

CHAPTER: 600
Inspector General

DEPARTMENT ORDER:
**606 – Quality Assurance and Improvement
(QA&I) Program**

**OFFICE OF PRIMARY
RESPONSIBILITY:**
IG

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ACCESS

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Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "David Shinn", is written over a horizontal line.

David Shinn, Director

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EXPECTED PRACTICES

American Correctional Association (ACA) Expected Practices: 5-ACI-1A-17 and 5-ACI-1B-12

PURPOSE

This Department Order establishes a comprehensive Quality Assurance and Improvement (QA&I) Program within the Department. The QA&I program is administered and operated through the Department's Inspector General Bureau, at the direction of the Department Director, separate and independent from all other Department operations.

APPLICABILITY

This Department Order applies only to state-operated facilities, administrative offices, and personnel; any application to the operation of privately operated prisons shall be specified by contract. For example, a private prison contract could incorporate-by-reference this Department Order as part of its statement of work.

All operations within state-operated facilities and administrative offices or by state personnel (regardless of location) are subject to Inspector General Bureau inspection according to this Department Order. For example, state personnel performing private prison or privatized healthcare oversight functions are subject to this Department Order.

RESPONSIBILITY

The Department Director shall ensure the QA&I program is implemented and administered pursuant to this Department Order. This includes consulting with the Inspector General regarding how, when and where inspections are conducted, the specific programs and functions inspected, the communication of inspection results, and resolution through corrective action. The Department Director or designee is the final approving official for the programs and functions inspected, and the methods of inspection. The Department Director ensures inspection results are used by Department Administrators to continually improve operations by incorporating them in strategic planning, policy revisions, and the continuous improvement process.

The Inspector General is responsible for overall management and direction of the QA&I program. The Inspector General directly represents and responds only to the Department Director in this role and directly supervises the Deputy Inspector General.

The Deputy Inspector General is the administrator of the Inspector General Bureau Inspections Unit. The Deputy Inspector General represents and responds only to the Inspector General in this role, and supervises all operational aspects of the QA&I program. The Deputy Inspector General is responsible for conducting the management assessment process, and determining the methods of inspection. The Deputy Inspector General directly supervises the Inspections Unit staff, and all aspects of their assigned scheduled Inspector General Bureau inspections, including, but not limited to:

- Distributing a yearly calendar of scheduled Inspector General Bureau inspections;
- Requesting and compiling a list of Subject Matter Expert (SME) nominees to participate in scheduled Inspector General Bureau inspections;
- Review and approval of all scheduled Inspector General Bureau inspections; results, and corrective actions.

PROCEDURES

1.0 OVERALL GOALS - The Overall Goals of the QA&I Program are as follows:

- 1.1 **Identify and Resolve Operational Deficiencies** - The QA&I program will facilitate identification and resolution of deficiencies in Department operations, thus resulting in Department facilities that are safer for inmates, staff, and the public, and operated in conformance with the U.S. Constitution, federal and state laws and regulations, Department policies, best correctional practices, and equipped to better prepare inmates for a successful reentry into society.
- 1.2 **Objective and Independent Oversight** – As a separate and independent entity from all Department operations being inspected, the Inspections Unit makes objective observations of program discipline operations, identifying deficiencies and trends that have been overlooked by local program administrators, and oversees implementation of corrective action through to resolution.
- 1.3 **Prevent Costly Litigation** - The oversight of Department operations provided by the QA&I program, and the corrective actions that result, will be a cost-effective and proactive means to avert costly litigation challenging inmate conditions of confinement by proactively identifying and resolving discrepancies.
- 1.4 **Produce Strategic Planning Data** - The results produced by the QA&I program shall be used to substantiate the need for Department funding requests, as well as ensure the proper administration of fiscal and human resources through strategic planning. Additionally, QA&I summaries will provide insight to legislators and the judiciary on the efficacy of sentencing and public safety policies.
- 1.5 **Transparency of Department Operations** – The QA&I program will be subject to transparency as provided by state law and Department policy. Related documents can be obtained by request so long as their release does not jeopardize safety and security concerns, or other necessary exemptions.

2.0 PROGRAM OVERVIEW - An overview of the QA&I program is as follows:

- 2.1 **Inspection of All Department Program Disciplines** - All Department program disciplines and operations are subject to Inspector General Bureau inspection under the QA&I program. Department administrators and staff are required to comply with all aspects of the QA&I program inspection process. Failure to comply may subject employees to possible performance and/or disciplinary action pursuant to Department Order #514, Managing Accountability and Performance (MAP), and Department Order #601, Administrative Investigations and Employee Discipline.
 - 2.1.1 Inspections Unit staff are the workforce of the Inspections Unit. They are Inspectors-In-Charge of their own scheduled Inspector General Bureau inspections, as well as SME participants during other scheduled Inspector General Bureau inspections.
 - 2.1.2 Deputy Directors, Assistant Directors, and Regional Directors shall:
 - 2.1.2.1 Cooperate with the Inspections Unit staff in executing all aspects of the QA&I program.

- 2.1.2.2 Actively participate in the management assessment process, either through their personal involvement or by identifying and ensuring the active participation of their SME staff.
- 2.1.2.3 Ensure corrective action is implemented and resolved in a timely manner.
- 2.1.3 Program discipline administrators and Wardens whose program discipline operations are the subject of inspections, shall cooperate with the Inspections Unit staff in executing all aspects of the QA&I program, including, but not limited to:
 - 2.1.3.1 Promptly acknowledging and responding to all communications from Inspections Unit staff.
 - 2.1.3.2 Accommodating all legitimate requests from Inspections Unit staff in the preparation and performance of scheduled Inspector General Bureau inspections and corrective actions.
 - 2.1.3.3 Accommodating Inspections Unit staff during scheduled Inspector General Bureau inspections by providing adequate private office space, office equipment, and assistance during scheduled Inspector General Bureau inspections, as well as prompt access and necessary escort to all areas identified for inspection.
 - 2.1.3.4 Personally attending, or ensuring executive staff / administrative level representation at, entrance meetings, daily close-outs, and final close-outs, during scheduled Inspector General Bureau inspections.
 - 2.1.3.5 Ensuring local interim inspections are conducted according to the schedule prescribed by the QA&I program.
- 2.2 Scheduled and Local Interim Inspections - Local interim inspections shall be conducted at least annually, and scheduled Inspector General Bureau inspections at least every three years. {5-ACI-1A-17}
 - 2.2.1 Scheduled Inspector General Bureau inspections of individual program discipline operations shall be regularly conducted.
 - 2.2.2 Local interim inspections of the same program discipline operations shall be conducted on a scheduled basis, between scheduled Inspector General Bureau inspections, by local program discipline staff.
 - 2.2.3 Unannounced inspections may occur at any time.
 - 2.2.4 An independent financial audit of the complex and/or unit is to be conducted annually or as stipulated by statute or regulation, but at least every three years. {5-ACI-1B-12}
- 2.3 Inspection Methods Developed through a Risk-Analysis Process (Management Assessments) - Inspection methods for individual program discipline operations shall be created by program discipline administrators and SMEs, through an in-depth risk-analysis process called a management assessment.

- 2.3.1 The management assessment process includes analyzing the existing internal systems-of-control in place that ensure effective daily operations. Methods of performing inspections are developed to ensure the occurrence and effectiveness of existing internal systems-of-control.
- 2.4 Staffing of Scheduled Inspector General Bureau Inspections – Every scheduled Inspector General Bureau inspection shall be conducted and supervised by an Inspector-In-Charge, with the assistance of sufficient SME staff from within and outside the Inspections Unit. Inspection staff will be unaffiliated with the location and personnel being inspected, and shall adhere to a strict code of ethical conduct before, during, and after inspections.
- 2.5 Final Inspection Results - Final inspection results are provided to the program discipline administrator and/or the Warden.
- 2.6 Resolving Final Inspections – Program discipline administrators must implement corrective action in response to inspection results. The Inspections Unit shall review, evaluate, and monitor the performance of corrective actions until final resolution is achieved.
- 2.7 Local Interim Inspections – Local interim inspections are an evaluation process that requires staff to annually evaluate the strengths and weaknesses of their own program discipline, and take corrective action where needed. Local interim inspections are conducted under authority and direction of the local program discipline administrator, using the same inspection methods used during Inspector General Bureau inspection.
- 2.8 Improving Department Operations - Results produced by the QA&I program shall be used by Department program discipline administrators to continually improve operations through incorporation in strategic planning, as well as updates to policies and procedures. Semi-annual reports of QA&I program inspection results shall be completed and provided to the Director, and made publicly available to the extent release does not jeopardize safety and security concerns, or other necessary exemptions.
- 3.0 PUBLIC RELEASE OF QUALITY ASSURANCE AND IMPROVEMENT RELATED DOCUMENTS** - Requests for release of QA&I program documents should be directed to the Department’s public access unit in accordance with Department Order #201, Legal Services – Records Release. The QA&I program will be subject to transparency as provided by state law. Related documents can be obtained by request so long as their release does not jeopardize safety and security concerns, or other necessary exemptions.
- 4.0 SEMI-ANNUAL REPORTS OF QA&I PROGRAM INSPECTION RESULTS** – Semi-annual reports of QA&I program inspection results shall be completed and provided to the Director, and made publicly available to the extent release does not jeopardize safety and security concerns, or other necessary exemptions.

IMPLEMENTATION

The Inspector General shall update and maintain the Quality Assurance and Improvement (QA&I) Program Technical Manual and address the program requirements outlined in this Department Order.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Deficiencies
- Inspectors-In-Charge
- Program Discipline Administrator
- Quality Assurance and Improvement (QA&I) Program
- Repeat Deficiencies