

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Incident Reporting and Notification	PAGE <u> 1 </u> OF <u> 8 </u>
	NUMBER: 01-COM-08
RULE/CODE REFERENCE:	SUPERSEDES: 01-COM-08 dated 03/12/14
RELATED ACA STANDARDS: 4-4202; 4-APPFS-3F-01	EFFECTIVE DATE: March 29, 2016
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish procedures for the reporting of incidents at or affecting any facility or office within the Ohio Department of Rehabilitation and Correction.

III. APPLICABILITY

This policy applies to all persons employed by the Ohio Department of Rehabilitation and Correction and to independent contractors and volunteers who provide a service to the Department.

IV. DEFINITIONS

Enterprise Information Management (EIM) - The site on the Department intranet commonly called the “dashboard,” that contains a variety of data collection and reporting tools for Department staff, including the special incident reporting application.

Illegal Activity – Fraud, theft, assault, and other violations of local, state and/or federal law, including violations of state ethics laws, committed or in the process of being committed, by a state employee on any property owned or leased by the state or during the course of executing official duties.

Incident - An event or situation in or affecting any institution or office of the Department which is unexpected or non-routine and may include any of the following criteria:

1. Affects the health or safety of any person - A situation that results in an abnormal physical condition and requires treatment by a physician or other medically trained, licensed personnel, such as a nurse, paramedic, or physician assistant, or is likely to cause the development of such a condition in the future.

2. Breach of or threat to the security of the facility, offenders, employees, or visitors - A situation that deviates from the rules of conduct, post orders, policies, Administrative Rules or the laws in effect at any facility.
3. Disrupts the orderly operation of the facility or office - A situation that necessitates use of force, violates a rule of conduct, or requires employees to seek extra assistance in responding to the situation.
4. Disrupts the orderly operation of food service- A situation that impacts one or more of the following areas of food service operation: sanitation, food service and safety, offender complaints, security/chemicals/conservation, and staffing.
5. Would be of interest to the Managing Officer or other ranking official in the facility or office.
6. Serious threats toward the health, safety, or security of a person - Includes an incident that results or could result in injury to a person whereby requiring treatment by a physician including, but not limited to, fractures, dislocations, lacerations requiring sutures, internal injuries, or other injuries requiring surgery or other major medical treatment.
7. Serious threats toward the safety or security of a facility - Includes an act that is intended to or likely jeopardize the confinement or containment of any inmate or the ability of employees to control inmate behavior or manage the facility.
8. Serious breach of or threat to security - Includes any act that constitutes a felony under the laws of Ohio or the United States, and any occurrence, or condition, which causes a risk of major disturbance.
9. Serious Wrongdoing – A serious act or omission committed by a state employee on any property owned or leased by the state or during the course of executing official duties. Wrongdoing is conduct that is not in accordance with standards of proper governmental conduct and which tends to subvert the process of government including, but not limited to, gross violations of departmental or agency policies and procedures, executive orders, and acts of mismanagement, serious abuses of time, and other serious misconduct. “Serious Wrongdoing” does not include activity that is most appropriately handled through the department’s human resources personnel.

Special Incident - An incident that seriously threatens the health, safety and/or security of a person or facility, Regional Offices, Operation Support Center (OSC) Bureaus, Corrections Training Academy, or Ohio Penal Industries (OPI). A list of the special incident reporting categories is included in Appendix A. Examples of special incidents include, but are not limited to:

1. Escapes, escape plans, walkaways, escape attempts, and erroneous releases;
2. Death of an employee;
3. Death of offender in custody in an institution;
Death of offender being supervised by the Division of Parole and Community Services, which could result in media coverage, or is considered a high notoriety case;
4. Major Disturbances – A disruption to the orderly operation of the facility that causes a risk of serious physical harm to persons or a risk of serious physical harm to employees in attempting to restore order;

5. Power outages;
6. Staff or inmate/offender assaults;
7. Life threatening injuries to offenders, employees, volunteers, or contractors;
8. Major property loss or damage;
9. Loss of/or missing Class A tools, equipment or keys;
10. Major contraband (e.g. drugs, cell phones, weapons, tobacco, etc.);
11. Firearms drawn or pointed (Institutions must complete a Special Incident Report in EIM; DPCS must follow Department policy 104-TAW-02, APA Use of Force, and complete an Incident Report (DRC1000);
12. Workplace Violence;
13. Other incidents that will likely have external ramifications and/or media interest.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) that non-routine occurrences, defined as "incidents" or "special incidents" be reported in a timely and effective manner to the appropriate departmental employees in order to assure that proper action may be taken.

VI. PROCEDURES

A. Incident Report Requirements

1. Any DRC employee or contractor who is involved in, observes, is informed of, or otherwise becomes aware of an incident, as described in the definitions of this policy, must report the incident as required by this policy. For the purpose of this policy, further references to "employee" shall also include contractors and volunteers who become aware of incidents that may require reporting.
2. Food Service incidents shall be reported in writing electronically on Incident Report - Food Service form (DRC1000FS) from the Electronic Forms Catalog.
3. Employees reporting an incident in food service shall complete an Incident Report- Food Service (DRC1000FS) and shall include their name, title, assignment at the time of the incident, office or location of the employee at the time referenced. The report shall describe, in as much detail as possible, what he or she actually saw, heard, was told, read or otherwise perceived and not speculate about things not directly perceived.
4. All incidents within the Department must be reported verbally and in writing, as required and described in this policy. Such reports shall be on Incident Report form (DRC1000), and if needed, Incident Report Supplement form (DRC1001).
5. Contents of Report - Employees completing an Incident Report Form (DRC1000) shall include their name, title, assignment at the time of the incident, office or location of the employee at the time referenced. The report shall describe the time and date when the reported information was learned. The report shall describe, in as much detail as possible, what he or she actually saw, heard, was told, read, or otherwise perceived and not speculate about things not directly perceived.

6. Reporting employees shall not attempt to determine whether incidents should be characterized as a "Special Incident," regardless of the circumstances. Special incidents shall be identified, characterized, and reported on a Special Incident Report in the EIM by the staff person designated by the Managing Officer.

B. Reporting Procedures

All reports of incidents described in this policy shall be submitted in the manner and to the persons described below.

1. All incidents shall be reported verbally and in writing as soon as circumstances permit.
2. Verbal Report to Supervisor - All incidents must be reported verbally to a supervisor as soon as circumstances permit. Supervisors shall make immediate verbal reports of incidents to the Managing Officer/designee according to the nature of the incident and facility, Regional Offices, OSC Bureaus, Corrections Training Academy, or OPI protocol.
3. Written Report - The Managing Officer/designee shall designate a secure location in the facility or office for the submission of written incident reports. Each employee who completes a written Incident Report (DRC1000) shall deposit the original report in the secure location. The employee should retain a copy of the report. The Incident Report Supplement (DRC1001) shall be used if additional pages are needed to document the incident. Written incident reports shall be submitted as soon as possible after becoming aware of the situation or information, and not later than the end of the shift or working hours. Copies of the written incident reports shall be submitted to:
 - a. Shift supervisor for custody staff
Supervisor for non-custody staff or non-institutional staff
Unit supervisors for parole officers
 - b. In the absence of the supervisor listed above, a copy of the report shall be provided to the next highest administrator in the employee's chain of command.
4. Electronic copies of the Incident Report (DRC1000) shall be submitted to the employee's immediate supervisor. The supervisor shall forward the Incident Report (DRC1000) to the appropriate manager for response and/or follow-up action.
5. Incident Report – Food Service (DRC1000FS) shall be routed electronically to the employee's immediate supervisor. The supervisor shall forward the Incident Report (DRC1000FS) to the appropriate Managing Officer/designee of the facility and the Regional Food Service Contract Monitor.
6. Reporting Criminal Incidents - In the event the incident appears to be criminal in nature, the supervisor shall secure the crime scene in accordance with Department policy 310-SEC-13, Protection of Crime Scene.

7. Recognizing Special Incidents – Managing Officers/designees or facility supervisors/designees are responsible for determining when an incident constitutes a special incident. Special incidents shall be reported as described in section VI.D of this policy.

C. Processing of Incident Reports

1. Managing Officer's Review

The Managing Officer/designee shall remove the original incident reports from the designated secure location no less frequently than the next business day and review them for appropriate action or referrals. The Managing Officer/designee shall receive all written Incident Reports (DRC1000), assess the seriousness of the matter, and take such action as deemed appropriate to the situation. The Managing Officer/designee shall notify other facility employees and administrators of incidents that may require a response or as otherwise needed for informed decision-making. The Managing Officer may wish to have a summary made of reported incidents to assist in tracking for follow-up.

2. Incident Report Follow Up, Distribution, and Assignments

- a. The Managing Officer/designee shall review incidents in meetings with the executive staff on a regular basis in order to facilitate information sharing. This review shall also be utilized to analyze incidents, including emergencies, to determine if any policy and/or procedure changes may be necessary to prevent future occurrences. In such cases, Managing Officers/designee shall submit the recommended changes into the affected policy's electronic comment bank on the DRC Intranet policy page. The Managing Officer/designee shall evaluate the need for distribution and/or investigation of the information, or other follow up, and make assignments as appropriate. The Managing Officer may direct that the incident report be collected and referred to the appropriate individual as the initial step in an investigation. In an appropriate circumstance, the reports of an incident may be referred for further development in a quality assurance/healthcare occurrence investigation process.
- b. The Regional Food Service Contractor shall review all incidents reported on the Incident Report – Food Service (DRC1000FS) and shall address the incident with the appropriate institutional staff and private food operator staff during their next scheduled site visit or within fourteen (14) days of receipt of report.

3. Quality Assurance Notification Meeting

The Managing Officers, the Bureau of Medical Services, and the Bureau of Behavioral Health Services shall select designated Quality Assurance (QA) Coordinators for each institution in the areas of medical care and mental health care. Representatives from these areas shall determine the characteristics of the incidents in which they wish to receive notification. They shall create a checklist of incidents for which they should be notified, and shall provide the list to the Managing Officer who shall ensure the appropriate reports are forwarded to the QA Coordinator. This checklist shall be updated

periodically to reflect the current and changing needs of the quality assurance processes and to promote good communication.

4. Maintenance of Records

- a. The originals of all Incident Reports (DRC1000) shall be maintained at the originating facility, Regional Office, Corrections Training Academy, OPI or OSC bureau. Special Incident Reports shall be maintained electronically in the EIM in accordance with the DRC Record Retention Schedule.
- b. Special Incident Reports and Incident Report – Food Service (DRC1000FS) shall be maintained electronically in the EIM.

D. Special Incident Reporting Procedures

1. When a supervisor receives a report of an incident that appears to be a special incident, that supervisor shall immediately make a verbal report to the Managing Officer or other designated supervisor.
2. During normal business hours, the highest-ranking supervisor in the facility shall make an immediate verbal report of any special incident to the appropriate Regional Director/designee (for institutions and parole regions) or Deputy Director/designee (for all other types of facilities).
3. Whenever a special incident occurs other than during normal business hours, the Managing Officer or highest ranking supervisor within the facility shall, as soon as practical, telephone or personally contact one of the following OSC staff members in order, until one is reached:

INSTITUTION REPORTING AFTER HOURS

- a. Regional Director;
- b. Managing Director of Operations;
- c. Director of DRC;
- d. Managing Director of Health Care & Fiscal Operations;
- e. Managing Director of Organizational Development;
- f. Managing Director of Court & Community;
- g. Managing Director of Risk Management;
- h. Regional Operations Manager.

DPCS REPORTING AFTER HOURS

- a. Managing Officers/Appropriate Section Head;
- b. Managing Director of Court & Community;
- c. Managing Director of Operations;
- d. Managing Director of Health Care & Fiscal Operations;
- e. Managing Director of Risk Management;
- f. Managing Director of Organizational Development;

- g. Director of DRC.

FRANKLIN MEDICAL CENTER REPORTING AFTER HOURS

- a. Managing Director of Health Care & Fiscal Operations;
- b. Managing Director of Operations.

CTA REPORTING AFTER HOURS

- a. Superintendent of CTA;
- b. Managing Director of Organizational Development;
- c. Managing Director of Operations;
- d. Regional Operations Manager.

OPI REPORTING AFTER HOURS

- a. Chief of Correctional Industries;
- b. Deputy Director of Administration;
- c. Managing Director of Operations

OPERATION SUPPORT CENTER REPORTING AFTER HOURS

- a. Administrator assigned to oversee OSC Security;
- b. Southwest Regional Director;
- c. Northwest Regional Director;
- d. Southeast Regional Director;
- e. Northeast Regional Director;
- f. Special Operations Commander;
- g. Managing Director of Operations.

NOTE: The decision to contact additional OSC employees shall be made by the first OSC employee contacted by the facility/office.

4. The facility shall provide an electronically submitted Special Incident Report in the EIM to the appropriate parties, being sure to use the electronic distribution list, no later than the next business day, unless otherwise directed.
5. If it is reasonably believed the incident will likely result in a criminal investigation or an internal investigation of an employee, the Managing Officer shall notify the appropriate Regional Director or Managing Director. A Special Incident Report shall not be distributed electronically in the EIM until after it is determined such production will not compromise the integrity of any criminal/administrative investigation.

Attachments:

Appendix A

Special Incident Locations & Categories

Related Department Forms:

Incident Report Form

DRC1000

Incident Report Supplement Form

DRC1001

Incident Report-Food Service Form

DRC1000FS

APPENDIX A

Special Incident Reporting Sites

All Correctional Institutions
All Parole Regions
Franklin Medical Center
Corrections Training Academy
Division of Parole and Community Services (For Sections Not Listed Elsewhere)
Ohio Penal Industries
Operations Support Center

Special Incident Reporting Categories

1. Assault / Attempted Assault
 - Offender on Offender
 - Offender on Staff
 - Offender on Family Member
 - Offender on Visitor/Other
 - Offender on Law Enforcement
 - Staff on Offender
 - Staff on Visitor/Other
 - Staff on Staff

2. C.I.M. Activation
 - Disturbance Control
 - Escape
 - Hostage
 - Bomb Threat
 - Natural / Man Made Disaster
 - Fire
 - Evacuation
 - Utility / Facilities Failure
 - Staff Job Action
 - Other

3. Contraband Conveyed
 - Cell Phone
 - Tobacco
 - Drugs
 - Weapon - Blunt Object
 - Weapon - Knife/Shank
 - Weapon - Sharp Object
 - Weapon - Lock
 - Weapon - Firearm
 - Weapon – Other

4. Contraband Seized
 - Cell Phone
 - Tobacco
 - Drugs
 - Weapon - Blunt Object
 - Weapon - Knife/Shank
 - Weapon - Sharp Object
 - Weapon - Lock
 - Weapon - Firearm
 - Weapon – Other
5. Discharge of Firearm/Chemical - Non UOF
6. Employee Misconduct
 - Misconduct at Workplace
 - Misconduct Away From Workplace
 - Employee Arrested
 - Employee Not Arrested
7. Erroneous Release
8. Evacuation
9. Fire
10. Hostage Taking
11. Hunger Strike
12. Incident Response Team Activation
 - Disturbance Control
 - Escape
 - Hostage
 - Clear Out
 - Warden Activated
 - Special Operations Commander
 - Bomb Threat
 - Natural / Man Made Disaster
 - Fire
 - Evacuation
 - Utility / Facilities Failure
 - Staff Job Action
 - Inmate Death
 - Staff Death
 - Other
 - Special Response Team
 - Hostage / Crisis Negotiation
 - Critical Incident Support Team
 - Statewide Tactical / Response Team
 - Actual Incident
 - Exercise
 - Training

13. Media Attention / Involvement

- About Incident at Workplace
- About Incident Away From Workplace
- About Offenders
- About Staff
- Other

14. Medical Concern

- Staff Member
- Offender

15. Natural/Man Made Disaster

16. Offender Death

- Workplace - Apparent Natural Causes
- Workplace - Apparent Accident
- Workplace - Apparent Unknown/Not Determined
- Workplace - Apparent Homicide
- Workplace - Apparent Suicide
- Non-Workplace - Apparent Accident
- Non-Workplace - Apparent Homicide
- Non-Workplace - Apparent Suicide
- Non-Workplace - Apparent Natural Causes
- Non-Workplace - Apparent Unknown/Not Determined

17. Offender Property Theft

18. Offender Refusal to Lock

- STG Affiliation
- Extortion
- Sex Offender
- Robbery-cell or person
- Transfer Manipulation
- Alleged Sexual Assault
- Previous Issues-prior to incarceration
- Assaulted by an unknown inmates
- Debt and/or Dealing
- PC Transfer
- Transfer in lieu of PC
- Transfer-same security supervision level
- Transfer-increase in security supervision level

19. Offender Self-Injurious Behavior

20. Sexual Abuse

- Offender on Offender
- Offender on Staff
- Offender on Family Member
- Offender on Visitor/Other
- Offender on Law Enforcement
- Staff on Offender
- Staff on Staff

21. Staff Death

- Workplace - Apparent Homicide
- Workplace - Apparent Suicide
- Workplace - Apparent Natural Causes
- Workplace - Apparent Accident
- Workplace - Unknown/Not Determined
- Non-Workplace - Apparent Homicide
- Non-Workplace - Apparent Suicide
- Non-Workplace - Apparent Natural Causes
- Non-Workplace - Apparent Accident
- Non-Workplace - Unknown/Not Determined

22. Staff Job Action

23. Staff Workplace Violence

- Harassment/Threats/Intimidation
- Physical

24. Staff/Offender Inappropriate Relationship

25. Theft/Damage to State Property

- Caused by Offender
- Caused by Staff Member
- Caused by Other

26. Threat to Facility

27. Threats to Staff

- Workplace - From Other Staff
- Workplace - From Offender
- Workplace - Visitor / Member of the Public
- Non-Workplace - From Other Staff
- Non-Workplace - From Offender
- Non-Workplace - Visitor / Member of the Public
- Harassment / Threats / Intimidation
- Physical

28. Use of Force

- Planned
- Reactive
- At Workplace
- Away From Workplace
- Unarmed Self Defense
- Less Lethal Munitions / Chemical
- Oleoresin Capsicum (OC)
- PR 24
- Firearm
- Cell Extraction
- Four/Five Point Restraints
- Injuries to Staff - Medical/Infirmiry
- Injuries to Staff - Hospital
- Injuries to Offender - Medical/Infirmiry
- Injuries to Offender - Hospital
- Injuries to Law Enforcement - Medical/Infirmiry
- Injuries to Law Enforcement - Hospital
- Injuries to Visitor/Other - Medical/Infirmiry
- Injuries to Visitor/Other – Hospital

29. Utility/Facilities Failure

30. Vehicle Accident - Conducting State Business

- State Vehicle - Reported to Law Enforcement
- State Vehicle - Not Reported to Law Enforcement
- Personal Vehicle - Reported to Law Enforcement
- Personal Vehicle - Not Reported to Law Enforcement

31. Visitor/Member of Public Issue

- At Workplace
- Away From Workplace

32. Walkaway/Escape

33. Workplace Fight

- Offender and Family Member
- Offender and Visitor/Other
- Offender and Law Enforcement
- Staff and Staff
- Staff and Visitor/Other
- Offender and Offender
- Offender and Staff