

CHAPTER: 100
Agency Administration/Management

DEPARTMENT ORDER:
101 – System of Written Instructions

OFFICE OF PRIMARY
RESPONSIBILITY:
DIR

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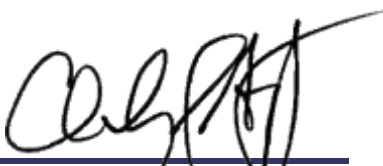
ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections

Department Order Manual





Charles L. Ryan, Director

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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 by contacting the Department. Requests shall be made as early as possible to allow time to arrange the accommodation.

RESPONSIBILITY

The Policy Unit is responsible for administration of the system of written instructions.

The Director's Office, the Deputy Director, the Division Directors and the Assistant Director are responsible for serving as Offices of Primary Responsibility (OPRs) for Director's Instructions (DIs) and Department Orders (DOs), and for identifying the need for the written instructions to guide critical functions within the Department or organizational unit. OPRs shall ensure written instructions address administrative and/or operational needs, while also ensuring consistency with related internal instructions and external requirements.

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

PROCEDURES

1.0 FAMILIARIZATION AND COMPLIANCE WITH WRITTEN INSTRUCTIONS

- 1.1 All employees and supervisors shall be responsible for compliance with all levels of written instructions (DIs, DOs, Technical Manuals, General Order/Post Orders and Health Services Post Orders).
- 1.2 Supervisors shall ensure employees under their supervision sign and date the System of Written Instruction Acknowledgment, Form 101-1, indicating they have read and understand the written instructions and return the form to their supervisor. The System of Written Instruction Acknowledgment form shall be maintained in the employee's Personnel file.
- 1.3 The Deputy Director, Division Directors, Assistant Director, Wardens, Deputy Wardens, Bureau Administrators, and supervisors shall ensure:
 - 1.3.1 The following methods are used to advise employees of new, revised, or rescinded DIs and DOs:
 - 1.3.1.1 Email - Policy notifications shall be distributed.
 - 1.3.1.2 Department Bulletin Boards - General access written instructions shall be posted on official Department bulletin boards, where designated.
 - 1.3.1.3 Meetings and/or Briefings - Restricted and general access written instructions and revisions shall be announced and discussed during employee meetings and/or briefings.

1.3.1.4 DIs and DOs shall be available electronically.

1.3.2 Appropriate employees are advised of new, revised, and/or rescinded Technical Manuals.

1.3.3 Written Instructions are maintained in accordance with the Department's Records Retention Schedule.

2.0 WRITTEN INSTRUCTIONS ACCESS

2.1 Department Employee Access

2.1.1 DIs and DOs shall be made available to Department employees.

2.1.1.1 Employees who are off duty may access the DIs and DOs on the public Department website.

2.1.1.2 Restricted access DIs and DOs shall not be available to inmates or the public.

2.1.2 Technical Manuals – The publication, access, and distribution of Technical Manuals shall be determined by the OPR. Restricted Technical Manuals/sections shall not be available to inmates or the public.

2.1.3 The General Order/Post Orders and Health Services Post Orders are restricted and shall not be available to inmates or the public. Access and electronic availability to these Orders shall be determined by the OPR.

2.2 Inmate Access

2.2.1 The Warden or designee shall ensure:

2.2.1.1 A "read only" copy of the general access DIs and DOs are available (electronic and/or paper copy) in the Inmate Resource Center/library.

2.2.1.2 Inmate Notifications are posted and made available to inmates.

2.2.2 Inmate requests to review General access Technical Manuals shall be submitted in writing through their assigned Correctional Officer III to the Deputy Warden. Upon approval, the assigned Correctional Officer III shall be present while the inmate reviews the Technical Manual.

2.2.2.1 Inmates shall not have access to restricted material in Technical Manuals.

2.2.3 Inmates shall not have access to General Order/Post Orders, Health Services Post Orders, or restricted DIs, DOs, Technical Manuals/sections. Restricted access written instructions contain specific information that may pose a direct threat to safe and secure operations, placing employees, inmates, and/or the public at risk.

2.3 Public Access

2.3.1 General access DIs and DOs shall:

2.3.1.1 Be readily available for any member of the public visiting the institution/facility.

2.3.1.2 Be located in the Administration area, in a visitation area, or other appropriate location designated by the Warden (or equivalent).

2.3.2 Members of the Public:

2.3.2.1 May purchase individual DOs in accordance with DO #201, Legal Service - Records Release.

2.3.2.2 May access the DIs and DOs on the Department's public website.

2.3.2.2.1 Staff shall not provide copies of DIs or DOs to the public except when authorized by the Director, Deputy Director, Division Director, Assistant Director, or General Counsel.

2.3.3 Other Criminal Justice agencies, state agencies, legal representatives, and law firms requesting copies of restricted and superseded written instructions shall forward their request to Legal Services for review and approval/disapproval.

2.3.4 Contractors, offerors for Request for Proposal, or Invitation for Bid may obtain restricted access written instructions by submitting a written request to the Director, Deputy Director, Division Director, Assistant Director, or their designee, responsible for the contractual development.

2.3.4.1 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 for handling restricted materials.

2.4 The Department shall provide reasonable accommodation for access to written instructions upon receipt of a written or verbal request to accommodate a disability.

3.0 **DIRECTOR'S INSTRUCTIONS**

3.1 Any employee who wishes to request development, revision, or rescission of a DI shall submit their written request through their chain of command to the appropriate Division Director/Assistant Director for consideration and approval/disapproval.

3.2 The OPR shall:

3.2.1 Develop DIs, in consultation with the Deputy Director, Division Directors, Assistant Director and other appropriate managers in the affected operational areas to immediately address critical and/or urgent issues.

3.2.2 Determine if the DI requires an Inmate Notification, as outlined in section 6.0.

- 3.2.3 Determine whether the DI is to be general or restricted access and include appropriate notification of the decision to the reviewing chain of command and to the Policy Unit.
- 3.2.4 Establish the effective date. If the OPR does not specify an effective date, the DI shall be effective on the date signed or received by the Policy Unit.
 - 3.2.4.1 Due to legislative changes, court mandates, and executive directives, some DIs may be issued/published after their established effective date.
- 3.2.5 Forward the DI to the Policy Unit for formatting.
- 3.2.6 Forward the formatted DI to the Division Directors and Assistant Director for review and comment. Upon completion, the Division Directors and Assistant Director shall return comments to the OPR.
 - 3.2.6.1 The Division Director for Prison Operations, in consultation with the Contract Beds Operations Director, shall determine the applicability of the DI to the operation of private prisons.
 - 3.2.6.1.1 If not applicable, the Contract Beds Operations Director shall provide the appropriate Applicability statement for inclusion in the DI.
- 3.2.7 Finalize the DI and forward it through the Deputy Director to the Director for review and signature.
- 3.2.8 Upon the Director's signature, provide the Policy Unit with:
 - 3.2.8.1 A scanned copy of the signed DI.
 - 3.2.8.2 The final Word document version of the approved DI.
 - 3.2.8.3 The original signed DI.
- 3.3 The Policy Unit shall assign a DI number and process in accordance with section 10.0.
- 3.4 When circumstances require modification of a published DI, the OPR, in collaboration with the Policy Unit, shall prepare an updated DI as outlined above.
- 3.5 DIs shall be incorporated into the appropriate DO(s), as applicable.
- 3.6 DI Rescissions - When it is determined a DI should be rescinded, the OPR shall provide the supporting justification for the rescission to the Director. Upon approval, the OPR shall provide the Policy Unit with the approved rescission for processing.

4.0 DEPARTMENT ORDERS – DEVELOPMENT, REVISION, ALIGNMENT, AND RESCISSION

- 4.1 Any employee who wishes to request development, revision, or rescission of a DO shall submit their written request through their chain of command to the appropriate Division Director/ Assistant Director for consideration and approval/disapproval.

- 4.2 New DO Development - The OPR shall begin the development process for a new DO by notifying the Policy Unit Administrator.
- 4.2.1 The OPR shall review DO drafts for accuracy, logic and completeness, and identify specific potential obstacles to compliance in their area of operation, including areas for which they determine a waiver would be needed, and why. Completed preliminary drafts shall be provided to the Policy Unit Administrator.
- 4.2.2 The Policy Unit shall:
- 4.2.2.1 When the Director is the OPR, work with the appropriate Division Director/Assistant Director or their designee during development of the DO.
- 4.2.2.2 Work with the OPR and/or an assigned SME to resolve any questions and concerns during development of the preliminary draft, to include the development and/or revisions of any forms necessary to comply with the DO. (See DO #114, Forms Management System.)
- 4.2.2.3 Consult with the OPR/SME to determine if:
- 4.2.2.3.1 The entire DO or sections of the DO should be restricted from inmate and public access. Restricted designations shall be assigned by exception - only when the instruction contains specific information which would pose a direct threat to safe and secure operations, placing employees, inmates, or the public at risk.
- 4.2.2.3.2 Technical Manuals are necessary to implement the DO. An outline of content requirements for the Technical Manual(s) may be included in the IMPLEMENTATION section of the DO.
- 4.2.2.3.3 The DO requires a review by Legal Services due to a legal concern.
- 4.2.2.4 Prepare the draft and supporting documentation for Executive Review.
- 4.3 DO Revision - OPRs shall submit revisions in writing to the Policy Unit Administrator when they determine a DO requires revision (referred to as an Amendment).
- 4.3.1 Based on the extent of revisions to be made, the Policy Unit Administrator shall determine whether to initiate an Amendment or to revise the entire DO.
- 4.3.2 DO revisions shall require Executive Review unless the OPR has received approval from the Director.
- 4.4 DO Alignment – The Policy Unit may initiate and publish DO Alignments (as defined in the Glossary of Terms) without an Executive Review or policy notification.

4.5 DO Rescission - When it is determined that a DO should be rescinded; the OPR shall consult with the Deputy Director, Division Directors, and Assistant Director. Upon approval, the OPR shall provide the Policy Unit with the approved rescission. The Policy Unit shall:

4.5.1 Forward the supporting documentation, through the Deputy Director, to the Director for review and approval.

4.5.2 Distribute a policy notification in accordance with section 10.0.

5.0 DEPARTMENT ORDER - EXECUTIVE REVIEW PROCESS

5.1 The Policy Unit shall:

5.1.1 Consolidate all comments received into the draft and submit the electronic draft and associated forms to the Division Directors and Assistant Director for review within the established timeframes.

5.1.2 Establish Executive Review timeframes based on the DO complexity and priority.

5.2 The Division Directors and Assistant Director shall:

5.2.1 Review the draft and forms, and may forward to additional staff for review.

5.2.2 Consult with the OPR to address comments and/or resolve conflicts that arise during their Executive Review.

5.2.3 Submit their final review to the Policy Unit.

5.3 The Division Director for Prison Operations, in consultation with the Contract Beds Operations Director, shall determine if the draft or any section(s) of the draft are applicable to the operation of private prisons.

5.3.1 If not applicable, the Contract Beds Operations Director shall provide the appropriate Applicability statement for inclusion in the DI.

5.4 The Policy Unit shall:

5.4.1 Obtain approval from the OPR prior to making any significant revisions based on Executive Review comments.

5.4.2 Forward the final draft and supporting documentation through the Deputy Director to the Director for review and approval.

5.5 Effective Dates

5.5.1 The Policy Unit shall establish the effective date of DO revisions.

5.5.2 Other accelerated or delayed effective dates may be established at the request of the Director or OPR.

6.0 NOTIFICATIONS - For issues that may have significant impact on staff and/or the inmate population, the Director, Deputy Director, Division Directors, or Assistant Director may determine that notice is required prior to implementation.

6.1 Policy Notifications and Inmate-Policy Notifications associated with the publication of new/revised DOs and/or DIs are developed and issued by the Policy Unit.

6.2 Division - Inmate Notifications

6.2.1 The Division Director/Assistant Director or designee shall:

6.2.1.1 Develop the Inmate Notification in accordance with this Department Order. Effective dates or other issues shall be included in the text of the notification as determined by the OPR.

6.2.1.1.1 Inmate Notifications of changes impacting the population may include a 30-day notice period prior to implementation.

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

6.2.1.3 Establish both the issue date and an effective date of the notification, and coordinate the publication with the Policy Unit.

6.2.2 The Director's Office or designee shall forward the signed document to the Policy Unit for distribution in accordance with section 10.0.

7.0 DEPARTMENT ORDERS – SCHEDULED REVIEW - To ensure that DOs remain accurate and up-to-date, the Policy Unit shall administer a regularly scheduled review process for DOs. The process shall include, at a minimum:

7.1 A multi-year calendar identifying DO review dates in advance.

7.2 The opportunity for employee input into the revision process through a dedicated email box or other electronic means.

7.3 Appointment of cross-divisional teams, representing different functions and ranks.

7.4 Formal team training in DO review standards and requirements.

7.5 Team Member feedback loop (using a tool such as Survey Monkey) to ensure continuous improvement of the process.

8.0 TECHNICAL MANUALS - Technical Manuals shall be developed only when authorized by the IMPLEMENTATION section of a DO.

8.1 The OPR or designee shall ensure that Technical Manuals and revisions to Technical Manuals meet the following criteria:

8.1.1 Affect only one Division or apply to a limited number of employees in highly specialized areas within one or more Divisions. The Technical Manual shall not place responsibility or requirements on any other organizational unit or Division, unless approved by the Deputy Director or affected Division Director/Assistant Director.

8.1.2 Be specifically authorized by a DO.

- 8.1.3 Be consistent with the authorizing DO.
 - 8.1.4 Contain only unique information or additional detail that is not contained in the authorizing DO.
 - 8.1.5 Numbered and titled according to the authorized DO. Divisions may add alpha-numeric designations to the end of the number for identification and retrieval.
 - 8.1.6 Display the appropriate cover page (including signature line for the approving authority) and table of contents.
- 8.2 OPRs shall establish the effective date of their Technical Manuals.
- 8.3 Technical Manuals shall not be rescinded until the requirement for the development and/or maintenance of the Technical Manual has been removed from the authorizing DO.

9.0 GENERAL ORDER/POST ORDERS AND HEALTH SERVICES POST ORDERS

- 9.1 The General Order/Post Orders and Health Services Post Orders shall:
- 9.1.1 Be identified as “Restricted.”
 - 9.1.2 Not repeat or duplicate information presented in a DI, DO, or Technical Manual.
 - 9.1.3 Be written for all identified posts, as applicable to the institution.
 - 9.1.4 Be consistently formatted, numbered, and titled as prescribed by the Division Director for Prison Operations or Assistant Director for Health Services, as appropriate. Some subject content may vary to reflect local operational requirements.
 - 9.1.5 If printed/copied be on goldenrod paper and maintained in a secured area.
- 9.2 General Order/Post Orders
- 9.2.1 The General Order/Post Orders shall be reviewed and approved by the Division Director for Prison Operations.
 - 9.2.1.1 The Warden (or equivalent) shall review and approve the Unit Specific portion of the Post Order.
 - 9.2.1.2 The original Unit Specific Post Orders shall be maintained in the Warden’s (or equivalent) Office and a copy distributed to designated areas.
 - 9.2.2 The Prison Operations Division shall:
 - 9.2.2.1 Maintain and publish a standardized list of authorized General Order/Post Orders.
 - 9.2.2.2 Maintain the originals and distribute a copy to designated areas.

9.3 Health Services Post Orders

9.3.1 Health Services Post Orders shall be reviewed and approved, in collaboration with the Division Director for Prison Operations, by the Assistant Director for Health Services Contract Monitoring Bureau.

9.3.2 The Assistant Director for Health Services Contract Monitoring Bureau, in coordination with the Contract Facility Health Administrator, shall ensure the Health Services Post Orders are maintained for each Facility Health Unit and accessible to Health Services staff.

9.3.2.1 The original Health Services Post Orders shall be maintained in the Health Services Contract Monitoring Bureau and a copy distributed to designated areas.

9.4 Effective Dates

9.4.1 The Division Director for Prison Operations shall establish the effective date of the General Order/Post Orders.

9.4.2 Wardens (or equivalent) shall establish the effective date of Unit Specific Post Orders.

9.4.3 The Assistant Director for the Health Services Contract Monitoring Bureau shall establish the effective date of Health Services Post Orders.

10.0 WAIVERS - When it is determined that an institution, unit, or bureau is unable comply with a DI or DO due to an exception or inability (e.g., physical plant), a waiver request shall be submitted through the chain of command to the Director.

10.1 Waiver Request Requirements - The waiver request shall contain the following:

10.1.1 DI or DO number, title, section number(s).

10.1.2 Description of the requirement for which the waiver is being requested.

10.1.3 A statement of justification, including identification of resources required to remedy the situation.

10.1.4 A statement of operational conditions that will be in place if the waiver is granted.

10.1.5 Length of time the waiver will be effect.

10.1.6 A statement of corrective action, if necessary.

10.1.7 An identification of contract number, if applicable.

10.2 The initiating area, institution, unit, or bureau shall not operate according to the waiver request until receipt of the Director's approval.

10.3 The original approved waiver shall be maintained in the applicable Division Director/Assistant Director's Administration area and a copy distributed to affected areas and the Policy Unit.

11.0 DISTRIBUTION - The Policy Unit shall:

- 11.1 Ensure an electronic copy of new/revised DIs and DOs is forwarded to the Information Technologies Bureau for posting on the ADCnet and the public Department website.
- 11.2 Distribute a Policy Notification via email to designated personnel advising staff of new, revised, and rescinded DIs/DOs and policy-related notifications, as applicable.
- 11.3 Distribute Inmate Notifications via email to designated personnel for posting on designated Inmate bulletin boards.
- 11.4 Ensure Departmental forms are available in accordance with DO #114, Forms Management System.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

FORMS LIST

101-1, System of Written Instructions Acknowledgment