ARIZONA DEPARTMENT OF CORRECTIONS	CHAPTER: 100 AGENCY ADMINISTRATION/ MANAGEMENT	OPR: DIR
DEPARTMENT ORDER MANUAL	DEPARTMENT ORDER: 103 ***CORRESPONDENCE/RECORDS CONTROL***	SUPERSEDES: DO 103 (03/10/09)
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PURPOSE

This Department Order establishes processes for standardizing and controlling correspondence, managing records, posting required information on bulletin boards, and preparing and distributing mail. This Department Order also establishes requirements for assigning correspondence between organizational units.

APPLICABILITY

For Contract Beds, this Department Order applies only to official records and documents considered to be Department property or generated as an official Department action. Records and correspondence generated as private corporate property are governed by corporate policy. For official Department records generated by the private prison vendor, the Deputy Warden at the private prison or the Contract Beds Operations Director acts as the Unit Administrative Records Manager.

PROCEDURES

103.01 CORRESPONDENCE CONTROL

1.1 For release of information see Department Order #201, Legal Services - Information Release.

1.2 Standard Format for Correspondence - Correspondence (letters) or other documents written on the Director's behalf shall be prepared in accordance with the following guidelines. Additional information is found in Attachment A, Style Guide.

1.2.1 References to the Department shall be as follows:

1.2.1.1 The Arizona Department of Corrections (the Department). Subsequent references in the same document shall use the term "the Department."

1.2.1.2 Where an acronym for the Department is desired, "ADC" shall be used.

1.2.2 The accountability line of any correspondence prepared for the Director's signature shall contain the initials of the Director, the person who authored the correspondence and the typist (e.g., DI/GWP/kl).

1.2.3 The project control number, if any, shall be included at the end of the last page of the correspondence/response using font sizes as outlined in the style guide.

1.3 Incoming Correspondence

1.3.1 All incoming correspondence addressed to the Director or to the Department shall be forwarded to the Director.

1.3.2 The Director may delegate the response.

1.3.3 Transmittal memorandums shall:

1.3.3.1 Be attached to all delegated correspondence.

1.3.3.2 Contain a project control number based upon due date.

1.3.3.3 Instruct the recipient to either prepare a response for the Director's signature or respond on the Director's behalf.

1.4 Delegated Correspondence

1.4.1 When the Director delegates correspondence with instructions to prepare a response for signature, respondents shall:

1.4.1.1 Forward the originals of the complete correspondence file to the Director's office by the designated due date.

1.4.1.2 Retain a copy of the complete correspondence file in their office.

1.4.2 When the Director delegates correspondence with instructions to prepare a response on behalf of the Director, respondents shall:

1.4.2.1 Forward a copy of the complete correspondence file to the Director by the designated due date.

1.4.2.2 Retain the original complete correspondence file in their office.

1.5 National/State Official Mail

1.5.1 Employees who receive national/state official mail shall forward the mail, within 24 hours of receipt, to the General Counsel who shall handle requests for general information in accordance with 1.5.2 and 1.5.3 of this section.

1.5.2 The Director shall sign all correspondence to the Legislative leadership and/or involving Agency level written instruction issues.

1.5.3 The Deputy Director, Division Directors and Assistant Director shall sign correspondence related to areas for which they are responsible and provide a copy of the complete correspondence file to the Director and to the General Counsel. (Except as indicated in 1.5.2 of this section.)

1.6 Local Official Mail

1.6.1 Within 24 hours of receipt, employees receiving local official mail shall forward the mail to the appropriate person or Division in accordance with applicable written instructions.

1.6.2 When a local official questions the Department's position on an issue, the recipient shall:

1.6.2.1 Prepare a response for the Deputy Director, Division Director's or Assistant Director signature.

1.6.2.2 Forward the complete correspondence file(s) to the Deputy Director, Division Director or Assistant Director within five work days of receipt.

1.6.3 The Deputy Director, Division Director or Assistant Director shall forward a copy of the complete correspondence file to the General Counsel.

1.7 Internal Documents and Routine Correspondence - Routine internal documents and correspondence shall be handled in accordance with the applicable written instructions and Attachment A, except when a local official has questioned the Department's position (as indicated in section 103.01). Examples of routine correspondence include:

1.7.1 Non-confidential information or action pertaining to inmates.

1.7.2 Director's Instructions. Specific format information may be found in Department Order #101, System of Written Instructions.

1.7.3 Complaints on treatment, property or conditions.

1.7.4 Visitation requests.

1.7.5 Outstanding warrants issues.

1.7.6 Detainer issues.

1.7.7 Interstate compacts.

1.7.8 Correspondence with attorneys after dispositions.

1.7.9 Intra- or inter-institution correspondence.

1.7.10 Procedural requests on intake, reception, transportation, radio communications.

1.7.11 Work program information.

1.7.12 Testing/educational processes and other programs internal and external to the institution.

1.7.13 Personnel promotions.

103.02 MAIL PREPARATION AND DISTRIBUTION

1.1 General Guidelines

1.1.1 Employees shall not overstuff envelopes. Employees shall use an appropriately sized envelope based on the size of the contents.

1.1.2 When sending large quantities of mail, employees shall:

1.1.2.1 Separate internal from external mail.

1.1.2.2 Place large, same-sized envelopes upright in boxes with all envelopes facing the same direction.

1.1.2.3 Fold bulletins/newsletters in half, tape/staple them closed and write the address directly on the document. Employees are not required to use envelopes for such documents.

1.2 Internal, Interagency and Department Courier Mail – Employees shall:

1.2.1 Use reusable, standard interoffice envelopes or blank manila envelopes.

1.2.2 Address internal mail as follows:

1.2.2.1 Full name and/or title of addressee.

1.2.2.2 The Department mail code, available from the Department telephone directory.

1.2.3 Address interagency mail as follows:

1.2.3.1 Full name and/or title of addressee, or agency name.

1.2.3.2 Street address, including suite number if applicable.

1.2.3.3 City.

1.2.4 Address Department courier mail in accordance with the destination of the mail.

1.3 External Mail

1.3.1 Addressing - Employees shall address external mail as follows:

1.3.1.1 Return Address

1.3.1.1.1 The sender's name and/or title.

1.3.1.1.2 The agency name and sender's mail code, e.g., Arizona Department of Corrections M/C 606.

1.3.1.1.3 Street address or post office box.

1.3.1.1.4 City, state and zip code.

1.3.1.2 Addressee

1.3.1.2.1 Full name and title of addressee if applicable.

1.3.1.2.2 Name of business or state agency.

1.3.1.2.3 Street address or post office box.

1.3.1.2.4 City, state and zip code.

1.3.2 Classes of Mail - The Department uses the following three classes of mail:

1.3.2.1 First Class - Cards, letters, flats, and parcels, to include, handwritten material, bills, statements of account or invoices, credit cards, personal correspondence, personalized business correspondence, and all matter sealed or otherwise closed against inspection, with a maximum of 13 ounces.

1.3.2.2 Standard Mail – Printed matter, flyers, circulars, advertising, newsletters, bulletins, catalogs, and small parcels weighing less than 16 ounces which does not require being mailed First Class.

1.3.2.3 Package Services - A class of mail primarily intended for merchandise, catalogs, and other printed material, including Parcel Post, Bound Printed Matter, Media Mail, and Library Mail. Maximum package weight may be as much as 70 pounds depending upon subclass.

1.3.3 Sorting

1.3.3.1 Employees shall sort external mail into local and out-of-town bundles.

1.3.3.2 Pre-stamped/Metered Mail - Employees shall sort pre-stamped/metered mail, by size, with all envelopes facing the same way. Same-sized envelopes shall be rubber banded together.

1.3.3.3 Mail Requiring Postage

1.3.3.3.1 Employees shall seal <u>all</u> manila envelopes.

1.3.3.3.2 For all other envelopes, employees shall <u>either</u> arrange the envelopes, by size, with all envelopes facing the same way and rubber banded together or seal and rubber band them together by size. Unsealed envelopes shall have the flap up.

1.3.3.3.3 Employees shall seal packages and boxes securely and properly prior to sending them to the mailroom.

1.3.4 External Mail Security - To ensure appropriate security, inmate couriers shall not be allowed to deliver or transport external mail.

1.4 <u>Special Mail Services</u>

1.4.1 The services available include:

1.4.1.1 Certified mailings.

1.4.1.2 Insured mailings.

1.4.1.3 Registered mailings.

1.4.1.4 Express mailings.

1.4.1.5 Package-delivery company shipments. (These are deliveries by such vendors as UPS, FedEx Ground, and DHL, or the existing contract vendor.)

1.4.2 Since special services are expensive, employees shall use such services only when they are absolutely necessary.

1.4.3 Employees shall contact their mailroom staff to determine which service best meets their needs.

1.5 Incoming Mail - Since incoming external mail is considered business-related material, the mailroom staff shall open the material in order to identify the addressee when the addressee cannot be determined from the outside address.

103.03 ORGANIZATIONAL UNIT ASSIGNMENT CORRESPONDENCE - Administrators at all levels may find it necessary to communicate with staff who are not in their chain of command.

1.1 Written Communications to Individuals Assigned to Institutions - When staff assigned to an organizational unit at Central Office need to communicate with institutional staff, and the communication requires follow-up action or accountability on the part of the institution or institution staff, they shall:

1.1.1 Address the correspondence to the Warden of the institution.

1.1.2 Send the staff member with first-line responsibility for the task an informational copy.

1.2 Written Communications to Individuals Assigned to Divisions - When staff assigned to an organizational unit at Central Office or an institution need to communicate with Division staff and the communication requires follow-up action or accountability on the part of the Division or Division staff they shall:

1.2.1 Address the correspondence to the Deputy Director, Division Director or Assistant Director.

1.2.2 Send the staff member with first-line responsibility for the task an informational copy.

1.3 Where electronic correspondence is used in lieu of written correspondence, informational copies may be sent via email to remain in compliance, as outlined in this section.

103.04 CONTROLLING DOCUMENT ISSUANCE, DISTRIBUTION AND RETENTION

1.1 Staff shall ensure all personal identifying information is secure and inaccessible to unauthorized persons.

1.2 Staff shall take into consideration the most cost-effective measures for providing information to appropriate persons.

1.3 When preparing distribution lists for correspondence and other documents, the sender shall ensure all persons and agencies who need the information are included, but that copies are not provided to persons who do not need an individual copy.

1.3.1 Employees whose names are on a distribution list for documents they do not need shall request that the sender remove their names from the distribution list.

1.4 Copies of documents shall be two-sided to conserve paper, except:

1.4.1 Single-addressee original correspondence shall be one-sided.

1.4.2 Documents for the Office of the Governor, the legislature or other dignitaries shall not be two-sided, unless the document to be copied was originally two-sided.

1.4.3 A supervisor may specify other documents for which two-sided copying is not appropriate.

1.5 Staff receiving written documents containing information applicable to their work areas shall disseminate the information to all appropriate staff, but shall take the following conservation measures:

1.5.1 Make copies only when necessary.

1.5.2 Avoid issuing single copies to all affected staff, whenever possible, by:

1.5.2.1 Routing a single copy of the document to appropriate staff.

1.5.2.2 Posting important general information on official bulletin boards.

1.5.2.3 Making copies of reports and reference information used by a number of staff available in an accessible work area.

1.5.2.4 Forwarding scanned or electronic formats where reasonably possible.

1.6 Other conservation measures staff shall use, include:

1.6.1 Using facsimile (FAX) machines or scanning documents, only when less expensive means of delivering or transmitting information are not feasible or time is of the absolute necessity.

1.6.2 Participating in the Department's paper recycling program.

1.6.3 Maintaining files and determining Records Retention Schedules in accordance with section 103.05 of this Department Order.

1.7 Email correspondence shall be handled as outlined in Department Order #102, Information Technology.

103.05 **MANAGEMENT OF RECORDS** - The Records Management Administrator shall act as the Department's Records Officer and liaison to the Arizona State Library, Archives and Public Records.

1.1 The Records Management Administrator shall:

1.1.1 Maintain a compilation of current Department Records Retention Schedules identifying each type of record or file and retention period.

1.1.2 Review the Department Records Retention Schedules bi-annually and revise as needed. Modified Department Records Retention Schedules shall be submitted to the Deputy Director or appropriate Division Director/Assistant Director for review and approval.

1.1.2.1 Final authorization of the Department Records Retention Schedules shall be determined by the Arizona State Library, Archives and Public Records.

1.1.3 Distribute approved Department Records Retention Schedules to the Records Liaisons and their supervisors.

1.1.4 Perform records management audits to ensure compliance with the established retention schedules and records management program.

1.1.5 Assist Records Liaisons:

1.1.5.1 As they conduct a record inventory for their unit/Divisions and provide training for Records Liaisons as needed.

1.1.5.2 To determine lawful and appropriate retention schedules for records and to appropriately dispose of records purged in accordance with an approved retention schedule.

1.2 <u>Division Administrative Records Liaisons</u>

1.2.1 The Deputy Director, Division Directors and Assistant Director shall appoint an Administrative Records Liaison for their Division.

1.2.1.1 The Division Administrative Records Liaisons shall:

1.2.1.1.1 Once appointed, provide their name and contact number to the Records Management Administrator.

1.2.1.1.2 Serve as the Division representative for records management.

1.2.1.1.3 Maintain current Department Record Retention Schedules for their Division.

1.2.1.1.4 Provide Records Management Administrator with suggested Record Retention Schedule updates.

1.3 Unit Records Liaisons

1.3.1 Regional Operations Directors, Program Evaluation Administrators, Wardens, Deputy Wardens, and Bureau Administrators shall maintain current appointments of Unit Records Liaisons for their organizational units.

1.3.1.1 The Unit Records Liaison shall:

1.3.1.1.1 Once appointed, provide their name and contact number to the appropriate Division Administrative Records Liaison and Records Management Administrator.

1.3.1.1.2 Serve as their organizational unit's representative for records management.

1.3.1.1.3 Conduct periodic inventories of all administrative records retained by their unit.

1.3.1.1.4 Prepare recommended updates to Department Records Retention Schedules after conducting an inventory of records and submit to supervisor for approval.

1.3.1.1.5 Forward approved copy of recommended changes from their supervisor to their Division Administrative Records Liaisons for submittal to the Records Management Administrator.

1.4 Staff Responsibilities - All staff shall:

1.7.1 Properly document, retain and disseminate and/or dispose of the Department's records and information in accordance with this Department Order, the Department Records Retention Schedule, and General Records Retention Schedule for all State Agencies.

1.7.2 Report the destruction of public records with legal, administrative, historical or other value to Arizona State Library, Archives and Public Records in accordance with section 103.07, of this Department Order.

103.06 MANAGEMENT OF ELECTRONIC RECORDS

1.1 Electronic messages (e-mail) created or received by staff are public records if it documents the organization, functions, written instructions, decisions, procedures, operations or other activities of the Department.

1.1.1 E-mail messages that meet the definition of a public record (see DEFINITIONS) shall be managed, created, maintained and used, and disposed of, as outlined in this Department Order and as required by Arizona State Library, Archives and Public Records.

1.1.2 E-mail messages sent by staff in their official capacity using another system (for example, a personal, home e-mail system) are public records.

1.1.3 Staff who sends an e-mail message and the primary recipient shall maintain the record copy of the message.

1.2 Retention or disposition of e-mail messages shall be related to the information contained or the purpose served. The content and any attachments associated with the message are considered records.

1.2.1 Staff shall retain all e-mail records for the period of time specified on an approved records retention schedule.

1.2.2 Staff may delete e-mail messages that do not meet the criteria of a public record pursuant to Arizona Revised Statute (A.R.S.) 41-151.18, at any time, unless they become part of an official record.

1.3 For more information regarding management of electronic messages see Department Order #102, Information Technology.

1.4 Any electronic record that resides in our electronic computer systems or other electronic media must adhere to the appropriate retention schedule and/or imaging standards set by the Arizona State Library, Archives and Public Records.

1.4.1 Staff shall consult with the Records Management Administrator before implementing any digitization of a complete record series. The Records Management Administrator shall submit the Request for Document Imaging of Public Records on behalf of the Department, if needed.

103.07 DESTRUCTION OF RECORDS

1.1 Staff shall not knowingly discard or dispose of records or documents without redacting the information or destroying the records or documents pursuant to A.R.S 44-7601. This includes:

1.1.1 Records or documents that contain an individual's "personal information", such as an individual's first and last name or first initial and last name in combination with a corresponding complete:

1.1.1.1 Social security number.

1.1.1.2 Credit card, charge card or debit card number.

1.1.1.3 Retirement account number.

1.1.1.4 Savings, checking or securities entitlement account number.

1.1.1.5 Driver license number or non-operating identification license number.

1.1.1.6 Employee Identification Number.

1.1.2 Records or documents that contain restricted, confidential or sensitive material.

1.2 Staff shall prepare the Report/Certificate of Records Destruction Form or the Single Request for Records Destruction Form, available on the Arizona State Library, Archives and Public Records website (www.azlibrary.gov), and submit it to the Records Management Administrator, prior to destruction of records or documents. The Records Management Administrator shall submit the form(s) to the Arizona State Library, Archives and Public Records.

103.08 REQUIREMENTS FOR POSTING INFORMATION - Several federal and state laws require that advisory information be posted on official bulletin boards. Attachment B provides a list of required notices.

1.1 Employees and others are prohibited from removing required information from bulletin boards (except that employees may remove it for a few minutes for the purpose of reading and/or duplicating a document).

1.2 Supervisors at all levels, and assigned bulletin board coordinators, shall ensure that required information is:

1.2.1 Obtained or duplicated and then permanently posted on the premises of each work site, as required by statute, where it can be readily seen and read by employees, applicants for employment, visitors and others.

1.2.2 Posted in a timely manner and kept current.

1.3 The posting of other information shall be conducted as outlined in Department Order #111, Solicitation.

DEFINITIONS

ACCOUNTABILITY LINE - The line that shows who signed the letter/document, who authored the letter/document and who typed it.

COMPLETE CORRESPONDENCE FILE - The incoming correspondence, the transmittal memorandums, if any; the Department's response and supporting documentation, if any.

COURIER MAIL - Mail sent from one Department location to another Department location or to another state agency and delivered by a Department courier.

DEPARTMENT RECORDS RETENTION SCHEDULES – Is a schedule, approved by the Arizona State Library, Archives and Public Records, which identify the length of time specific Department records series must be kept prior to final disposition.

DIVISION ADMINISTRATIVE RECORDS LIAISONS - Staff designated by Deputy Director, Division Directors and Assistant Director to coordinate the management of inventories of administrative records and assist Unit Records Liaisons in determining appropriate retention schedules and disposition of records.

ELECTRONIC RECORDS – Any records that reside in electronic computer systems or other electronic media. Those records created in an electronic/digital environment are referred to as “digital born” and may well spend their entire life-cycle in this form.

EXTERNAL MAIL - Sealed mail processed through the United States Postal Service or other commercial carrier.

GENERAL RECORDS RETENTION SCHEDULES – Are schedules, published and maintained by the Arizona State Library, Archives and Public Records (www.azlibrary.gov), which are comprised of record series that are common to all state agencies. The General Records Retention Schedules ensure consistent and standardized retention periods for similar record series.

INTERAGENCY MAIL - Mail sent from a Department location to another state agency through a Department or DOA mailroom.

INTERNAL MAIL - Mail sent from one Department location to another Department location through a Department mailroom.

LEGISLATIVE LEADERSHIP - The Senate President, the Speaker of the House, the Majority and Minority leaders, the Chairpersons of the Appropriations Committees.

LOCAL OFFICIAL MAIL - Any mail signed by a city/county-elected official or agency head.

NATIONAL/STATE OFFICIAL MAIL - Any mail signed by a national/state-elected official or agency head.

PUBLIC INFORMATION RECORDS - Information contained in public records that was collected by staff for dissemination to the public, or which would serve as a memorial of official transactions for public reference.

PUBLIC RECORDS - Books, papers, letters, documents, maps, plans, photographs, audio or video recordings, management information systems, or other documentary material, regardless of physical form or characteristic, including prints or copies of items produced or reproduced on film or electronic media which were lawfully made or received by the Department. Records are preserved as evidence of the Department's organization, functions, written instructions, decisions, procedures, operations or other activities. Reference books; extra copies of records; and stocks of publications or documents, which are intended for distribution or sale are not considered records.

RECORDS LIAISONS - Staff designated to coordinate the management of inventories of records for their unit or Division.

RECORDS MANAGEMENT ADMINISTRATOR – A staff member assigned to Legal Services and has been appointed as the Department's Records Officer and liaison with Arizona State Library, Archives and Public Records, and is responsible for the administration of the records retention schedules and records management program.

UNIT RECORDS LIAISON – Staff designated by the Regional Operations Directors, Program Evaluation Administrators, Wardens, Deputy Wardens, and Bureau Administrators to coordinate the management of appropriate retention schedules and inventories.

{Original Signature on File}

Charles L. Ryan
Director

ATTACHMENTS
Attachment A - Correspondence Style Guide
Attachment B - List of Notices

CROSS-REFERENCE INDEX

Department Order #101, System of Written Instructions
Department Order #102, Information Technology
Department Order #105, Information Reporting
Department Order #106, Contract Beds
Department Order #111, Solicitation
Department Order #114, Forms Management System
Department Order #201, Legal Services – Information Release
Department Order #302, Contracts/Procurement System
Department Order #403, Maintenance
Department Order #405, Vehicles/Vehicle Maintenance
Department Order #505, Employee Benefits
Department Order #510, Firearms Qualification/Firearms Instructor Certification
Department Order #519, Employee Health – FMLA, ADA, Industrial Injury, FFD and Alternate Assignment
Department Order #527, Sexual Harassment and Employment Discrimination
Department Order #601, Administrative Investigations and Employee Discipline
Department Order #602, Background Investigations
Department Order #702, Key Control
Department Order #902, Inmate Legal Access to the Courts
Department Order #1104, Inmate Medical Records

AUTHORITY

A.R.S. 39-101, Public Records.
A.R.S. 41-151.14, State and Local Public Records Management.
A.R.S. 41-151.15, Preservation of Public Records.
A.R.S. 41-151.16, Production and Reproduction of Records.
A.R.S. 41-151.18, Definition of Records.
A.R.S. 41-151-19, Determination of Value; Disposition.
A.R.S. 41-4172, Anti-identification Procedures.
A.R.S. 44-7601, Discarding and Disposing of Records Containing Personal Identifying Information.
State Records Management Manual, Department of Library, Archives and Public Records (ASLAPR).

ATTACHMENT A
DEPARTMENT ORDER 103

ARIZONA DEPARTMENT OF CORRECTIONS
STYLE GUIDE
(Director's Correspondence)

APRIL 3, 2014

DEPARTMENT GUIDELINES FOR CORRESPONDENCE AND MEMORANDUMS

The Director expects that any staff member who prepares correspondence or instructions for his signature will use proper grammar. The current edition of the Gregg Reference Manual is the appropriate source for grammar and style.

- The Director's office will edit documents for style, format, usage and grammar; however, authors are ultimately responsible for the document and any deadlines related to it. The author should include a critical editing/proofreading process, to include grammar and spelling, when drafting documents for the Director.

- Final drafts should be submitted for signature (the Director's office may request the electronic copy i.e., CD or by e-mail.)

STYLE -Except where there is a different, pre-approved project format, the default style will use Times New Roman, 12-point pitch font with "FULL" Justification.

MARGINS - The default margin is 1 inch on all sides. You may adjust the bottom margin - no smaller than 0.5 inch. The right and left margins may be adjusted as well. When preparing correspondence, which you expect to print on letterhead, the top margin will be 2.6 inches. Subsequent pages will use a 1inch default margin. The appearance of the document should be the main consideration.

Deputy Director, Division Directors, Assistant Director, and Bureau Administrators may approve a specific format for a particular project or report. Such approvals will not include letters prepared for the Director's signature. Individual letters and memos that the Director signs, will always use the font and style outlined in this guide.

REFERENCE LINE - As shown in the examples, it may be necessary on letters to include a reference line written as "RE:". On a memorandum a "SUBJECT:" line is used.

PAPER - For letters the Director will sign, the first page will be buff bond letterhead; subsequent pages are to be plain buff bond. Use the buff for the Deputy Director and the Division Directors/Assistant Director as well. Letters signed by other agency managers will use white bond letterhead with copper seals, subsequent pages are white bond. Memorandums and routine intra-agency correspondence will be on regular grade white paper. Envelopes will correspond in color and paper grade.

ACRONYMS - The use of acronyms is discouraged, except in cases where the usage has become accepted language. Where an ACRONYM is used, the first use in a letter or memorandum will spell the item out; the acronym is identified in parenthesis. For example - The Arizona Department of Administration (ADOA) will determine. . ., is an acceptable use.

- You may use the acronym ADC when referring to the Arizona Department of Corrections. You may use the term "Department" as well. Use the rule for first use identified above. Pick one and use it consistently. Do not use other terms, such as agency or ADOC.

- For the Director's correspondence use the acronym rule for identification of a specific institution. Spell out Arizona State Prison Complex. For example, Arizona State Prison Complex - Eyman, Cook Unit (ASPC-Eyman, Cook Unit). Thereafter you may use ASPC.

BEGINNING A LETTER - When responding to a specific inquiry, begin the letter – "Thank you for your recent [identify the letter, e-mail or other document], dated [actual date of correspondence], regarding. . ." or "Thank you for your telephone call concerning. . ." The second sentence will be a variation of this sentence. "I asked [describe who, including full name and position] to research your concern and s/he advised accordingly." As an alternate, " . . . advised me of the following information," is acceptable.

CLOSING - When appropriate, a correspondent may be referred to a specific staff member for further assistance. Include the person's name, title, phone number *and* address.

ENCLOSURE/ATTACHMENT - For letters or other correspondence**,** any document(s) included with the letter is an **"**Enclosure(s)." For a memo such documents are "Attachment(s)."

COMMON PROBLEMS - Following are some common issues and acceptable solutions.

- When referring to Arizona law, the correct usage is Arizona Revised Statutes. The term is plural. In writing it is "A.R.S. ' 41-1604. Duties and powers of the director." Note that only the first word is capitalized. ' is the symbol for section and is always used when referring to statutes, either federal or state.

- Refer to legal cases as follows: Doe v. Smith, or . . . in reference to the Doe case.

- When referring to a specific Department Order the correct format is Department Order (DO) #911, Inmate Visitation. Later references are to "DO."

- Addresses - It is important to address Arizona state government officials correctly. Following are examples.

The Honorable Tim Bee, President Arizona State Senate 1700 West Washington Phoenix, Arizona 85007	The Honorable Jim Weiers Arizona House of Representatives 1700 West Washington Phoenix, Arizona 85007
Dear President Bee:	Dear Representative Weiers:

- Addresses in General - Correct examples may be found in the Gregg Reference Manual or in the sample letters included in this guide.

- Appearance - Font, margin and other format styles are intended to create a consistent pleasing appearance for Department correspondence.

  Where practical, letters and memorandums should not exceed one page. If necessary, font sizes may be adjusted using an 11 or 10 point font. Adjust the margins**;** not line spacing.

  If a second page is necessary, use a pleasing page break. Never break and leave the closing alone. Splitting a sentence or paragraph usually is not appropriate. At least two sentences of a paragraph should remain on page one and two on the top of page two.

- Language - Avoid outdated, overused phrases, slang and jargon. Some examples are phrases such as:

  "Enclosed herewith please find" *Concisely put, "Enclosed is…."*

  "Needless to say." *Why say it?*

  "Be advised." *Stiff and somewhat rude!*

TITLES - In general, titles are to be treated as a proper noun when referring to a class or to a specific individual. For example *C*orrectional *O*fficer will begin with capital letters. Individual units or work area titles are to be capitalized as well i.e., the *S*tiner *U*nit or the *O*ffender *S*ervices *B*ureau. Non-specific uses are to be lower case, for example, "prison units," or "shift supervisors."

STAFF WORK/BACKGROUND INFORMATION -

- Place a >sign here or colored tab <u>everywhere</u> the Director is requested to sign; if there are multiple signatures, be sure to place tabs in a staggered order, so the Director can locate each place to sign.

- If the document for signature is in a folder, place all backup information on the inside of the folder, with the letter to be signed paper clipped on top with a tab at the signature location. If included, a transmittal memo to the Director regarding correspondence to be signed may be clipped either on top of, or on the left inside of the folder.

- Date correspondence at least one day ahead of the date it is submitted. Keep in mind that the Director's schedule may not always allow time for him/her to review and sign a document the same day it is submitted. ***Hint: A letter submitted to the Director's office late on a Thursday afternoon is best dated for the next Monday.***

  For certain items, for example a Director's Instruction, distribution is an issue and it may be best to leave the date blank until actual distribution.

- Project Numbers. The examples shown include proper placement and use of project numbers. It is possible for a single piece of correspondence to have both a Director's office number and an Action Form number from the Governor's office.

  Courtesy Copies (cc:): Keep copies to a minimum. Usually, only those staff who have had a direct interest in the specific case will get a copy along with the inmate involved.

  In most cases, when responding on behalf of the Governor, we will not send a copy directly to the Governor. Instead, the copy goes to the Governor's Office for Constituent Services. (See the examples.)

- Remember the rule of thumb, "Can it pass the headline test?"

SAMPLE MEMORANDUM AND CORRESPONDENCE

GENERAL

Current Date[¶]*Microsoft Word symbol for hard return (Paragraph)* FONT: TIMES NEW ROMAN, 12 POINT
[¶]
[¶]
[¶]
Mr. Dave Peterson[¶] Top margin: 2.6
Manager[¶] Bottom margin: 1" standard adjustable to 0.5"
Westfield Research and Consultation[¶] Left margin: 1" standard adjustable to 0.5"
3672 West McClintock Drive, Suite 1413[¶] Right margin: 1" standard adjustable to 0.5"
Dayton, OH 50585[¶]
[¶]
Dear Mr. Peterson:[¶]
[¶]
Thank you for your e-mail dated April 16, 2013 to Governor [name] regarding employment opportunities with youth in Arizona. Governor [name] office has forwarded your e-mail so that I may respond on his/her behalf.[¶]
[¶]
The Arizona Department of Corrections (ADC) employs personnel to work with adult offenders. Accordingly, I must refer you to the Arizona Department of Juvenile Corrections if you wish to pursue a career dealing entirely with juvenile offenders. I have enclosed job specifications for your review and information. You may contact [name], Arizona Department of Juvenile Corrections Recruitment Unit at [telephone number] for additional information, or you may access their website at www.azdjc.gov. [¶]
[¶]
Sincerely,[¶]
[¶]
[¶]
[¶]
[Director's name][¶]
Director[¶]
[¶]
DN/MM/lls[¶] Accountability initials. The typist's initials will be lower case.
[¶]
Enclosures[¶]
[¶]
cc: Governor's Office of Constituent Services, Agency Action Form #111173[¶] *Governor's project number*
[¶]
A4100H[¶] *Department project number using a smaller font*
[¶] *Web page centered* - https://corrections.az.gov/

Current Date[¶]*Microsoft Word symbol for hard return (Paragraph)* FONT: TIMES NEW ROMAN, 12 POINT
[¶]
[¶]
[¶] Top margin: 2.6
MaryAnn Davis[¶] Bottom margin: 1" standard adjustable to 0.5"
Post Office Box 1671[¶] Left margin: 1" standard adjustable to 0.5"
Chatsworth, California 91313-3726[¶] Right margin: 1" standard adjustable to 0.5"
[¶]
Re: Inmate Darwin Jones, ADC #2001235[¶] Reference Line, if appropriate
[¶]Dear Ms. Davis: [¶]
[¶]
Thank you for your faxed letter dated February 21, 2013, addressed to the Office of Governor [name] concerning inmate Darwin Jones. Your letter was forwarded so that I may respond on behalf of the Governor.[¶]
[¶]
At my request, [name], Bureau Administrator, Health Services Division, Arizona Department of Corrections (ADC), has reviewed inmate Jones′ medical record. He has advised me that inmate Jones has had surgery and that recovery is expected.[¶]
[¶]
I appreciate the opportunity to respond to your concerns and wish to assure you that ADC remains committed to the provision of appropriate health care for the medical needs of inmates. Should you have any questions or concerns please contact [Heath Services Bureau Administrator's name] at [address] or by phone at [telephone number].[¶]
[¶]
Sincerely,[¶]
[¶]
[¶]
[¶]
[Director's Name][¶]
Director[¶]
[¶]
DN/CSS/raz[¶]Accountability initials. The typist′s initials will be lower case.
[¶]
Enclosures[¶]
[¶]
cc: Governor′s Office of Constituent Services, Agency Action Form #01-12796[¶]*Governor′s project number*
Inmate Darwin Jones, ADC #2001235[¶]
[¶]
A4100H[¶] *Department project number using a smaller font*
[¶] *Web page centered* - https://corrections.az.gov/

ARIZONA DEPARTMENT OF CORRECTIONS[¶]

[¶]*Microsoft Word symbol for hard return (Paragraph)*

SUPPORT SERVICES DIVISION[¶]

[¶]

MEMORANDUM[¶]

[¶]
[¶]
[¶]

TO: SEE DISTRIBUTION[¶]

[¶]

FROM: James E. Kirsch, Administrator, Planning, Budget and Research Bureau

[¶]

DATE: November 20, 2013[¶]

[¶]

SUBJECT: Sample Memorandum Form[¶]

[¶]
[¶]

This is a sample of what a memorandum should look like. All bureaus/units should use a memo format that is synchronized in appearance. Your font will be **TIMES NEW ROMAN 12 POINT**.[¶]

[¶]

The margins should be 1 inch on all sides. The bottom, left and right margins may be adjusted to no less than **0.5** inch. All of the italicized, large and bold words on the left are hard returns with the exact number you should see in your memorandum. Type the date, do not use the automatic feature.[¶]

[¶]

Be sure that when you are including copy recipients (cc:) to your memorandum you use the person's name, title and work location.[¶]

[¶]

JEK/AMZ/s[¶]Accountability initials.

[¶]

Attachment[¶]

[¶]

<u>DISTRIBUTION</u>[¶]

[¶]

Susan Hanson, Administrator, Human Services[¶]
Joe Smith, Administrative Assistant, Offender Operations[¶]
Debbie Jones, Program and Projects Specialist I, Community Corrections[¶]

[¶]

cc: Janette Gonzales, Engineer, Goodwill Corporation[¶]

[¶]

A00500H [¶] *Department project number using a smaller font*

[¶]

Mr. Leo Jones[¶]
November 10, 2013[¶]
Page Two[¶]
[¶]
[¶]
[¶]
This is exactly how the second page of a letter should look, when a second page is needed. Your margins will be 1 inch from this point on.[¶]
[¶]
If you have a two page letter, the closing, accountability initials, enclosure, cc′s and project number go at the end of the second page.[¶]
[¶]
Sincerely,[¶]
[¶]
[¶]
[¶]
[Director's name][¶]
Director[¶]
[¶]
DN/AMZ/s[¶]Accountability initials.

April 23, 2013[¶]

FONT: TIMES NEW ROMAN, 12 POINT

[¶]
[¶]
[¶]
Mr. Dave Peterson[¶]
Manager[¶]
Westfield Research and Consultation[¶]
3672 West McClintock Drive, Suite 1413[¶]
Dayton, OH 50585[¶]

Top margin: 2.6
Bottom margin: 1" standard adjustable to 0.5"
Left margin: 1" standard adjustable to 0.5"
Right margin: 1" standard adjustable to 0.5"

[¶]
Dear Mr. Peterson:[¶]
[¶]
Thank you for your letter dated April 16, 2013 regarding the delivery of Christmas packages. This issue has been investigated by my staff.[¶]
[¶]
When drafting a letter for the Director′ s signature use buff letterhead. Use the buff for the Deputy Director and the Division Director's/Assistant Director as well. For all other letters use the white paper with copper decals.[¶]
[¶]
Since the information you provided was limited, the findings of my investigation are inconclusive. Therefore, no action will be taken at this time.[¶]
[¶]
Thank you for your interest or concern.[¶]
[¶]
Sincerely,[¶]
[¶]
[¶]
[¶]
Ann B. Sullivan [¶]
Operational Planning Division [¶]
[¶]
ABS/AMZ/s[¶]Accountability initials.
[¶]
Enclosure [¶]
[¶]
cc: Amanda Spock, Engineer, Goodwill Corporation [¶]
James Anderson, Program and Project Specialist, Policy Unit [¶]
[¶]
DO00500A [¶] *Department project number using a smaller font*
[¶]

Web page centered - https://corrections.az.gov/

July 27, 2013[¶] FONT: TIMES NEW ROMAN, 12 POINT
[¶]
[¶]
[¶]
Mr. Adam Johnson[¶]
1831 Brandon Iron Road[¶]
Willcox, Arizona 85643[¶]
[¶]
Dear Mr. Johnson: [¶]
[¶]
Thank you for your recent letter regarding reconsideration of your disqualification from the Correctional Officer hiring process. [¶]
[¶]
After a review of this matter, I find that you have been appropriately disqualified from the Correctional Officer hiring process. In accordance with rules promulgated by the Arizona Peace Officer Standards and Training Board, your arrest in 1995 automatically renders you ineligible to hold a position as a Correctional Officer with the Arizona Department of Corrections. [¶]
[¶]
I appreciate the opportunity to respond to your concerns and wish you the best of luck in future endeavors.[¶]
[¶]
Sincerely, [¶]
[¶]
[¶]
[¶]
[Director's name] [¶]
Director[¶]
[¶]
DN/DL/rh [¶] Accountability initials. The typist's initials will be lower case.
[¶]
D022800A [¶] *Department project number using a smaller font*

Web page centered – https://corrections.az.gov/

SAMPLE MEMORANDUM

DIRECTOR′S CORRESPONDENCE

APRIL 3, 2014

STANDARD RESPONSE TO ARIZONA TAXPAYERS WHO ARE NOT RELATIVES OF INMATE

Date

Name
Street
Address

RE: Inmate John Doe, ADC #98765432

Dear:

Thank you for your recent letter concerning inmate [name] regarding [refer to circumstance]. As you can imagine, the Arizona Department of Corrections (ADC) receives an inordinate amount of mail regarding inmates and has only limited resources to respond to these inquiries.

The ADC will determine if the issues contained in your correspondence have merit. If the issues do have merit, an investigation will be conducted and appropriate corrective action will be taken. However, unless additional information is required from you, this letter will be the final response regarding this matter.

Sincerely,

[Director's name]
Director

DN/VAB/s

EXAMPLE

STANDARD RESPONSE TO LETTER FORWARDED FROM THE GOVERNOR'S OFFICE TO ARIZONA TAXPAYERS WHO ARE NOT RELATIVES OF AN INMATE

Date

Name
Street
Address

RE: Inmate Jon Doe, ADC #98765432

Dear:

Thank you for your recent letter to Governor [name] concerning inmate Doe regarding [refer to circumstance]. The Office of the Governor has forwarded your letter so that I may respond on his/her behalf. As you can imagine, the Arizona Department of Corrections (ADC) receives an inordinate amount of mail regarding inmates and has only limited resources to respond to these inquiries.

The ADC will determine if the issues contained in your correspondence have merit. If the issues do have merit, an investigation will be conducted and appropriate corrective action will be taken. However, unless additional information is required from you, this letter will be the final response regarding this matter.

Sincerely,

[Director's name]
Director

DN/VAB/s

cc: Governor's Office of Constituent Services, Agency Action Form #01-12796

EXAMPLE

STANDARD RESPONSE TO ATTORNEY CONCERNING CLIENT'S COMPLAINTS

Date

Esq.
, AZ 85000

RE: Inmate ADC #

Dear:

Thank you for your recent letter concerning complaints from your client, inmate [name]. I asked [name], Bureau Administrator, Health Services to research the [medical] concerns and he/she advised as follows.

The Arizona Department of Corrections (ADC) has addressed inmate [name]'s [medical condition] needs in a timely and professional manner.

I asked [name] Warden, ASPC- [location] to research inmate [name]'s complaint concerning [complaint]. Warden [name] provided the following information.

If you require additional information, please contact [Health Services Bureau Administrator's name] at [telephone] or Warden [name] at [telephone].

Sincerely,

[Director's name]
Director

DN/vab

cc: [name], Bureau Administrator, Health Services
[name],Warden, ASPC-
I/M CO File

EXAMPLE

STANDARD RESPONSE TO FAMILY MEMBER CONCERNING COMPLAINTS REGARDING INMATE'S TREATMENT

Date

RE: Inmate Jane Doe, ADC #4445555

Dear:

Thank you for your recent letter concerning complaints from your [relation] inmate [name]. I asked [name] Warden, ASPC- [location] to research inmate [name] complaint concerning [complaint]. Warden [name] provided the following information.

If you require additional information, please contact Warden [name] at ASPC-[location, with mailing address] or telephone [--].

Sincerely,

[Director's name]
Director

DN/vab

cc: [name], Warden, ASPC-
I/M CO File

EXAMPLE

STANDARD RESPONSE TO LETTER REGARDING MOVING AN INMATE CLOSER TO PHOENIX/HOME

Date
Name
Street
Address

RE: Inmate Jon Doe, ADC #98765432

Dear:

Thank you for your recent letter in which you inquired about having your [relation] moved to [name prison] which is closer to your home. I empathize with your wish to have your [relation] placed closer to your home. However, because of the large number of inmates in our system, we do not have the resources to relocate inmates for the reason of family hardship, when inmates are already housed at the appropriate custody level. Therefore, we are unable to accommodate your request.

You may contact [name], Inmate Family and Friends Liaison for the Arizona Department of Corrections, at [telephone number]. The coordinator will be happy to work with you in contacting community organizations that can assist with your transportation or other issues.

Sincerely,

[Director's name]
Director

DN/VAB/s

EXAMPLE

STANDARD RESPONSE TO REPEAT AND ABUSIVE LETTER WRITERS

Date
Name
Street
Address

RE: Inmate John Doe, ADC #98765432

Dear:

Thank you for your recent letter concerning your [relation, inmate's name]. As you know, the Arizona Department of Corrections (ADC) has devoted considerable resources in the past to respond to your numerous letters regarding your [relation]'s well being. Regrettably, rather than satisfying your inquiries and requests, our responses to your correspondence seem only to stimulate further letters and complaints from you. Although I can sympathize with the difficulties and worries associated with having a [relation] in prison, I hope that you will understand in turn my responsibility to use the ADC's resources efficiently. Additionally, I have reviewed our response to your last letter, and I believe that it adequately addressed your questions and complaints.

Your future letters to the Department will be read and given due consideration. However, please be informed that henceforth the Department will not reply to your correspondence unless your concerns are found to have merit. Of course, you and your [relation] can still avail yourselves of legal remedies in the court, if you believe that your claims have merit and you have not received appropriate ADC attention.

Sincerely,

[Director's name]
Director

DN/VAB/s

EXAMPLE

DIRECTOR′S APPOINTMENT LETTERS

- All uncovered position appointments must be approved by the Director.
- Post-date letters by two or three days.
- Include the candidate′s resume (whether internal or external).
- Prepare and include a transmittal memorandum addressing the background of the candidate and why he or she has been chosen. Include a justification for salary recommendation.
- Consider the length of time it may take to receive approval when deciding the effective date.

DIRECTOR′S APPOINTMENT TO AN UNCOVERED POSITION

May 23, 2013

[Inside Address]

[Salutation]:

Congratulations! Effective [DATE], you are appointed to the position of [TITLE OF POSITION] in the [of area, i.e., Human Services Bureau], position number[#], grade[#]. This is an uncovered position, and your annual salary will be [AMOUNT].

In this position, you serve at the pleasure of the Director of the Arizona Department of Corrections. This position is not subject to Personnel Rules in accordance with Arizona Revised Statutes '41-771.

Sincerely,

[Director's name]
Director

DN/CV/s

cc: Alan Jones, Administrator, Human Services Bureau
John Smith, Administrator, Personnel Services
Ellen Andrews, Administrator, Personnel Administrative Services

EXAMPLE

ATTACHMENT B
DEPARTMENT ORDER 103

LIST OF NOTICES

Title of Poster; Authority; How to obtain

AMERICANS WITH DISABILITIES ACT (ADA) NOTICE – Federal Equal Employment Opportunity Commission, Phoenix Field Office at (602) 640-5000 or (800) 669-4000. A copy of the ADA Notice is attached to Department Order #108, Americans With Disabilities Act (ADA) Compliance.

EQUAL EMPLOYMENT OPPORTUNITY IS THE LAW - Including the Americans with Disabilities Act. Federal Equal Employment Opportunity Commission, Phoenix Field Office at (602) 640-5000 or (800) 669-4000

NOTICE TO EMPLOYEES OF RIGHTS UNDER FAMILY MEDICAL LEAVE ACT (FMLA) - From Department Order #519, Employee Health – **FMLA, ADA, Industrial Injury, FFD and** Alternate Assignment. This notice provides an explanation of the FMLA's provisions and information concerning the procedures for filing complaints of violations of the FMLA with the Wage and Hour Division of the U.S. Department of Labor.

DISCRIMINATION PROHIBITED POSTER - State Non-Discrimination poster and Handicap Discrimination poster. Arizona Civil Rights Division, Office of the Attorney General, at (602) 542-5263.

MINIMUM WAGE/OVERTIME/CHILD LABOR/EQUAL PAY POSTER - Federal Wage Hour Division, Employment Standard Administration, U.S. Department of Labor, at (866) 487-9243.

OCCUPATIONAL SAFETY & HEALTH ACT POSTER - Industrial Commission of Arizona, in Phoenix at (602) 542-5795, and in Tucson at (520) 628-5478.

OCCUPATIONAL SAFETY & HEALTH ACT - U.S. Department of Labor, Office of Occupational Safety & Health, at (866) 487-9243. Note: A summary poster (Form 200) is required to be posted each February for one month, listing all illnesses and injuries the prior year. Posters are available from the Industrial Commission of Arizona, in Phoenix at (602) 542-5795, and in Tucson at (520) 628-5478.

UNEMPLOYMENT INSURANCE POSTER - Arizona Department of Economic Security, in Phoenix at (602) 771-6606, and in Tucson at (520) 628-6820.

WORKERS' COMPENSATION POSTER - Must also have the rejection forms available, as indicated in the notice. Risk Management Section, in Phoenix at (602) 542-5218.

POLYGRAPH PROTECTION ACT POSTER - U.S. Department of Labor and Employment Standards Administration, Wage Hour Division, at (866) 487-9243; or the EEOC (602) 640-5000 or (800) 669-4000.

HAZARDOUS MATERIAL INFORMATION - Required for work-sites where chemicals are used, which notes emergency phone numbers and locations of the Material Safety Data Sheets. Available from the chemical provider, on MSDS forms that comply with OSHA's Hazard Communication Standard, 29 CFR 1910.1200.

ANNOUNCMENTS (All announcements of transfer and promotional opportunities in state government**)** - The Arizona Department of Corrections Personnel Administrative Services Unit, at (602) 771-2100.