

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 600</p> <p>INSPECTOR GENERAL</p>	<p>OPR:</p> <p>DIR</p>
	<p>DEPARTMENT ORDER: 606</p> <p><i>INTERNAL INSPECTIONS PROGRAM</i></p>	<p>SUPERSEDES:</p> <p>DO 606 (06/18/08)</p>
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PURPOSE

This Department Order establishes a comprehensive method for evaluating Department operations. The inspections program includes inspections at the institutional level and inspections at the agency level utilizing established general principals of inspections. Inspections shall be conducted using evidence-based data gathering methods and shall be designed to assist in ensuring compliance with directives and developing best practices through sound correctional principals.

RESPONSIBILITY

The Deputy Director:

- Through the office of the Inspector General, is responsible for overall management of the Department's Internal Inspections Program.
- In consultation with agency Division Directors, is responsible for establishing inspection schedules.

The Division Directors are responsible for:

- Determining the need for inspections in their area of responsibility and coordinating scheduling and resource management for conducting inspections.
- Coordinating and documenting corrective action plans for areas where an inspection has revealed discrepancies or noncompliance with statute, standards or other written instruction.
- Establishing timeframes, and completion dates for corrective action plans.
- Briefing the Director and other executive staff on results of inspections and action plans.

The Inspector General, through the Inspections Unit, is responsible for collecting and reporting information developed during each inspection.

Regional Operations Directors, or other regional managers in consultation with the respective Division Directors, are responsible for:

- Reviewing inspection reports and action plans.
- Ensuring corrective measures are adequate, implemented and maintained.
- When necessary, coordinating with the Inspections Unit in identifying areas of significance and/or concern in individual inspections.

The Inspections Unit through the Inspector General is responsible for conducting inspections as assigned.

Wardens, in conjunction with the Inspections Unit and Regional Operations Directors, are responsible for coordination of inspections conducted at their institution, and development of all associated corrective action plans.

PROCEDURES

- 606.01 INTERNAL INSPECTIONS** - Internal Inspections are conducted by the Department and may be compliance-based, performance oriented, or a systems inspection for effectiveness. Only the Director, Deputy Director and Division Directors are authorized to request an inspection.
- 1.1 Inspections may include, but are not limited to:
 - 1.1.1 Contract Inspections - A detailed, systematic evaluation of contractor and departmental compliance with a contract providing services or goods to the Department such as Food Service, Inmate Store operations and contract bed facilities.
 - 1.1.2 After-Action Assessments – Inspections which may assist in evaluating Department systems and processes or developing information as part of the review of any significant incident or any other situation in which an evaluation is deemed necessary.
 - 1.1.3 Vulnerability Assessments – An evaluation designed to identify deficiencies in a security system. Such an evaluation may include system tests, security challenges or other methods of determining the effectiveness of the system.
 - 1.1.4 Compliance Inspections – Evaluations of operational compliance with agency policy, department orders, or other written instruction.
 - 1.1.5 Other special reviews.
 - 1.2 The Inspections Unit may modify the evaluative process to fit the individual circumstance of an inspection.
 - 1.3 The Director, Deputy Director, Division Director or Inspector General may identify an issue which should be evaluated in conjunction with an inspection.
 - 1.4 In collaboration with the Director or Deputy Director and appropriate Division Director the Inspections Unit may recommend special reviews or inspections for consideration.
 - 1.5 The Inspections Unit develops data collection instruments, conducts reviews, assesses and analyzes data. The Inspections Unit shall:
 - 1.5.1 Facilitate inspections to include management of processes, resources and staff dedicated to each inspection.
 - 1.5.2 Collect data as outlined in this Department Order.
 - 1.5.3 As required, disseminate information obtained through individual inspections to the Director, Deputy Director and appropriate Division Director.

- 1.5.4 Provide technical assistance to staff who request an inspection.
- 1.6 In consultation with the Director, Deputy Director or appropriate Division Director, the Inspections Unit shall identify source material to be prepared as Data Collection Instruments (DCIs). Such material may include:
 - 1.6.1 State and Federal statutes.
 - 1.6.2 Department Orders, Director’s Instructions or other written directives.
 - 1.6.3 Correctional standards published by professional organizations, when approved by the Director, Deputy Director or appropriate Division Director.
 - 1.6.4 Other material, such as Post Orders, when approved by the Director, Deputy Director or appropriate Division Director.
- 1.7 The Inspections Unit may monitor corrective action plans to bring the institution or system into compliance with written requirements as required by the Director, Deputy Director or appropriate Division Director.

606.02 REQUESTING AND SCHEDULING AN INSPECTION - Internal Inspections conducted by the Inspections Unit shall be coordinated through the Inspector General.

- 1.1 Inspections shall be conducted as scheduled.
- 1.2 The Inspections Unit shall conduct inspections as outlined in section 606.01 of this Department Order.
- 1.3 The requestor, in consultation with the Inspector General, shall recommend the scope of the inspection.
- 1.4 The Inspections Unit shall determine appropriate methodologies, develop DCIs and advise the requestor regarding time frames for completion and reporting requirements.
- 1.5 Required reports, data and distribution of information shall be determined by the Deputy Director in consultation with the Inspector General.
- 1.6 The requestor shall provide support to the Inspections Unit as needed.

606.03 REPORTS/DATA COLLECTION - The Inspections Unit shall collect data and reports from each inspection.

- 1.1 Reporting shall include at a minimum:
 - 1.1.1 An inspections report which identifies the scope of the inspection, the methodology used, the inspections team members, summary of the inspection findings and any other information determined to be relevant.
 - 1.1.2 Results of the inspections, which are reported as findings.

- 1.1.3 Recommendations when appropriate.
- 1.2 When an inspection identifies an agency-level issue, the issue shall be reported in writing to the respective Division Director(s) or designee.
- 1.3 On a schedule determined by the Inspector General, inspections data shall be reported:
 - 1.3.1 To the Office of Primary Responsibility (OPR), for consideration in modifying, changing or updating Department Orders or other written instruction.
 - 1.3.2 To the Staff Development and Training Bureau for use in determining training needs.
 - 1.3.3 Other agency staff as needed.
- 1.4 Inspection reports shall be prepared and distributed as determined by the requestor in consultation with the Inspections Unit.
- 1.5 When appropriate, any report may be distributed electronically, as a hard copy or both.
 - 1.5.1 All electronic copies shall be noted as confidential during transmission.
- 1.6 Data collected regarding findings, frequency of findings and other relevant data shall undergo appropriate analysis and be reported as required.
 - 1.6.1 An Annual Audit Analysis shall be conducted to identify systemic or repeat compliance issues based on inspections and GAR reviews conducted throughout the year.
 - 1.6.2 Division Directors shall ensure systemic or repeat compliance issues are addressed within their areas of responsibility.

606.04 GREEN AMBER RED (GAR) REVIEW – The Inspections Unit shall, in accordance with Department Order #703, Security/Facility Inspections:

- 1.1 Follow up on amber and red discrepancies reported prior to a scheduled or requested inspection.
- 1.2 Observe the reported corrective action plan and submit a report to the Inspector General, verifying all corrective actions have occurred.
- 1.3 During inspections conduct a comparison analysis of both GAR and annual inspection data to determine if GAR competencies require revision.

606.05 INSPECTION PROGRAM REVIEW – When appropriate, the Inspections Unit shall conduct reviews of the Internal Inspections Program, which shall focus on improving the quality of inspections and ensuring appropriate methods and technical information are being used while conducting inspections.

- 1.1 The Inspector General may convene ad-hoc teams consisting of technical experts working in concert with Inspections Unit staff.
 - 1.1.1 The Inspector General shall request staff be assigned from other divisions as needed.

- 1.1.2 A group may be formed to review or in support of other potential review areas as outlined in section 606.01 of this Department Order.

IMPLEMENTATION

The Inspector General shall ensure internal procedures addresses at a minimum:

- Requirements for facilitating an inspection shall include:
 - Preparation of materials for Wardens, and other staff involved in the process.
 - Reporting requirements.
 - Report preparation and distribution.
 - Travel arrangements for Inspections Unit staff.
- Guidelines for conducting inspections shall include:
 - Methodologies.
 - Development of DCIs.
 - General inspection standards.
 - Report writing.
 - Data collection and analysis of both annual inspection reports, and GAR facility inspections.

Within 90 days of the effective date of this Department Order, Division Directors shall evaluate their areas of responsibility and coordinate with the Inspections Unit to ensure appropriate operational or statutory responsibilities are included in all inspection programs requested.

DEFINITIONS

CORRECTIVE ACTION PLAN – A formal plan developed by the Warden or applicable Program Administrator, which addresses and corrects any issue identified as a finding in an inspection. Corrective action plans are submitted to the Division Directors, in written form and included in the final inspection report.

AGENCY-LEVEL ISSUE – Any issue identified during an inspection determined to be beyond the control of the Warden, Administrator and/or the Inspections Unit to immediately address or correct, and which would require significant action/resources, or revision to policy, as authorized by the agency Director.

DATA COLLECTION INSTRUMENTS (DCIs) – A compilation of directives and/or other regulatory material such as written instruction, state and federal statutes, best practices or correctional standards. DCIs include the regulatory material, standard data collection practices and shall provide adequate information to allow an inspector to collect and report relevant findings. DCIs are designed to collect, analyze and report data regarding the results of an inspection.

FINDING – An observation made during an inspection indicating non-compliance with a specific section of a DCI.

INTERNAL INSPECTIONS – Any internal inspection, evaluation, assessment or analysis of an agency facility, contract bed location, or departmental function. An inspection may be conducted by an internal inspector(s) assigned to the Inspections Unit, using generally accepted inspections procedures.

{Original Signature on File}

Charles L. Ryan
Director