

CHAPTER: 700

Operational Security

DEPARTMENT ORDER:

701 – Inmate Accountability

**OFFICE OF PRIMARY
RESPONSIBILITY:**

OPS

Arizona Department of Corrections

Department Order Manual

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**DI 330 – Sections Inmate Movement
Notifications and Monitoring
Requirements (7/14/14)**


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ACCESS

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Charles L. Ryan, Director

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PURPOSE

This Department Order establishes procedures for the authorization, documentation, and coordination of inmate movement and transfers, and for the accurate accounting of the inmate population. Procedures are also established for the accountability and reporting of each institution's capacity and inmate population, and authorization of changes in bed capacity, classification and use.

PROCEDURES

1.0 GENERAL RESPONSIBILITIES

- 1.1 Wardens and Deputy Wardens shall be responsible for the accounting of all beds by type and use within their assigned area and shall ensure:
 - 1.1.1 Accountability Officers are designated and trained.
 - 1.1.2 Bed numbers, types and locations are not changed, without the Director's prior written authorization.
 - 1.1.3 Bed Information Data Sheets are accurate and complete.
 - 1.1.4 All external movements are entered into the Adult Information Management System (AIMS) prior to the end of each shift.
 - 1.1.5 The daily population information taken from the last formal count prior to midnight, and all movement occurring between the last formal count and midnight, is reported to the Offender Services Bureau Accountability and Movement Officer each morning no later than 0730 hours through the institution Offender Information Unit. (Example: If the last formal count taken at 2100 hours had 646 inmates, one inmate is transferred or released at 2110 hours, and four inmates are received at 2200 hours, the total reported count is 649).
 - 1.1.5.1 The count information shall include the following:
 - 1.1.5.1.1 General Population/Rated
 - 1.1.5.1.2 Temporary General Population
 - 1.1.5.1.3 Medical/Mental Health/Rated
 - 1.1.5.1.4 Temporary Medical/Mental Health
 - 1.1.5.1.5 Outside Count
 - 1.1.5.1.6 Special Use/Unrated
 - 1.1.5.1.7 Temporary Special Use/Unrated
 - 1.1.5.1.8 Total Operating Capacity
 - 1.1.5.1.9 Red-lined medical hold information

1.1.5.1.10 Scheduled Releases for that day and through the end of the next five days. (For example, on Monday, report releases are completed for Monday through Friday, on Tuesday, report releases for Tuesday through Saturday and so on.)

1.1.6 Report to the Division Director for Prison Operations, through the appropriate Regional Operations Director, any significant problems arising from prison crowding, including but not limited to racial parity/imbalance, potential security threat group issues and infrastructure demands on physical structures/plants.

1.2 The Offender Services Bureau Administrator shall ensure:

1.2.1 All required population data is collected for the preparation of ADC Institutional Capacity/Committed Population reports.

1.2.2 Daily Count Sheets are prepared and their accuracy verified.

1.2.3 Daily Count Sheets are distributed no later than 1100 hours to:

1.2.3.1 The Planning, Budget and Research Bureau.

1.2.3.2 The Shared Drive, found on the J or K Drive.

1.2.3.3 Any other person, as determined and approved by the Division Director for Prison Operations.

1.2.4 The Division Director for Prison Operations is notified of any count discrepancies (i.e., racial parity/imbalance, and any other issues which may impact the safe and secure operation of the prisons).

2.0 BED DESIGNATION, USE OF BEDS

2.1 No staff member may add, delete or redefine permanent or temporary beds through new construction, renovation, remodeling, rejuvenation, closure or demolition without written permission from the Director, including:

2.1.1 The conversion of any modular buildings or other structures to inmate housing not previously established for that purpose (i.e., classrooms, warehouses and/or day rooms).

2.1.2 The modification of existing housing units which in any way would alter their designated function or capacity.

2.1.3 Changes in the security level or use of any institution or unit.

2.2 Bed number or bed type change requests shall be fully justified in writing and submitted through the appropriate chain of command to the Director. These requests shall include, but are not limited to the following:

2.2.1 Present unit bed count/type information from Bed Information Data Sheets

2.2.2 The specific change(s) requested

2.2.3 The estimated change in number or type of beds resulting from the request

- 2.2.4 The resulting bed count/use after change completion
- 2.3 Approved changes in bed capacities and types shall be forwarded to the Office for Strategic Planning and Budgeting, with a copy to the Offender Services Bureau.
 - 2.3.1 The Offender Services Bureau shall ensure appropriate changes are made to:
 - 2.3.1.1 AIMS bed capacities and bed types.
 - 2.3.1.2 Daily Count Sheets.
 - 2.3.1.3 Bed Information Data Sheets. Bed sheets shall be updated and sent to the affected units/institutions for verification and signature.
 - 2.3.2 Institutions shall forward Bed Information Data Sheets to the Division Director for Prison Operations through the appropriate Regional Operations Director for signature and placement into the Offender Operations Master Bed record.
 - 2.3.3 The Offender Services Bureau shall maintain a permanent record, for historical purposes, of Director approved changes to beds/counts, as well as the Bed Information Data Sheets.
- 2.4 Emergency Beds
 - 2.4.1 Wardens/designees may authorize the addition of emergency beds.
 - 2.4.2 Duty Officers may initially authorize emergency beds, but shall receive written approval from Wardens within two work days.
 - 2.4.3 Wardens or their designees shall provide written notification to the Division Director for Prison Operations through the appropriate Regional Operations Director one work day after adding/deleting emergency beds to/from any institution or unit.
- 2.5 Inoperable Beds
 - 2.5.1 Wardens or their designees shall provide immediate written notification to the Division Director for Prison Operations, the Offender Services Bureau Administrator, and the Director through the appropriate Regional Operations Director of cells or beds which have been deactivated (red-lined) for repairs or for other reasons, or reactivated. Notification shall specify:
 - 2.5.1.1 The affected bed's housing unit, wing/pod location and bed number.
 - 2.5.1.2 A detailed explanation of a bed's deactivation, including a description of all necessary actions and an estimated completion time.
 - 2.5.1.3 The dates of all bed deactivations and activations.
- 2.6 Medical Hold Beds – The unit Accountability Officers shall ensure a medical hold is placed on a bed when an inmate goes out to the hospital and is expected to return to the unit of origin. The hold shall be in effect for ten calendar days. After ten calendar days the hold is automatically dropped or removed. Medical holds shall not be placed on beds designated for medical, mental health, watch cells, detention or transitory use. ***[Revision – June 22, 2015]***

3.0 ACCOUNTABILITY OFFICERS/SHIFT COMMANDERS

- 3.1 The unit Accountability Officers/Shift Commanders shall:
 - 3.1.1 Ensure all external inmate movement information is entered on the AIMS Daily External Movement Report.
 - 3.1.1.1 Movement holds shall be reviewed a minimum of once per month by unit Accountability Officers where holds were placed.
 - 3.1.2 Ensure intra-unit inmate movement information is entered on the AIMS Count Sheet.
 - 3.1.3 Update picture boards.
 - 3.1.4 Record AIMS-generated movement on unit Count Sheets.
 - 3.1.5 Receive and record Out-of-Housing Counts and Outside Counts on appropriate AIMS Count Sheets and Transaction screens.
 - 3.1.6 Receive inmate physical count figures from housing unit officers and break them into the following bed types:
 - 3.1.6.1 General Population/Rated
 - 3.1.6.2 Temporary General Population
 - 3.1.6.3 Medical/Mental Health/Rated
 - 3.1.6.4 Medical/Mental Health/Temporary
 - 3.1.6.5 Special Use/Unrated
 - 3.1.6.6 Temporary Special Use/Unrated
 - 3.1.7 Determine unit populations by adding the Out-of-Housing Count to the Physical Count.
 - 3.1.8 Notify unit Shift Commanders upon count completion.
 - 3.1.9 Provide bed vacancy information available by bed type.
 - 3.1.10 Report inoperable beds to the Deputy Warden.
 - 3.1.11 Report count figures to institutional Accountability Officers.
- 3.2 The institutional Accountability Officers or Complex Shift Commanders in their absence shall:
 - 3.2.1 Receive allocated counts for the institution.
 - 3.2.2 Record Outside Counts.
 - 3.2.3 Receive and record each unit's completed count figures.
 - 3.2.4 Verify and compare each unit's count figures with the Official Daily Count for that unit.

- 3.2.5 Advise all units when institution counts are clear.
- 3.2.6 Ensure Formal Counts are consistent with AIMS Facility Population Reports.
- 3.2.7 Report institutional count figures to the Offender Services Bureau Accountability and Movement Officer.
- 3.3 The Offender Services Bureau Accountability and Movement Officer shall:
 - 3.3.1 Collect the daily count information as reported by the institutional Accountability Officers and prepare Daily Count Sheets for the Offender Services Bureau Administrator's review and approval.
 - 3.3.2 Upon approval, distribute Daily Count Sheets in accordance with this Department Order.

4.0 INMATE COUNTS

- 4.1 Formal Counts – Regional Operations Directors and Wardens shall schedule and conduct all formal counts in accordance with statewide standard times approved by the Division Director for Prison Operations and this Department Order.
 - 4.1.1 Formal counts shall be conducted at the following times:
 - 4.1.1.1 2300 hours
 - 4.1.1.2 0400 hours
 - 4.1.1.3 1100 hours
 - 4.1.1.4 1600 hours
 - 4.1.1.5 2030 hours
 - 4.1.2 Formal counts shall be:
 - 4.1.2.1 Conducted using physical identification card to face counts ensuring that living breathing bodies are present. **[Revision – June 28, 2012]**
 - 4.1.2.2 Recorded on appropriate AIMS Count Sheets.
 - 4.1.2.3 Reported to unit Accountability Officers or in the absence of the Accountability Officer, the responsible officer as designated by the Shift Commander. **[Revision – June 28, 2012]**
 - 4.1.2.4 Verified by unit Shift Commanders.
- 4.2 Informal Counts – Informal counts shall be conducted at the Shift Commander's direction and may:
 - 4.2.1 Include any segment of the inmate population.
 - 4.2.2 Either be physical or identification card to face counts.
 - 4.2.3 Be recorded on appropriate AIMS Count Sheets.

4.3 Emergency Counts – All inmate movement and activities shall cease during emergency counts.

4.3.1 Emergency counts shall be:

4.3.1.1 Formal counts. *[Revision – June 28, 2012]*

4.3.1.2 Documented in written reports which provide count results and the conditions precipitating emergency counts.

4.3.1.3 Declared clear only by the Shift Commander.

4.3.2 Inmate populations shall be notified to proceed immediately to specified areas.

4.3.2.1 Whenever possible, outside work crews shall be counted in place.

4.3.2.2 Outside work crews may be called back to their housing locations at the Shift Commander's direction, if circumstances warrant.

4.3.3 Inmates shall resume normal activities at the Shift Commander's discretion.

4.4 Clearing The Count – Upon receipt of unit Accountability Officer's count status, the Shift Commander shall:

4.4.1 Declare Counts "Clear" when all assigned inmates are accounted for.

4.4.2 Initiate actions to resolve discrepancies when all assigned inmates are not accounted for by any of the following:

4.4.2.1 Recalculating counts

4.4.2.2 Recounting inmates

4.4.2.3 Conducting emergency counts

4.4.2.4 Declaring escapes

5.0 MOVEMENT CONTROL – All inmate movement shall be controlled and supervised to provide protection of the public, staff, and inmates.

5.1 Wardens and Deputy Wardens shall ensure:

5.1.1 Units are locked down for the night at 2000 hours.

5.1.2 Formal counts are conducted beginning at 2030 hours.

5.1.3 All intra-institutional inmate movement is based on the approved custody level placement commensurate with an inmate's custody and internal risk factors.

5.1.4 Intra-institutional inmate movement is supervised and controlled through the use of a Master Pass/Turn-Out Scheduling System (TOSS) generated roster, which is: *[Revision – June 28, 2012]*

5.1.4.1 Published and distributed daily.

- 5.1.4.2 Checked and signed by staff at control points.
 - 5.1.4.3 Used by escorting staff as an out count or tracking mechanism.
 - 5.1.4.3.1 If an inmate scheduled to attend a work or program assignment, or scheduled for a “turn-out” fails to report to a scheduled activity, the staff responsible for supervising the inmate shall notify the shift supervisor or designee as specified in the Unit Controlled Movement Plan.
 - 5.1.4.4 TOSS is not utilized for Maximum Custody Units. **[Revision – June 28, 2012]**
- 5.2 Unit Controlled Movement Plans shall be established for each Medium, Close and Maximum Custody level unit.
- 5.2.1 Unit Controlled Movement Plans shall be consistent with:
 - 5.2.1.1 Security issues associated with the specific level of supervision.
 - 5.2.1.2 Authorized staffing patterns.
 - 5.2.1.3 Authorized daily minimum staffing levels.
 - 5.2.1.4 Lockdown procedures where units have emergency situations or where units have been locked down for the night.
 - 5.2.1.4.1 During emergency situations/ICS, the Incident Commander and the Deputy Warden/Warden shall make the decision if work crews/ACI work sites are to be shut down.
- 5.3 Except in emergencies or in other situations where lateral moves are conducted within the complex for operational needs, the designated Offender Services Bureau Accountability and Movement Officer, in coordination with the local Transportation Liaisons, shall enter, coordinate, schedule and approve appropriate AIMS Transfer Screen information for all inter-institutional and intra-institutional movement. **[Revision – June 22, 2015: Sections 5.3 thru 5.3.3]**
- 5.3.1 To the extent possible all inmate movement, with the exception of movement out of the ASPC-Phoenix, Alhambra Reception Center, shall be finalized 48 hours prior to movement. The Offender Services Bureau Accountability and Movement Officer shall notify, via e-mail, the designated institution Offender Information Unit staff, designated medical staff and Transportation Liaisons for each complex that the appropriate AIMS Movement screen is finalized.
 - 5.3.2 Inmate movement from the ASPC-Phoenix, Alhambra Reception Center, to the extent possible, shall be finalized one workday prior to movement. The Offender Services Bureau Accountability and Movement Officer shall notify, via e-mail, the designated institution Offender Information Unit staff, designated medical staff and Transportation Liaisons for each complex that the appropriate AIMS Movement screen is finalized.

- 5.3.3 The Offender Services Bureau Accountability and Movement Officer shall notify the designated institution Offender Information Unit staff, designated medical staff and the Transportation Liaisons of any changes to the appropriate AIMS Movement screen.
- 5.3.4 Requests for unscheduled non-emergency movement shall be sent by e-mail to the Offender Services Bureau Accountability and Movement Officer.
- 5.3.5 If AIMS cannot be used for inmate movement, the Offender Services Bureau Accountability and Movement Officer shall:
 - 5.3.5.1 Coordinate by telephone/e-mail with the institutional Accountability Officer through the institution Offender Information Unit.
 - 5.3.5.2 Provide confirmation of the approved movement by AIMS no later than 0900 hours of the following day. The confirmation shall include:
 - 5.3.5.2.1 The name of the approving authority.
 - 5.3.5.2.2 The date and time the approval was given.
 - 5.3.5.2.3 The name of the requesting authority.
- 5.3.6 Emergency inmate movement may be completed without Central Office approval and coordination only when directed by Wardens to preserve the safe, secure and orderly operation of sending units.
- 5.3.7 Documentation for emergency movement actions shall be provided by the sending units and may include, but is not limited to the following:
 - 5.3.7.1 The names of the coordinating staff members from both the sending and receiving units.
 - 5.3.7.2 The dates and times approved by Wardens.
 - 5.3.7.3 All information to be included in the appropriate AIMS External Movement screen and the AIMS Housing screen.
 - 5.3.7.4 Specific inmate movement information including an inmate's:
 - 5.3.7.4.1 Name and ADC number.
 - 5.3.7.4.2 Sending housing unit location.
 - 5.3.7.4.3 Receiving housing unit location.
- 5.4 All moves not scheduled through Central Office Movement, to include but not limited to emergency moves, after hour moves, moves based on operational needs and weekend/holiday moves, shall be reported by e-mailing a completed After Hours Movement Log, Form 701-1, to the Offender Services Bureau Accountability and Movement Officer through the institution Offender Information Unit no later than 0730 hours of the following business day, with the exception of the weekend and holiday moves, which shall be reported to the designated medical staff the same day of the movement. ***[Revision – June 22, 2015: Sections 5.4 thru 5.4.3]***

- 5.4.1 Weekend/Holiday Movement – Any inmate movement occurring on weekends and/or holidays shall be immediately reported to the unit Shift Commander.
- 5.4.2 The unit Shift Commander shall notify the on-site medical staff, via e-mail, and telephone of the movement the same day.
- 5.4.3 The unit Shift Commander shall document the date, time and the name of the medical staff on the appropriate AIMS Housing screen.
- 5.4.4 Each unit shall report all after-hours movement to the Complex Accountability Officer.
- 5.4.5 The Complex Accountability Officer shall:
 - 5.4.5.1 Enter each unit's after hour's movement on the After Hours Movement Log.
 - 5.4.5.2 Forward After Hours Movement Log to the institution Offender Information Unit.
- 5.4.6 The institution Offender Information Unit shall e-mail the After Hours Movement Log along with the Daily Count to the Offender Services Bureau Accountability and Movement Officer.
- 5.4.7 All inmate movement shall include, but is not limited to the following:
 - 5.4.7.1 Institution to institution
 - 5.4.7.2 Unit to unit
 - 5.4.7.3 In and out of detention
 - 5.4.7.4 Inmate Releases
 - 5.4.7.5 Inmate Deaths
 - 5.4.7.6 Return of release violators
 - 5.4.7.7 Any other movement resulting in changes to bed vacancies
- 5.4.8 The following information, in the order described below, shall be provided to the Offender Services Bureau Accountability and Movement Officer by affected institutions for each inmate:
 - 5.4.8.1 The reporting institution
 - 5.4.8.2 Movement dates and times
 - 5.4.8.3 Inmate's ADC number
 - 5.4.8.4 Inmate's name (last, first)
 - 5.4.8.5 The releasing/transferring unit/bed

- 5.4.8.6 The receiving institution/unit/bed - The transferring units shall be responsible for obtaining the unit and bed designation of the receiving unit for reporting purposes.
- 5.4.8.7 The name of the reporting staff member and/or contact person
- 5.4.8.8 The specific reason for making the move, including, but not limited to the following:
 - 5.4.8.8.1 Pending investigation
 - 5.4.8.8.2 Processing for Protective Custody issues
 - 5.4.8.8.3 Disciplinary action, to include the case number if it is available at the time of the move
 - 5.4.8.8.4 Death or other appropriate reason(s)
- 5.4.9 Designated institution security staff shall be responsible for entering the exact date and time inmate movement occurred on the appropriate AIMS External Movement screen and Housing screen.
- 5.5 The transportation of inmates and inmate records shall be completed in compliance with Department Order #705, Inmate Transportation, Department Order #1104, Inmate Medical Records, and other written instructions, including Director's Instructions.
- 5.6 The institution Offender Information Unit staff shall provide the designated medical staff, via e-mail, the names, numbers, current location and receiving location of all inmates scheduled for movement, both inter-institutional and intra-institutional and for both arrivals and departures, by 1500 hours each workday to the extent possible. This shall include, but not be limited to: ***[Revision – June 22, 2015: Sections 5.6 thru 5.6.6]***
 - 5.6.1 The regularly scheduled 48 hour movement
 - 5.6.2 Movement out of the ASPC-Phoenix, Alhambra and ASPC-Perryville reception centers
 - 5.6.3 All movement not scheduled by Central Office Movement
 - 5.6.4 Any changes, cancellations or additions to the movement schedule
 - 5.6.5 Inmates going out or returning from court
 - 5.6.6 Return of Release Violators
- 5.7 Monitoring Requirements ***[Revision – June 22, 2015: Sections 5.7 thru 5.7.2]***
 - 5.7.1 The Warden and the Contract Facility Health Administrator shall meet weekly to discuss Health and Mental Health movement and release issues.
 - 5.7.2 The Complex CO IV shall monitor the notification process and provide a monthly report to the Warden and the Offender Services Bureau Administrator identifying deficiencies or process related concerns.

IMPLEMENTATION *[Revision – June 28, 2012]*

The Complex Warden shall address any special variations needed on a unit by unit basis in the Post Orders related to the area in need. Variations shall be in accordance with this Department Order and be approved through the appropriate Regional Operations Director to ensure consistency between institutions and levels of supervision throughout the Department.

- Any alterations to movement schedules for emergencies utilizing the Incident Command System process shall include the following:
 - Meals
 - Medical
 - Sanitation
 - Contractual work crews

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

FORMS LIST

701-1, After Hours Movement Log