



State of Indiana
Indiana Department of Correction

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7/1/2013	16	02-03-114

POLICY AND ADMINISTRATIVE PROCEDURES
Manual of Policies and Procedures

Title
INCIDENT REPORTING, MONITORING AND MAPPING

Legal References (includes but is not limited to) IC 11-8-2-5(a)(8) IC 11-11-6-1(a)(4)	Related Policies/Procedures (includes but is not limited to) 00-02-101 02-01-115 03-02-103	Other References (includes but is not limited to) ACA: ACI: 4-4017; 4-4018; 4-4183 JTS: 1A-23; 1A-24; 3A-09 (ASCA): Association of State Correctional Administrators (PBMS): Performance-Based Measures System
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I. PURPOSE:

The purpose of this policy and administrative procedure is to implement a systematic manner of incident reporting and gathering information regarding incidents that disrupt the orderly operation of Indiana Department of Correction Adult / Juvenile facilities, IDOC – Operated Community Re-entry/Work Release Facilitie(s), Parole Offices, Central Office and other Department Work Sites. This policy also requires that all Critical Incident notifications are reported to the Department’s Operations Center via an email with a follow-up phone call by all reporting Divisions of the Department. The Department will be able to analyze incident reporting data to ensure operational and staffing issues are addressed to effectively minimize and prevent violence and disruptions that may occur at Indiana Department of Correction sites.

II. POLICY STATEMENT:

It is the intent of the Indiana Department of Correction to diligently manage potential violence by offenders in its facilities, residents at work release facilities, and parolees being supervised in the community. The Department must maintain awareness of re-occurring incidents and patterns of staff, offender and parolee interaction by tracking incidents of interest within its facilities and when in the community.

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III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are presented:

- E. **ATTEMPTED ESCAPE:** An offender who attempts to elude / circumvent the security measures of a correctional facility or that of the custody/control of a correctional officer outside the confines of a correctional facility and flees from the off-site location (i.e., outside work detail, community transport, etc.).
- A. **BATTERY ON OFFENDER:** A battery on an offender is reported only if serious bodily injury results or if staff batters the offender or the battery is sexual in nature. In a battery by staff and a battery that is sexual in nature, all such batteries must be reported regardless of the degree of injury.
- B. **BATTERY ON STAFF:** A battery on staff is reported only if bodily injury, serious bodily injury, or death results.
- C. **BODILY INJURY:** Any impairment of physical condition, including physical pain in accordance with IC 35-41-1-4.
- D. **DEPARTMENT OF CORRECTION OPERATIONS CENTER:**
The Operations Center containing two distinct operations which include the Central Warrants Units and Critical Incident Notification for all Department Reporting Structures. The Operations Center is located on the grounds of the Reception-Diagnostic Center and operates 24 hours a day, seven days a week, including holidays.
- E. **DISTURBANCE (Correctional Facilities):** A disruption of routine facility operation/security by staff, offenders or other persons, such as riot, offender work stoppage, demonstrations, simultaneous offender hunger strike of 5 or more offenders, or violent and tumultuous incidents requiring special assistance and activation of special teams (i.e., E-Squad, SERT, SITCON, State Police, etc.) to regain control over a correctional facility.
- F. **ESCAPE:** An offender who eludes/circumvents all the security measures/barriers of a correctional facility and departs from the facility.
- G. **HOSTAGE SITUATION:** An event in which a person voluntarily controls another person either by use of weapon(s) or by threat of violence.
- H. **INCIDENT:** Any situation that disrupts the routine operation of a facility.

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- I. **MAJOR CONDUCT REPORT:** Any REPORT OF CONDUCT for a major disciplinary code offense (Class A or B) which results in injury to a staff person, a member of the public or another offender or which results in significant damage or destruction of state-owned or personal property belonging to another.
- J. **NATURAL DISASTER:** Events such as earthquakes, tornadoes, straight line winds, chemical spills, etc., where the routine function of the facility is seriously disrupted. These events do not include brief or intermittent power outages, unless these power outages result in substantial equipment failure and subsequent disruption of the facility.
- K. **SERIOUS BODILY INJURY:** An injury to a person that requires urgent and immediate medical treatment (normally more extensive than mere first aid, such as bandaging a wound; but which might include stitches, setting of broken bones, treatment of concussion, etc.) and/or that creates a substantial risk of death or that causes:
- Serious permanent disfigurement;
 - Unconsciousness;
 - Extreme pain;
 - Permanent or protracted loss or impairment of the function of a bodily member or organ; or
 - Loss of a fetus.
- L. **SEXUAL MISCONDUCT OF OFFENDER / STAFF / VOLUNTEER MISCONDUCT:** Any act or behavior of a sexual nature directed toward an offender by an employee, volunteer, contractor, official visitor, visitor or Department representative, such as romantic relationships between staff and offenders and consensual or non-consensual sexual acts including:
1. Intentional touching of the genitalia, anus, groin, breast, inner thigh, or buttocks with the intent to abuse, arouse, or gratify sexual desire;
 2. Completed, attempted, threatened, or requested sexual acts; or,
 3. Occurrences of indecent exposure, invasion of privacy, or staff voyeurism for sexual gratification.
- M. **STAFF/VOLUNTEER/VISITOR/OFFENDER SEXUAL HARRASSMENT:** Verbal statements or comments of a sexual nature to an offender by an employee, volunteer, contractor, official visitor, visitor or Department representative or statements or

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comments of a sexual nature by an offender to another offender, employee, volunteer, contractor, official visitor, visitor or Department representative including:

1. Demeaning references to gender or derogatory comments about body or clothing;
or,
2. Profane or obscene language or gestures.

Staff shall follow the reporting guidelines as outlined in A.P. 02-01-115 Sexual Assault Prevention, Investigation, and Victim Support & Reporting.

In reporting this violation for purposes of PREA and ASCA, staff shall indicate if the sexual conduct involved the use of force, (RAPE/ALLEGED RAPE) threat or intimidation and, if by an offender, whether the conduct was towards another offender, staff, contractor or volunteer).

IV. REPORTING CRITICAL INCIDENTS:

A Critical Incident is any event that seriously disrupts the routine operation of a facility; and/or the supervision of parolees in the community that may be a serious, significant, or highly sensitive event, such as the following incidents:

1. Escape / Attempted Escape;
2. Death or serious injury of on-duty staff;
3. Death or serious injury of an offender, except in cases where the offender dies of natural causes and the death was anticipated;
4. Riot / Hostage Situation
5. Assault / Battery on Staff (All)
6. Battery on Offender, (i.e. Battery on Another resulting in injury, such as requiring medical attention at the facility infirmary or local hospital)
7. Sexual misconduct of offender, visitor, (i.e. rape/attempted rape, etc.)
8. Staff sexual misconduct;
9. Death or serious injury of a visitor at a facility;
10. Any serious fire or disturbance at a facility, and/or serious accident;
11. Any natural disaster or other serious unexpected event, such as the loss of utilities, that may have a serious negative impact upon the operation of the facility;
12. Staff or offender injury resulting from use of force;
13. Any arrests that take place at IDOC facilities by CPOs or local Law Enforcement / State Police.
14. Any incident that may have a negative impact on the Department of Correction.

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15. Any serious crime, such as homicide, serious battery or sex crime, committed by an offender or parolee that may cause widespread interest or non-routine news coverage and where a response or comment may be solicited from Central Office.
16. Any unexpected event that may cause widespread interest or non-routine news coverage and where immediate response or comment may be solicited from Central Office; such as Lockdown, Riot, Unexpected Death / Suicide, Hunger Strike of 5+ offenders at the same time, Cell Extraction and Weapons Team activation; Level V (Five) Disturbance or Higher involving use of Stun device / Pepper Ball/OC, E-Squad, SERT, K9, SITCON, or CISM activations, and / or listed w in Section “IV” and “V.”

V. LEVELS OF EMERGENCIES (Correctional Facilities):

The disruption of routine facility operation that may involve serious incidents involving offenders, staff, or other persons requiring the activation of Quick Response Team, Special Emergency Response Squad, and / or State Police in order to regain control and normal routine operations at a facility should be determined by nature of the emergency and following the levels of disturbance criteria below:

- **Level V Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the return to normal operations can be attained by the Quick Response Team and on-duty staff.
- **Level IV Emergency** – Disturbances, disasters, escapes, and other emergencies in which it is determined the responses/resources necessary for the stabilization of the situation cannot be attained by the Quick Response Team and/or on-duty staff and return to normal operations requires the assistance of off-duty staff.
- **Level III Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff nor its primary back-up units. The return to normal operations shall require the assistance of the Special Emergency Response Team (SERT) and/or facility Situation Control Team(s) (SITCON).
- **Level II Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff and return to normal operations requires the assistance from mutual aid personnel.
- **Level 1 Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff, inter-departmental personnel, intra-agency personnel, and any local mutual aid personnel.

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A. Reporting Incidents to Operations Center for IDOC Correctional Facilities:

Whenever any event of a serious, significant, or highly sensitive nature occurs at any Indiana Department of Correction Adult or Juvenile Correctional Facility, staff shall be responsible for reporting critical incidents, as listed in (Section IV and/or V) of this policy, to the Indiana Department of Correction Operations Center. Reporting notifications are to be made in the following manner:

1. When an incident must be reported as defined in (Section IV) of this policy, the Operations Center shall be notified by the facility within (1) hour of the incident or no later than (1) hour after the critical incident becomes known to the Facility Head or designee, along with notification to the appropriate Division Director, Executive Director, and/or Division Deputy Commissioner.
2. The information that is reported to the Operations Center must be reported by a Shift Supervisor (after consulting with the Duty Officer) or a higher authority from the facility, or a Supervisor from other work sites, whose responsible for reporting the incident as well as any updates.
3. All initial notifications to the Operations Center are to be made via an email, using the standardized form (ATTACHMENT I), with a follow-up telephone call of the critical incident prior to the end of shift. The Operations Center's email address is RDCOpsCenter@idoc.in.gov and the designated phone number for reportable incidents is (317) 839-1233. If necessary, the back-up numbers are (317) 839-7727 ext. 3082 and ext. 3083.
4. The email shall include the following information:
 - a. Facility Name/Location or IDOC work site of incident;
 - b. Staff Reporting Incident with title/rank;
 - c. Type of Incident as listed in (Section IV) of this policy;
 - d. Date and approximate time and short description of Incident;
 - e. Staff / Offender involved with names, numbers, and/or rank;
 - f. Witnesses;
 - g. Injuries / Weapons; and,
 - h. Any resolutions made or pending surrounding the incident that occurred.
5. The incident will be assigned a number by the Operations Center and this number will be given through an email to the facility or work site Supervisor as verification that the report was made to the Operations Center.

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B. Reporting Incidents to Operations Center for Department Community Re-Entry Centers, Parole, Central Office, or Other Correction Work Sites

Whenever any event of a serious, significant, or highly sensitive nature occurs at any IDOC operated Community Re-Entry Facility, Parole site(s), Central Office, or any other Correction Work Site, other than IDOC Adult/Juvenile Correctional Facilities, staff shall be responsible for reporting critical incidents, as listed in (Section IV) of this policy, to the Indiana Department of Correction Operations Center, along with following the appropriate notifications via the chain of command. The Operations Center notifications are to be made in the following manner:

1. Any serious incidents involving offenders, parolees, the public, and/ or staff that entails any of the reportable incidents, such as homicide, serious battery or sex crime, committed by an offender or parolee that may cause widespread interest, and/or incidents listed in (Section IV) that may cause non-routine news coverage and where a response or comment may be solicited from Central Office should be reported with an email and a follow up call-in to the Operations Center along with notification to the appropriate Chain of Command.
2. The information that is reported to the Operations Center must be reported by a Duty Officer/Supervisor/Facility Head or above from the Department work site, who is responsible for reporting the incident as well as any updates.
3. All initial notifications to the Operations Center are to be made via email with a follow-up with a follow-up phone call of the critical incident prior to the end of shift. The Operations Center's email address is RDCOpsCenter@idoc.in.gov and the designated phone number for reportable incidents is (317) 839-1233. If necessary, the back-up numbers are (317) 839-7727 ext. 3082 and ext. 3083.
4. The email shall include the following information:
 - a. Facility Name/Location or IDOC work site of incident;
 - b. Staff Reporting Incident with title / rank;
 - c. Type of Incident as listed in Section IV of this policy and administrative procedure;
 - d. Date and approximate time and brief description of incident;
 - e. Staff / Offender involved with names, numbers, and/or rank;
 - f. Witnesses;
 - g. Injuries / Weapons; and,
 - h. Any resolutions made or pending surrounding the incident that occurred.

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5. The email regarding the Incident will be assigned a number by the Operations Center and this number will be emailed to the facility or work site Supervisor as verification that the report was made to the Operations Center.
- C. In addition to the types of incidents defined above, the following events shall also require an email to the Operations Center and notification via the Chain of Command in accordance with this policy and administrative procedure:
1. Any situation of alleged child abuse and/or neglect occurring within a facility that requires notification to the Department of Child Protective Services. (NOTE: The policy and administrative procedure for Policy 03-02-103, "The Reporting, Investigation and Disposition of Child Abuse and Neglect," shall be followed).
 2. Any situation/event that threatens the physical plant of a facility, such as fire, sabotage, bomb threat, equipment failure, power failure, water shortage, heating system failure or significant physical damage to the facility infra-structure other than by natural disaster, particularly when those situations/events impact the overall operation of the facility.
- D. Whenever any staff person becomes aware of any serious, significant or highly sensitive event or critical incident, the staff person shall, while or after taking any necessary action to resolve the event, notify the Facility Head or Duty Officer, as appropriate, or the Parole District Supervisor or Assistant Parole District Supervisor for incidents that occur involving Community Re-Entry Center residents/staff, parolees, or parole staff.
1. Upon receiving information regarding a serious, significant or highly sensitive event, as defined above, the Facility Head, Duty Officer or Parole District Supervisor shall make appropriate notifications as specified in their Chain of Command, along with notifying the appropriate Director of Parole Services, Executive Director, and/or Deputy Commissioner by telephone as soon as possible.
 - a. The Facility Head, Duty Officer, or Parole District Supervisor shall provide as much information as possible regarding the serious, significant or highly sensitive event so that all appropriate staff can be made aware of the situation and its status.

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- b. Follow-up telephone calls may be necessary to ensure that all pertinent information is made available to all appropriate staff.
 - c. No later than the next business day, the Facility Head, Duty Officer, or Parole District Supervisor or designee shall complete a SharePoint REPORT OF CRITICAL INCIDENT as noted in Section V of this policy and administrative procedure, and submit it via e-mail to the appropriate Director, Executive Director, and/or Deputy Commissioner, and (if it pertains to facilities under the Division of Operations) submit copy to the Administrative Assistant to the Executive Director of Adult Facilities and the Deputy Commissioner/Operations, and ensure information is posted on SharePoint – under Critical Incident in accordance to Section V of this policy and administrative procedure.
 2. Upon receiving information regarding a critical incident that is not a “serious, significant or highly sensitive event” as defined above, the Facility Head, Duty Officer, or Parole District Supervisor shall notify the appropriate Director of Parole Services, Executive Director, and/or Deputy Commissioner, by e-mail, using the REPORT OF CRITICAL INCIDENT. This would be an incident that is deemed “confidential,” and not posted on SharePoint Critical Incidents (e.g., possible outside arrests reported by staff where they received DUI, Domestic Violence, or very sensitive investigations that may still be pending and pertain to staff, etc.).
 - a. The Facility Head, Duty Officer or Parole District Supervisor shall include all pertinent information regarding the incident or event so that all appropriate staff can be made aware of the situation and its status.
 - b. This notification shall be made as soon as possible but in no case should it be reported more than 24 hours after the email notification of the critical incident.
 3. In the event the Division Director, Executive Director, or designee who is to be initially notified of a critical incident, is unavailable or cannot be contacted, the reporting Duty Officer or Parole Supervisor shall contact the next person in the chain-of-command. If the next person in the chain-of-command cannot be contacted, the reporting Duty Officer or Parole Supervisor shall continue up the chain-of-command until call-in notification can be made.
- E. The Executive Director of Transition & Re-Entry Services, Executive Director of Youth Services, Director of Parole Services, Director of Transitional Facilities and Community-Based Programs, or other designee(s) receiving the report shall collect all available

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information regarding the incident and shall notify the appropriate Deputy Commissioner(s), and/or the Commissioner, or designee, and the Department's Chief Communications Officer.

VI. OFFICIAL REPORT OF CRITICAL INCIDENT BY FACILITY HEAD:

No later than the first business day following the date of the critical incident or other serious, significant or highly sensitive event or when staff becomes aware of the critical incident or other serious, significant or highly sensitive event, the Facility Head, Parole District Supervisor, or designee shall complete the SharePoint REPORT OF CRITICAL INCIDENT that is to be documented via SharePoint. This report shall be completed in its entirety and shall include as much information as possible regarding the critical incident or event. The report shall be completed electronically using the approved electronic version of the SharePoint REPORT OF CRITICAL INCIDENT. When this report is completed, it shall be forwarded via the chain of command to the appropriate Division Director, Executive Director, and Deputy Commissioner (For facilities under the Division of Operations (only) send an email to the Administrative Assistant for the Deputy Commissioner/Operations via e-mail). If the report cannot be sent via e-mail, a facsimile of the report shall be transmitted to the appropriate Director, Executive Director, or Deputy Commissioner following a telephone call advising of the lack of e-mail and the need to send a facsimile. A copy of the report shall be sent via e-mail as soon as possible.

If additional information regarding the critical incident or event is obtained following the submission of the SharePoint REPORT OF CRITICAL INCIDENT, the Facility Head, or Parole District Supervisor or designee shall submit the additional information, in a memorandum form, as soon as possible. This information shall be sent via e-mail to the appropriate Division Director (Work Release or Parole), Executive Director, and/or Deputy Commissioner, with an update to the initial critical incident on SharePoint.

Upon receipt of the SharePoint REPORT OF CRITICAL INCIDENT, the appropriate Executive Director, Deputy Commissioner, or other person (designee) receiving the information shall review the report and make recommendations relating to corrective actions when advising the Commissioner and Department's Chief Communications Officer to the contents of the report.

Upon approval of the suggested corrective actions by the Deputy Commissioner(s) and/or Commissioner, the Division Director or Executive Director shall contact the appropriate Facility Head or Parole District Supervisor. The Facility Head or Parole District Supervisor shall prepare a plan of correction to implement the corrective actions and shall submit this plan of correction within 30 days of the date notified via the appropriate chain-of command.

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VII. MONITORING INCIDENTS:

A. The Assistant Facility Head of Operations or designee shall review all INCIDENT REPORTS, REPORT OF CRITICAL INCIDENT, Daily Shift Reports and REPORT OF CONDUCT forms for major Disciplinary Code offenses to determine if any type of violence on the part of staff or offender was involved and, if so, the nature of the violence. For the purpose of this review, violent incidents will be considered as

1. Battery by an offender on another offender;
2. Battery on staff by an offender;
3. Assault on Staff
4. Cell extractions;
5. Disturbances;
6. Abusive sexual contact or non-consensual sexual acts; or,
7. Any "INCIDENT REPORT or REPORT OF CONDUCT for a major Disciplinary Code offense that contains a battery or other violent acts.

The OIS and JDS Systems have reports that will assist in monitoring many of the events. REPORTS OF CONDUCT are available by "place of incident".

B. Each business day, if an incident or critical incident occurs, an operational meeting shall be held to debrief / discuss all incidents within the facility. The following staff shall attend these meetings:

- Facility Head;
- Assistant Facility Head/Operations;
- Custody Supervisor;
- Facility Investigator;
- Safety Hazard Manager;
- Designated Unit Manager(s);
- Shift Supervisor;
- Health Care Staff, if medical treatment was necessary; and/or,
- Any other staff designated by the Facility Head or Assistant Facility Head.

The Assistant Facility Head/Operations or designee shall ensure that copies of all INCIDENT REPORTS, REPORT OF CRITICAL INCIDENT, Daily Shift Reports and REPORTS OF CONDUCT to be considered are brought to the meeting so that all staff may review the complete report during the discussion of the incident, and information is updated via the initial SharePoint Critical Incident Report, with additional information, such as (pending prosecution outcomes, hospital returns, other outcomes / resolutions of incident, etc).

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VIII. MAPPING OF INCIDENTS INVOLVING VIOLENCE:

All information relating to acts of violence in the facility gathered in accordance with Section IV of this policy shall be plotted on a map of the facility. The Assistant Facility Head/Operations shall maintain this map on a daily basis.

The incidents will be plotted by housing unit or activity area, (i.e. food service, recreation, school, etc.)

- A. A **red magnet** shall represent offender on offender batteries with injury;
- B. A **blue magnet** shall represent offender on staff assault/battery with injury;
- C. A **gray magnet** shall represent offender on offender fights-with injury;
- D. A **yellow magnet** shall represent sanitation issues;
- E. An **orange magnet** shall represent destruction of property;
- F. A **purple magnet** shall represent medical issues;
- G. A **green magnet** shall represent abusive sexual contact or non-consensual sexual acts;
- H. A **white magnet** shall represent escape or escape attempts; and,
- I. A **black magnet** shall represent all other types of incident.

At least monthly, the staff designated by the Facility Head to monitor the data shall discuss the monitoring of facility incidents / trends and shall assist in the tracking of incidents and determining the appropriate response to the incidents.

IX. RESPONSE TO THE INFORMATION COLLECTED ON INCIDENTS INVOLVING VIOLENCE:

Based on the information relating to violent incidents gathered and the analysis of this information by staff, it may be determined that changes may need to be made in the operation of the facility. These changes may include, but are not limited to:

- A. Staffing changes

If the pattern of violence indicates that there is a lack of proper supervision in an area (for instance if there is a lack of enforcement of policy, procedures, or post orders) staff changes may occur or disciplinary action may be necessary;

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B. Operational changes

If the pattern of violence indicates that the current operation of an area enhances the opportunity for violence, the policies, procedures or post orders shall be reviewed and revised to allow for greater security in the violent prone area;

C. Functional processes

In some situations there may be need to change functional processes that have been well established within facility.

D. Incident Management Meeting

If the incident is identified as having been related to poor supervision and control of offenders, the staff member(s) responsible for the location where the incident occurred shall meet with the Facility Head, Assistant Facility Head/Operations and his/her supervisor in order to review basic safety, security, supervision and control procedures. Such meetings shall be documented in the staff member's Fact File as performance counseling.

X. INCIDENT SUMMARY:

The Assistant Facility Head/Operations shall maintain an "Incident Summary." REPORTS OF CONDUCT regarding major offenses involving violence or significant property damage, REPORTS OF CRITICAL INCIDENTS, INCIDENT REPORTS, etc., shall be maintained on a database available for review by all department heads. Information contained in the database shall include but not be limited to:

- Date of incident
- Time of incident
- Location of the incident
- Staff rotation on duty at the time of incident
- Staff members involved in the incident
- Offender(s) involved in the incident
- Type of incident
- Shift Rotation
- Race of persons involved
- Injuries that resulted from the incident
- Whether the use of force was necessary
- Whether Security Threat Groups or High Risk offenders were involved

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- Other information as determined by the Facility Head
- Recommendation(s) for remedying the situation

XI. DEBRIEFING OF CRITICAL INCIDENTS:

Within 96 hours of an incident requiring a REPORT OF CRITICAL INCIDENT, the Assistant Facility Head/Operations, the Custody Supervisor, Facility Investigator, Unit Manager or Supervisor of the area where the incident occurred shall conduct a debriefing. A report of the debriefing shall be prepared and submitted to the Facility Head for review. This debriefing report shall contain the following information:

1. A brief description of the incident;
2. Review of staff and offender actions during the incident;
3. Factors that may have contributed to the incident;
4. A list of all injuries or death;
5. A list of all staff directly involved in the incident;
6. A review of incident's impact on staff and offenders;
7. An inventory of damaged or destroyed State property;
8. A critique of decisions made during the incident;
9. Factors or conditions which still exist and which could result in a similar incident;
10. Any referrals to law enforcement and/or prosecutors office; and,
11. Recommendations for plans of correction.

Following review and approval of the report, the Facility Head shall prepare a plan of correction for any areas needing improvement. The Facility Head shall submit a copy of the report and the plan of correction to the appropriate Division Director, and /or Executive Director within 30 days of the date notified via the appropriate chain-of command. The Division Director and/or Executive Director shall review the report and plan of correction and share this information with the appropriate Deputy Commissioner and any other staff impacted by the incident. Upon approval of the plan of correction by the appropriate Deputy Commissioner, the Director and/or Executive Director shall advise the Facility Head. The Facility Head shall implement the approved plan of correction.

XII. GRAPHING/TRACKING OF INCIDENTS:

The Facility Head shall designate the staff responsible for tracking all incidents from month to month and year to year. Comparisons from year to year and month to month shall be completed and incidents shall be divided into three (3) sub-categories: Offender on Offender violence; Offender on Staff violence; and Non-violent incidents. All departments shall cooperate fully with Internal Affairs staff by providing any documentation necessary to assist in the tracking of critical incident.

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The Facility Head shall designate staff responsible for tracking (trends) in-facility incidents from month to month and year to year. The staff designated shall submit a Quarterly Tracking Report for incidents to the Executive Director of Adults Facilities, the Deputy Commissioner of Operations, and the Chief Investigator/Internal Affairs for review. These quarterly reports are due on April 15th, July 15th, October, 15th of the current year and January 15th of the following year for the last quarter. If due dates fall on a weekend or holiday, reports are due the next business day. These reports shall include data from the three previous months and include a comparison chart/data to the incidents that had occurred the previous year during the specific quarter. The reports shall be divided into three (3) sub-categories: Offender on Offender violence; Offender on Staff violence; and Non-violent incidents (contraband finds and locations). All departments shall cooperate fully with facility staff assigned to track incidents by providing any documentation necessary to assist in the tracking of incidents. The Deputy Commissioner of Operations shall share the quarterly information with the Commissioner/designee to determine whether any corrective action(s) is necessary. If corrective action(s) is necessary, information will be generated from the Deputy Commissioner of Operations to the Executive Director of Adult Facilities who will then discuss necessary corrective actions with the appropriate Facility Head with due date.

XIII. PLAN FOR THE REDUCTION OF VIOLENCE:

In an effort to reduce the overall incidents of violence, each facility shall;

- A. Continue to review the Incident Management database to identify trends in violence, repeated incidents involving the same offender(s), locations, times and shift rotations of incidents, and the number of incidents involving particular staff members.
- B. Conduct incident review performance meetings with involved staff to identify and recognize what could have been done to prevent the incident or what can be done to prevent future incidents.
- C. Use the Offender Incentive program to recognize and reward positive behaviors.
- D. Partner with outside local resources to provide programs and reduce tension within the facility.

POLICY AND ADMINISTRATIVE PROCEDURES

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XIV. TRAINING:

Each Facility Head shall ensure that supervisory staff is trained in the components of this policy and administrative procedure. The Correctional Training Institute shall develop a training module on Critical Incident Reporting for new supervisory staff.

XV. APPLICABILITY:

This policy and administrative procedure are applicable to all Department of Correction facilities and staff.

signature on file
Bruce Lemmon, Commissioner

Date