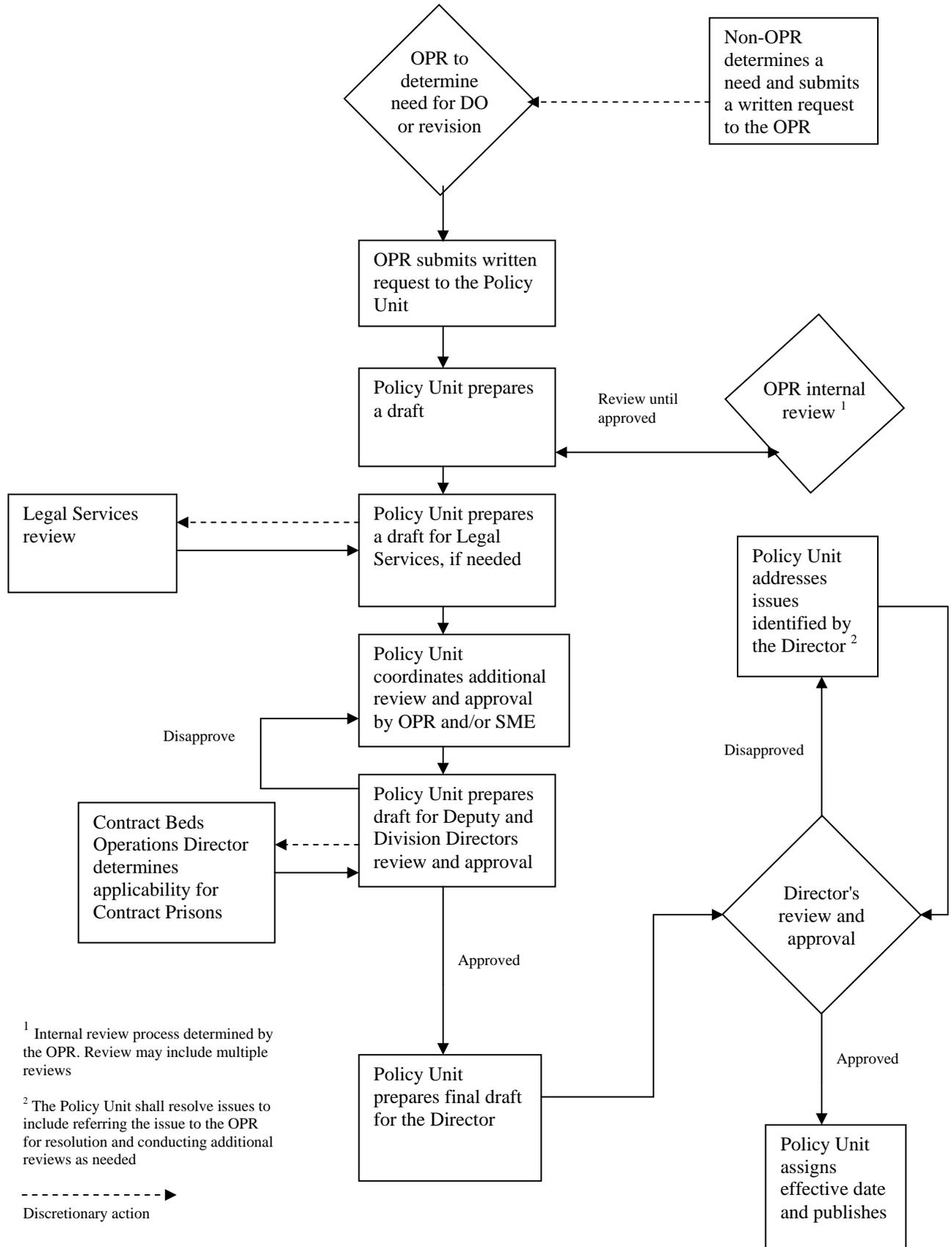
\*\*OPR to determine internal preparation and review

\*\*\*Chain of command decisions by OPR

----->  
Discretionary action

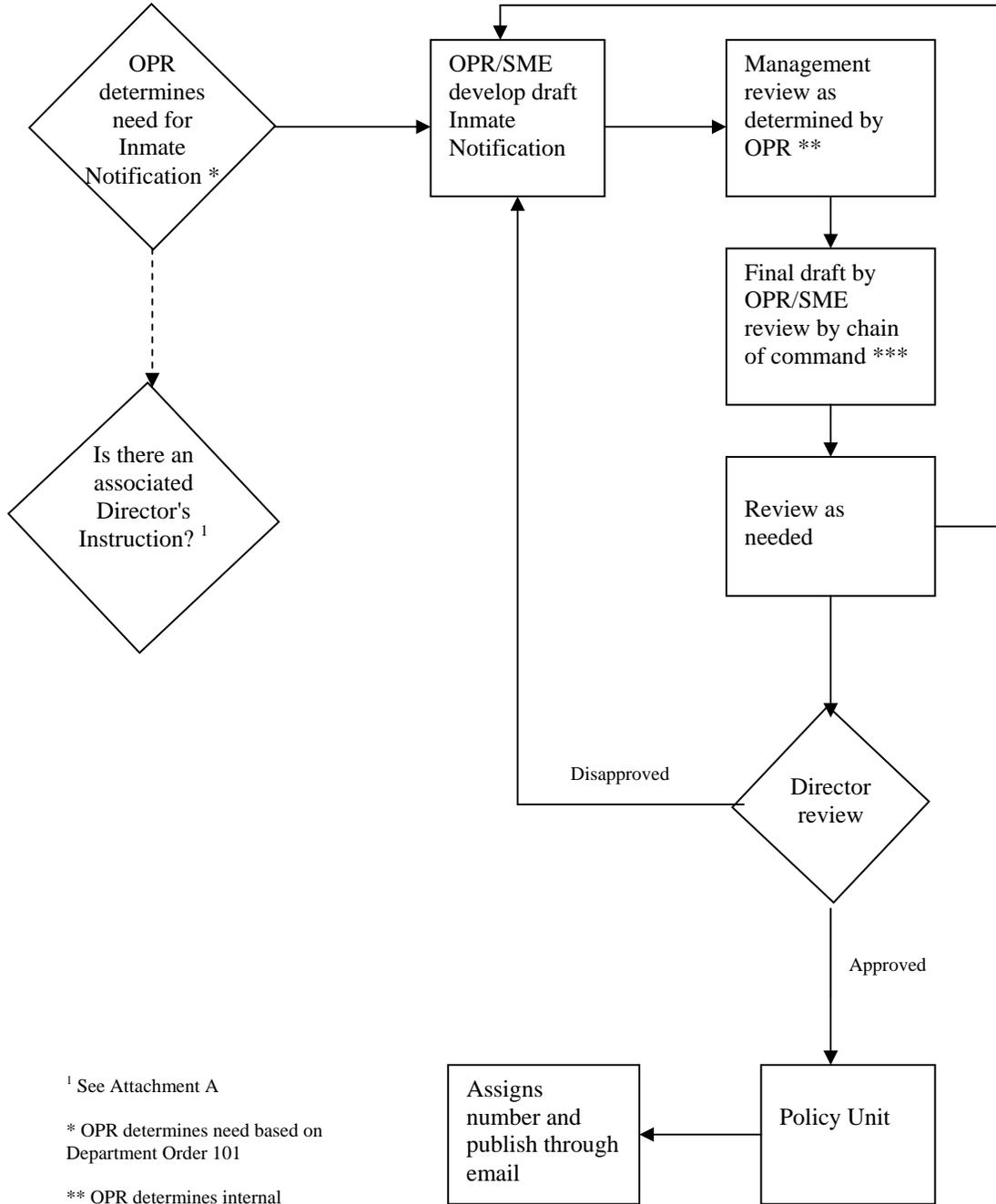
**ATTACHMENT B  
DEPARTMENT ORDER 101**

**DEPARTMENT ORDER DEVELOPMENT AND REVISION PROCESS**



**ATTACHMENT C  
DEPARTMENT ORDER 101**

**INMATE NOTIFICATION DEVELOPMENT PROCESS**



<sup>1</sup> See Attachment A

\* OPR determines need based on Department Order 101

\*\* OPR determines internal preparation and review

\*\*\* Chain of command decisions by OPR

----->  
Discretionary action

## DEPARTMENT ORDER SECTION/SUBSECTION EXEMPTIONS

The following section(s) and/or subsection(s) of Department Order #   \*   (title of Department Order), are not applicable for the operation of contract beds. \*\*

The following forms are not mandatory for use by Contract Beds: (list exempt forms and their numbers). \*\*\*

- \* Number established by the Policy Unit.
- \*\* Some exemptions may exceed several pages.
- \*\*\* Exempted forms shall be listed after any exempt section(s) and/or subsection(s).

**DIRECTOR'S INSTRUCTION FORMAT**

**ARIZONA DEPARTMENT OF CORRECTIONS  
DIRECTOR'S OFFICE**

**MEMORANDUM**

TO: DISTRIBUTION

FROM: Charles L. Ryan, Director

DATE: (Date inserted by OPR)

SUBJECT: Director's Instruction #     \*, Title (Subject supplied by OPR.)

(Content inserted here by OPR.)

Applicability: If it is determined by the OPR in consultation with the Contract Beds Operations Director that the Director's Instruction is partially exempt from the operation of contract beds; the exempted portions of the Director's Instruction shall be noted.

EFFECTIVE DATE: \_\_\_\_\_(To be established by the OPR.)

CLR/XX/xx (Accountability initials provided by OPR.)

\* Number established by the Policy Unit and inserted after the Director signs the Director's Instruction.

RESTRICTED Directors Instructions are copied on goldenrod paper for easy identification and appear last in the Department Order. They may include a heading indicating that the DI is restricted.

	<b>ARIZONA DEPARTMENT OF CORRECTIONS</b>  <b>INMATE NOTIFICATION*</b>	<b>Notification Number:</b>  (ESTABLISHED BY THE POLICY UNIT)
		<b>Issue Date:</b>  (ESTABLISHED BY THE POLICY UNIT)

**POSTING NOTIFICATION**

This information is to be posted for a **minimum of 30** days in areas accessible to inmates and shall be made available to inmates who do not have access to posted copies. This notification contains information regarding changes and is related to inmate issues/concerns **only**.

**TITLE DETERMINED BY AUTHOR**

TEXT CREATED BY AUTHOR. DATE DRIVEN ISSUES INCLUDING EFFECTIVE DATES TO BE INCLUDED IN TEXT.

\_\_\_\_\_  
\*\*\*, Director

\*May be prepared as a notification to staff and members of the public as well as inmates.

## DEPARTMENT ORDER FORMAT

(7)

 <p style="text-align: center;">ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	CHAPTER:  (1)	OPR:  (3)
	DEPARTMENT ORDER:  (2)	SUPERSEDES: (4)
		EFFECTIVE DATE: (5)
		REPLACEMENT PAGE REVISION DATE: (6)

### TABLE OF CONTENTS (8)

- *RESTRICTED Department Orders/sections are copied on goldenrod paper for easy identification and appear last in the Department Order.*
- *The following describes the contents of the Department Order Masthead:*

(1) Identifies the Chapter of the Department Order Manual in which the Department Order appears. Chapters in the manual correspond to the following major subject areas:

- 100 Agency Administration/Management
- 200 Public/Public Access
- 300 Business/Budget
- 400 Physical Plant/Facilities
- 500 Personnel/Human Resources
- 600 Inspections/Investigations
- 700 Operational Security
- 800 Inmate Management
- 900 Inmate Programs and Services
- 1000 Releases/Community Supervision
- 1100 Inmate Health Services

(2) Provides the Department Order number and title.

(3) Indicates which organizational unit(s) has primary responsibility for overseeing and/or carrying out the activities required by the Department Order. OPR's also serve as the authority for questions concerning interpretation. OPR's are:

DIR - Director's Office, which includes the Deputy Director, General Counsel, Legislative Affairs, Constituent Services, Media Relations, Victim Services and Inspector General

AS - Administrative Services, which includes Information Technology, Financial Services Bureau, Engineering and Facilities Bureau, and Planning Budget and Research

SS - Support Services, which includes Religious and Volunteer Services, Education, Arizona Correctional Industries, Human Services Bureau, and Staff Development and Training

OPS - Offender Operations, which includes the Institutions, Regional Operational Directors, Security Operations, Contract Beds Bureau, Offender Support Services and Community Corrections

HS – Health Services, which includes Facility Health and Addiction Treatment Services

- (4) Identifies written instructions that are replaced by the Department Order, including number and effective date. Not Applicable, abbreviated as N/A, appears when the Department Order does not replace any existing written instructions. When numerous written instructions are being superseded, the supersedes list may be included as an attachment to the Department Order, with "See Attachment \_\_\_" entered into the supersedes box.
- (5) Indicates the date on which employees and inmates, as appropriate, are expected to begin complying with the requirements established in the Department Order.
- (6) Indicates when Department Order has been revised with a replacement page.
- (7) If the entire Department Order is restricted from inmate and public access, the word "RESTRICTED" will appear at this location.
- (8) The Table of Contents lists the major topics/sections included in the Department Order and provides page numbers, beginning with the PROCEDURES section. Restricted sections are listed separately, following the general access section of the table of contents. The word "RESTRICTED" appears above the section and separates it from the rest of the table of contents. Restricted sections display the word RESTRICTED in the upper right hand corner of each page.

- *The following describes the major headings of a Department Order:*

**PURPOSE:** Describes what the Department intends to achieve through development, implementation, and compliance with the Department Order.

**RESPONSIBILITY:** Identifies Department managers and employees who have specific responsibility for oversight and compliance with the Department Order. This section is omitted when all managers and employees have similar responsibilities, or when no unique responsibilities are assigned.

**APPLICABILITY:** Identifies specific groups, positions, and contract beds facility(s) that are affected and/or exempt from the Department Order. If the Department Order is exempt in its entirety to the operation of Contract Beds the following statement shall be entered "This Department Order and all attachments shall be exempt for the operation of Contract Beds". The omission of the applicability section indicates the Department Order generally applies to all institutions, contract beds facilities, staff and inmates.

**PROCEDURES:** Describes processes to be followed, and may include the steps involved, who carries them out, when they are carried out, and how they are carried out. Organized with major section headings and subsections as follows:

(Department Order #).01                      First major section in Department Order  
1.1 Procedures/descriptive information; may include subsections  
1.2 Procedures/descriptive information; may include subsections

(Department Order #).02                      Second major section in Department Order  
1.1 Procedures/descriptive information; may include subsections  
1.2 Procedures/descriptive information; may include subsections

**IMPLEMENTATION:** This section gives special instructions for carrying out the implementation process by identifying who is responsible for certain tasks and by when. Implementation is omitted if no special instructions are required.

**DEFINITIONS:** When the special use of words and terms is critical to understanding and complying with the Department Order, definitions are provided in this section. This section is omitted when no definitions are required.

SIGNATURE LINE:

---

Charles L. Ryan  
Director

**ATTACHMENTS** (List): Any attachments to the Department Order are listed here. These may include tables, charts, flow charts, illustrations, statement of exempted sections, etc. The actual attachments appear at the end of the Department Order.

**AUTHORITY:** Lists specific statutes, rules, codes, and regulations that authorize and/or guide the Department's activities in a given area. This heading is omitted if the only authority is A.R.S. 41-1604, Duties and Powers of the Director. In the introduction to the Department Order Manual, this statute is identified as authority for the entire system of written instructions.

*Department Orders include a footer at the bottom of each page that identifies the title, effective or revision date, and the page number. Each page after the table of contents also includes a header that identifies the Department Order Manual chapter and title, and the number and title of the Department Order.*

**DEPARTMENT ORDER WAIVER REQUEST FORMAT**

ARIZONA DEPARTMENT OF CORRECTIONS

MEMORANDUM

**TO:** CHARLES L. RYAN, DIRECTOR  
**THROUGH:** (Deputy Director/Division Director)  
**FROM:** (Originator)  
**DATE:**  
**SUBJECT:** WAIVER REQUEST

**LOCATION:** (Institution, Unit, Bureau, etc.)

**DEPARTMENT ORDER NUMBER AND TITLE:**

**SECTION NUMBER:**

**DESCRIBE REQUIREMENT:**

**JUSTIFICATION & STATEMENT OF OPERATIONAL CONDITIONS IF THIS REQUEST IS GRANTED:**

**LENGTH OF TIME REQUESTED:\*\***

**CONTRACT #:**

**CORRECTIVE ACTION:**

Approve: \_\_\_\_\_

\_\_\_\_\_  
Charles L. Ryan, Director (DATE)

Disapprove: \_\_\_\_\_

\*\* (see section 101.04, 1.3 for details)

## TECHNICAL MANUAL COVER SHEET FORMAT

*NOTE: There is no standardized format for the contents of a Technical Manual. The only requirement is inclusion of a cover sheet that displays a masthead, table of contents, proper use of major headings, and a signature line for the Deputy Director/Division Director, as described below.*

(6)

 <p style="text-align: center;">ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>(TECHNICAL MANUAL (NUMBER)) (Technical Manual Title) (7)</p>	<p>CHAPTER: (Number)  (CHAPTER TITLE) (1)</p>	<p>OPR:  (3)</p>
	<p>DEPARTMENT ORDER: (Number)  <b>(DEPARTMENT ORDER TITLE)</b> (2)</p>	<p>SUPERSEDES:  (4)</p>
	<p><b>(DEPARTMENT ORDER TITLE)</b> (2)</p>	<p>EFFECTIVE DATE:  (5)</p>

TABLE OF CONTENTS (8)

- *RESTRICTED Technical Manuals/sections are copied on goldenrod paper to ensure easy identification.*
- *The numbered descriptions below correspond to the number appearing in the Technical Manual masthead above:*
  - (1) Identifies the applicable Chapter of the Department Order Manual. Chapters in the manual represent the following major subject areas:
    - 100 Agency Administration/Management
    - 200 Public/Public Access
    - 300 Business/Budget
    - 400 Physical Plant/Facilities
    - 500 Personnel/Human Resources
    - 600 Inspections/Investigations
    - 700 Operational Security
    - 800 Inmate Management
    - 900 Inmate Programs and Services
    - 1000 Releases/Community Supervision
    - 1100 Inmate Health Services
  - (2) Reflect the title and number of the authorizing Department Order.
  - (3) Indicates which function/position has primary responsibility for overseeing and/or carrying out the activities required by the Technical Manual. OPR's also serve as the authority for questions concerning interpretation.
  - (4) Identifies written instructions that are replaced by this Technical Manual, including number and effective date. Not Applicable (NA) appears when the Technical Manual does not replace any existing written instruction. When numerous written instructions are being superseded, the supersedes list may be included as an attachment to the Technical Manual, with "See Attachment \_\_\_" entered into the supersedes box.
  - (5) Indicates the date on which employees are expected to begin complying with the requirements established in the Technical Manual.

- (6) If the entire Technical Manual is restricted from inmate and public access, the word "RESTRICTED" will appear at this location.
- (7) Provides the Technical Manual number and title. The title shall be identical or very similar to the title of the authorizing Department Order. Technical Manual numbers include the following information:

Department Order Number  
Written Instruction Type - Technical Manual (abbreviated T)  
OPR Identifier/Abbreviation

They are organized in the following format:

Department Order #-T-OPR/Abbreviation

OPR's may add alpha-numeric designations to the end of the number for identification, access and retrieval.

Example: The Offender Operations Technical Manual for Inmate Classification is numbered:

801-T-OPS

- (8) The Table of Contents lists the major topics/sections included in the Technical Manual and provides page numbers. The word "RESTRICTED" will appear next to the section heading when an individual section of the Technical Manual is restricted. Restricted sections display the word RESTRICTED in the upper right-hand corner of each page.

**SIGNATURE LINE:**

---

**Division Director/Deputy Director**

*While not required, Technical Manuals may follow the format and headings used in a Department Order. Authors may use paragraph numbering if desired; however, they are not required to use the format used in a Department Order.*

## INSTITUTION ORDER FORMAT

(6)

 <p style="text-align: center;">ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>(INSTITUTION NAME)  (7)</p>	<p>CHAPTER: (Number)  (Chapter Title) (1)</p>	<p>OPR:  (3)</p>
	<p>DEPARTMENT ORDER:(Number)  (Department Order Title) (2)</p>	<p>SUPERSEDES:  (4)</p>
	<p>INSTITUTION ORDER: (Number)  (Institution Order Title) (8)</p>	<p>EFFECTIVE DATE:  (5)</p>

### TABLE OF CONTENTS (9)

- *Institution Orders are copied on blue paper. RESTRICTED Institution Orders/sections are copied on goldenrod paper for easy identification.*

- *The following describes the contents of the Institution Order Masthead:*

(1) Identifies the Chapter of the Department Order Manual in which the Department Order appears. Chapters in the Manual represent the following major subject areas:

- 100 Agency Administration/Management
- 200 Public/Public Access
- 300 Business/Budget
- 400 Physical Plant/Facilities
- 500 Personnel/Human Resources
- 600 Inspections/Investigations
- 700 Operational Security
- 800 Inmate Management
- 900 Inmate Programs and Services
- 1000 Releases/Community Supervision
- 1100 Inmate Health Services

(2) Provides the authorizing Department Order number and title.

(3) Indicates which institutional area has primary responsibility for overseeing or carrying out the activities required by the Institution Order. OPR's also serve as the authority for questions concerning interpretation.

(4) Identifies Institution Orders that are replaced by this Institution Order, including number and effective date. Not Applicable (NA) appears when the Institution Order does not replace any existing written instructions. When numerous Institution Orders are being superseded, the supersedes list may be included as an attachment to the Institution Order, with "See Attachment \_\_\_\_" entered into the supersedes box.

Attachment J  
Department Order 101

- (5) Indicates the date on which employees and inmates, as appropriate, are expected to begin complying with the requirements established in the Institution Order.
- (6) If the entire Institution Order is restricted from inmate and public access, the word "RESTRICTED" will appear at this location.
- (7) Identifies the institution.
- (8) Provides the Institution Order number and title. The title should be identical or very similar, if not identical to the title of the authorizing Department Order. Institution Order numbers include the following information:

Department Order Number  
Written Instruction Type - Institution Order (abbreviated IO)  
Institution Identifier/abbreviation

They are organized in the following format:

Department Order #-IO-Institution Abbreviation

Institutions may add alpha-numeric designations to the end of the number for identification, access and retrieval.

Example: The Institution Order on visitation for ASPC-Florence is numbered:

911-IO-F

- (9) The Table of Contents lists the major topics/sections included in the Institution Order and provides page numbers. The word "RESTRICTED" will appear next to the section heading when an individual section of the Institution Order is restricted. Restricted sections display the word RESTRICTED in the upper right hand corner of each page.

- *The following describes the major headings of an Institution Order.*

**PURPOSE:** Describes what the institution intends to achieve through development, implementation and compliance with the Department Order.

**RESPONSIBILITY:** Identifies employees who have specific responsibility for oversight and compliance with the Institution Order. This section is omitted when all employees have similar responsibilities, or when no unique responsibilities are assigned.

**APPLICABILITY:** Specific groups or positions that are directly affected by the Institution Order are identified here. It is omitted if no special instructions are required.

**PROCEDURES:** Describes processes to be followed, and may include the steps involved, who carries them out, when they are carried out, and how they are carried out. Organized with major section headings and subsections as follows:

(Institution Order #).01	First major section in Department Order
	1.1 Procedures/descriptive information; may include subsections
	1.2 Procedures/descriptive information; may include subsections

(Institution Order #).02	Second major section in Department Order
	1.1 Procedures/descriptive information; may include subsections
	1.2 Procedures/descriptive information; may include subsections

**SIGNATURE LINE:**

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**ATTACHMENTS** (List): Any attachments to the Institution Order will be listed here. These may include tables, charts, flow charts, illustrations, etc. The actual attachments appear at the end of the Institution Order.

**IMPLEMENTATION:** This section gives special instructions for initiating the implementation process by identifying who is responsible for certain components of implementation and by when. It is omitted if no special instructions are required.

**DEFINITIONS:** When the special use of words and terms is critical to understanding and complying with the Institution Order, definitions are provided in this section. This section is omitted if no definitions are necessary.

*Institution Orders include a footer at the bottom of each page that identifies the title, effective or revision date, and the page number. Each page after the table of contents also includes a header that identifies the Department Order Manual chapter and title, and the number and title of the Institution Order.*

