

CHAPTER: 700

Operational Security

DEPARTMENT ORDER:

703 – Security/Facility Inspections

**OFFICE OF PRIMARY
RESPONSIBILITY:**

OPS

Effective Date:

March 20, 2020

Amendment:

May 5, 2021

Supersedes:

DO 703 (1/1/19)

Scheduled Review Date:

October 1, 2022

ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to be 'David Shinn', written over a horizontal line.

David Shinn, Director

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STANDARDS *[Revision – May 5, 2021]*

American Correctional Association (ACA) Standards: 5-ACI-3A-10, 5-ACI-3A-11, and 5-ACI-3A-12

PURPOSE

This Department Order ensures that security responsibilities at Department institutions and private prisons include regular inspection of security devices to ensure that they remain in good working condition and that supervisory and other management personnel conduct regular inspections and tours. This Department Order also establishes requirements intended to promote and ensure the protection and preservation of evidentiary chains of custody and the integrity and confidentiality of criminal and/or administrative investigations.

PROCEDURES

1.0 SECURITY DEVICE INSPECTION

- 1.1 Wardens and Deputy Wardens shall ensure:
 - 1.1.1 Staff members immediately report security device deficiencies to a security staff member, who shall note whether the deficiency has been reported to the Chief of Security.
 - 1.1.1.1 Deficiencies not previously reported shall be reported to the Chief of Security, who shall ensure repairs are made in a timely manner.
 - 1.1.2 Staff members inspect all security devices in their areas of responsibility during their shift. Perimeters shall be inspected a minimum of twice per shift and the results noted in the applicable correctional service journals, including any deficiencies, and the action taken to resolve them. Any deficiencies of a serious nature shall be reported to the shift supervisor immediately.
 - 1.1.3 The Chief of Security or designee conducts a thorough weekly review of security devices and submits a **Bi-Weekly** Security Device Inspection Report, Form 703-4, of any deficiencies and action taken to his/her supervisor or their designee. This report shall include explanations for any pending security device deficiencies. **{5-ACI-3A-12} [Revision – May 5, 2021]**
- 1.2 Institutions/units shall maintain a current file of documentation relating to inspections, maintenance requests, follow-up action, and preventive maintenance programs at each institution or unit.
 - 1.2.1 The Warden, Deputy Warden, Associate Deputy Warden, Major, Chief of Security, and Correctional Officer IV shall have read only access to the preventive maintenance computer program to track maintenance work orders.
- 1.3 Staff members assigned to areas in which security devices are utilized shall conduct a thorough inspection of each security device during their shift and enter "SECURITY DEVICE INSPECTION" in the Correctional Service Log, Form 105-6.
 - 1.3.1 Deficiencies needing immediate attention shall be immediately reported to the Shift Commander. All deficiencies and the action taken to resolve them shall be documented in the Correctional Service Log and cross-referenced with an Information Report, Form 105-2, and Maintenance/Service Work Order Request, Form 403-2, if applicable.

- 1.3.1.1 Maintenance/Service Work Order Request forms shall be completed and forwarded to Physical Plant personnel in accordance with Department Order #403, Maintenance.
- 1.3.1.2 Physical Plant personnel shall be contacted to effect immediate repairs if needed.
- 1.3.1.3 Information Report numbers shall be written in the Correctional Service Log and on the corresponding Maintenance/Service Work Order Request form.

1.4 The unit Chief of Security/designee shall ensure:

- 1.4.1 Staff assigned to areas using security devices conduct and document inspections of each device during each shift.
- 1.4.2 A comprehensive weekly review of security devices is conducted, to include areas of egress/ingress to unit structure and perimeter areas and submit a monthly report to the Warden or Deputy Warden of any deficiencies and action taken.
- 1.4.3 Monthly inspections/inventories of emergency key sets and locking devices are conducted and documented in accordance with Department Order #702, Key Control.

2.0 INSPECTIONS AND TOURS OF INSTITUTIONS, UNITS AND PRIVATE PRISONS – Wardens, Deputy Wardens, Associate Deputy Wardens, Majors, Chiefs of Security, Correctional Officer IVs and supervisory staff shall conduct inspections of their areas of responsibility.

2.1 Formal Inspections – Wardens, Deputy Wardens, Associate Deputy Wardens, Majors, Chiefs of Security and Correctional Officer IVs shall:

- 2.1.1 Conduct frequent formal inspections of the institution/unit.
 - 2.1.1.1 Inspections shall not be restricted to certain hours or routines; they shall be unscheduled and unannounced. Staff members are prohibited from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility.
 - 2.1.1.2 The inspector shall conduct casual, unstructured interviews of staff and inmates.
- 2.1.2 Complete Green, Amber, Red (GAR) inspections for required tours on a monthly basis.
 - 2.1.2.1 GAR Reports shall reflect the author’s observation during tours.
 - 2.1.2.2 Staff assigned to the Maricopa Reentry Center (MRC) and the Pima Reentry Center (PRC) is exempted from utilizing the GAR system. Tour observations shall be reported on the 703 Report, Form 703-3.

- 2.2 Required Institution Tours – In addition to formal inspections, Deputy Wardens, Associate Deputy Wardens, Majors, Chiefs of Security, and Correctional Officer IVs shall spend a minimum of ten hours per week to equal an average of two hours per day touring their unit. Institution Tours shall be conducted at varying hours of the day and night and shall not be restricted to certain hours or routines. ***[Revision – May 5, 2021]***
- 2.2.1 Tours shall include the following locations:
- 2.2.1.1 Housing units
 - 2.2.1.2 Health units on site; and hospital(s) wherein the respective Complex may have inmates located
 - 2.2.1.3 Kitchens and dining rooms
 - 2.2.1.4 Inmate work areas and classrooms
 - 2.2.1.5 Warehouses and storage areas
 - 2.2.1.6 Visiting areas and rooms
 - 2.2.1.7 Maintenance areas
 - 2.2.1.8 **All perimeter fencing and complete secondary device inspection *[Revision – May 5, 2021]***
 - 2.2.1.9 Attending shift meetings
- 2.2.2 Time during the tour shall be devoted to speaking with staff at their posts and inmates on an informal basis.
- 2.2.3 At a minimum, tours shall be conducted on each operational shift of the unit no less than twice each month. These tours shall ensure each shift of employees is availed access to management personnel, and shall be documented utilizing the GAR Tour reporting protocol.
- 2.2.3.1 Staff assigned to complexes/facilities or units operating under:
 - 2.2.3.1.1 8-hour shifts shall document no less than 6 tours per individual each month (2 Days, 2 Swings, 2 Graveyards).
 - 2.2.3.1.2 12-hour shifts shall document no less than 8 tours per individual each month (2 AM Front, 2 AM Back, 2 PM Front, 2 PM Back).
 - 2.2.3.1.3 Schedules other than an 8-hour or 12-hour shifts shall follow their Regional Operations Director’s direction.
- 2.2.4 Attention shall be given to visitation issues, including but not limited to, staff demeanor and the consistent enforcement of visitation rules.
- 2.2.5 Attention shall be given to environmental issues such as security, safety, staff and inmate policy compliance, general cleanliness and hygiene of work and living areas, and the overall attitude of staff and inmates.

- 2.2.6 A **bi-weekly** 703 Report form shall be submitted to the Warden documenting their observations, concerns, etc. in the following areas: ***[Revision – May 5, 2021]***
 - 2.2.6.1 Security operations
 - 2.2.6.2 Security device inspections and/or practices
 - 2.2.6.3 Compliance of Department Code of Conduct
 - 2.2.6.4 Staff/inmate relations
 - 2.2.6.5 Supervisor/subordinate staff communications
 - 2.2.6.6 Supervisor/subordinate professional relationships
 - 2.2.6.7 Other areas as needed

- 2.3 Warden Tours – Wardens shall tour each shift at least once per month and document these tours utilizing the GAR Tour reporting protocol. Wardens shall also provide a monthly memorandum to the appropriate Regional Operations Director with an assessment regarding the following: ***{5-ACI-3A-11} [Revision – May 5, 2021]***
 - 2.3.1 Security operations, security device inspections and/or practices
 - 2.3.2 Professional conduct of staff (sexual harassment, hazing, discrimination and/or favoritism, etc.)
 - 2.3.3 Supervisor/subordinate relationships
 - 2.3.4 Staff rotation
 - 2.3.5 Deputy Warden performance and communication
 - 2.3.6 Employee Equal Opportunity (EEO) Liaison tour compliance

- 2.4 Duty Officer Tours – Duty Officers shall be the rank of a grade 20 or higher. Duty Officers can be scheduled as an On-Site Duty Officer, Weekend Duty Officer or an Administrative Duty Officer and work a schedule as outlined below. Duty Officers shall provide a Duty Report, Form 703-5, at the end of their shifts.
 - 2.4.1 Assigned Work Schedule
 - 2.4.1.1 On-Site Duty Officer/Weekend Duty Officer: 0800 - 1600 hours
 - 2.4.1.2 Administrative Duty Officer: 1600 - 0000 hours
 - 2.4.2 The On-Site Duty Officer/Weekend Duty Officer/Administrative Duty Officer shall:
 - 2.4.2.1 Interview employees on post, as they tour all units as mandated.
 - 2.4.2.2 Submit a written report, by exception, to the Warden if any of the following are observed during his/her tours.
 - 2.4.2.2.1 Sexual harassment
 - 2.4.2.2.2 Unprofessional conduct

2.4.2.2.3 Over-familiarity by staff to staff and/or staff to inmates

2.5 EEO Liaison Tours/Shift Meeting Attendance – Each unit EEO Liaison shall:

2.5.1 Attend each shift's briefings and conduct tours on each operational shift of the unit on a monthly basis, to ascertain if any problems exist among employees, which have not been elevated to or addressed by management.

2.5.2 Submit to the Warden a monthly report that summarizes the findings of the tours and meetings with employees. The report shall address observations and concerns about sexual harassment, unprofessional conduct of staff (to include hazing, discrimination and favoritism), staff/inmate relationships, and supervisor/subordinate officer communication and professional relationships. A copy of the report shall be forwarded to the Employee Relations Administrator.

2.6 Private Prison Inspections – Private prisons shall be inspected pursuant to Department Order #106, Contract Beds. Department monitors assigned to private prisons facilities are required to complete inspections in accordance with this Department Order.

2.6.1 A representative of the Department may visit a contract facility or any inmate work site at any time to check on the inmates.

2.7 Daily Inspections – Line supervisory staff shall conduct daily inspections of their areas of responsibility in order to assess inmate morale and the quality of their care and supervision, and to provide them the opportunity for informal access to key staff. **{5-ACI-3A-10} [Revision – May 5, 2021: Sections 2.7 and 2.7.1]**

2.7.1 Inspections, including any deficiencies and the action taken, shall be entered on permanent logs and journals **and a written report shall be submitted to their supervisor regarding matters requiring further attention.**

2.8 Green, Amber, Red (GAR) Inspections – Wardens and Contract Beds Monitors shall ensure each prison unit/entity under their scope of responsibility has a formal inspection conducted a minimum of once per month utilizing the GAR reporting protocol.

2.8.1 Deputy Wardens shall complete and submit a GAR Inspection Report each month for their respective areas of responsibility. GAR Inspection Reports shall be submitted to the Warden's office no later than the close of business on the last day of each calendar month.

2.8.1.1 Each GAR Inspection Report shall reflect a minimum of one inspection during the reporting period for all applicable competencies, to include all active components of each competency.

2.8.1.2 Additional inspections may be conducted at any prison unit, at the discretion of either the Warden or Deputy Warden.

2.8.2 GAR inspections shall be recorded using the ADCRR 703 Monthly Inspection System, to include specific notations indicating one of three findings.

2.8.2.1 GREEN – In compliance, no issues noted

- 2.8.2.1.1 If any area on the GAR is not applicable to a particular unit, the staff member shall record a Green finding on the GAR Inspection Report (i.e., not all units have towers).
 - 2.8.2.2 AMBER – Minor issues observed, corrective action is required
 - 2.8.2.3 RED – Significant threat to life and safety exist, immediate corrective action is necessary (**this includes all security devices**) *[Revision – May 5, 2021]*
 - 2.8.3 Unit Deputy Wardens shall be responsible for creating and completing all corrective action plans resulting from AMBER or RED inspection findings.
 - 2.8.3.1 Corrective action taken for AMBER or RED findings shall be implemented and tracked for sustainability.
 - 2.8.3.2 All **AMBER and RED** findings and related corrective action plans shall be evaluated during the affected unit’s annual inspection to verify compliance. *[Revision – May 5, 2021]*
 - 2.8.4 During the course of GAR inspections, AMBER and RED findings shall result in executive staff notifications. Executive level notifications generated by GAR findings shall not be used as a substitute for a Significant Incident Report as defined in Department Order #105, Information Reporting.
 - 2.8.4.1 AMBER – Warden and Unit Deputy Warden
 - 2.8.4.2 RED Level 1 – Regional Operations Director, Warden and Unit Deputy Warden
 - 2.8.4.3 RED Level 2 – Assistant Director and all level 1 members
 - 2.8.4.4 RED Level 3 – Director and all level 2 members
 - 2.8.5 Wardens shall review and approve all requests for the creation of user accounts in the GAR inspection program. The Executive Staff Assistant assigned to the Warden’s office shall be responsible for the generation and maintenance of all user accounts at the respective complex.
- 3.0 MANAGEMENT OF VIDEO VIEWING, COPYING, AND RETENTION** – The Department utilizes numerous methodologies to record incidents of a significant nature as they occur. These recordings are evidence in investigations conducted by the Inspector General and/or the Special Security Unit (SSU) and Criminal Investigative Unit (CIU).
- 3.1 Video devices include, but are not limited to, stationary cameras and associated DVR’s, handheld video cameras and associated memory cards, and Network Attached Storage Unit (NASU) devices.
 - 3.2 In order to promote and ensure the protection and preservation of evidentiary chains of custody and the integrity and confidentiality of criminal and/or administrative investigations, as well as the integrity of those devices, access rights (including viewing and copying) shall be strictly limited by the Complex Network Administrators to only the following personnel:
 - 3.2.1 Warden

- 3.2.2 CIU staff
- 3.2.3 SSU staff
- 3.2.4 These staff shall not share their access rights with any other individual.
- 3.3 Any other staff not identified in section 3.2 who believe that they have a legitimate professional need to view any recording must submit a written request and explanation of that need to the Warden, who may, in the Warden’s sole discretion, approve the request, also in writing, and thereby authorize said staff to view the recording, but only in the physical presence of the Warden. The Warden shall not under any circumstance release a copy of the recording to said staff.
- 3.4 Due to limitations of space on some devices, SSU shall review all significant incidents from the previous 24 hours and move them to the established Complex NASU device in accordance with Department Order #105, Information Reporting, Section 7.0, Archive, Retention, and Deletion of Significant Incident Video.
- 3.5 Staff shall continue to utilize handheld video recorders to record ongoing incidents. At the end of the incident, the shift commander shall immediately remove the memory card and fill out the chain of custody portion of form 909-6, seal the memory card in an envelope with the form attached and submit the evidence to SSU. At no time shall the video be viewed or copied by anyone other than those listed in section 3.2 above.
 - 3.5.1 Once SSU staff copy the relevant video to the NASU, they shall erase everything on the memory card and return it to the unit Captain for continued use.
- 3.6 Any unauthorized viewing or copying of any recording shall be referred to the Administrative Investigative Unit for possible disciplinary action in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

IMPLEMENTATION

The Assistant Director for Prison Operations shall ensure Wardens address the contents of this Department Order in authorized Post Orders, as appropriate.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

FORMS LIST

- 703-3, 703 Report
- 703-4, Bi-Weekly Security Device Inspection Report
- 703-5, Duty Report