A synopsis of the activity in 2012 of the DOC Ombudsman Bureau
March 21, 2013

Dear Governor Pence, the Honorable Speaker, President Pro Tem, and Commissioners Lemmon and Wynkoop,

I am distinctly honored to submit to you the 2012 Annual Report of the Department of Correction Ombudsman Bureau as required by I.C. 4-13-1.2-10.

This report provides an overview of the number and types of complaints and resolutions provided for complaints that the Bureau received from January 1, 2012 through December 31, 2012. It also includes examples of substantiated cases as well as an outline of the operations of the Bureau.

I am humbled at the opportunity to serve Governor Pence and continue to provide service to the great people of our State. I look forward to working with the Administration.

Sincerely,

Charlene A. Burkett
DOC Ombudsman Bureau Director
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I. The Year in Review

In the year 2012, the DOC Ombudsman Bureau ("the Bureau") received a total of 958 complaints, investigated a total of 256 and substantiated a total of 27 complaints. See Figure 1 below.

![2012 Complaint Totals](image)

**Figure 1**

The line graph labeled Figure 2 below depicts the trend in the number of complaints received by the Bureau since 2009. The 958 complaints received by the Bureau in 2012 represents the largest number of complaints received by the Bureau since 2009. Figure 2 further depicts that the 256 complaints "investigated" by the Bureau is also the largest number of complaints investigated by the Bureau since 2009. A complaint is categorized as being "investigated" by the Bureau when, in order to resolve the matter, the Bureau must make further contact. Once the Bureau makes this contact, the investigation could result in the complaint being substantiated, thus, by nature all complaints that are substantiated are also investigated. Although a
substantiated complaint is also investigated, it does not mean that all investigated complaints are substantiated. As a matter of fact, 27 of all complaints received by the Bureau in 2012 are substantiated. As Figure 2 below illustrates, the 27 complaints substantiated by the Bureau is also consistent with past years.

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Figure 2

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The breakdown of how the Bureau handled complaints received is consistent with past years, as depicted in Figure 3 below.

**Figure 3**

Of the 958 complaints received by the Bureau in 2012, 70% or 675 of these complaints were classified as “Not Investigated” by the Bureau. As the graph below depicts, these complaints that were classified as “Not Investigated” fall into four main categories: No Violation, DOC Process, No Jurisdiction, and More Information. See Figure 4 below. A complaint is determined to have “No Violation”, the largest of the four categories, when the Bureau reviews the complaint and the associated policy, procedure, and/or law and determines that the DOC has acted in accordance with such. A complaint falls into the “DOC Process” category when, after reviewing the complaint, the Bureau determines that the offender has not completed the requisite DOC Process in attempting to resolve the matter. In this case, the Bureau instructs the offender
to complete this process first before filing a complaint with the Bureau. A complaint is
categorized as “No Jurisdiction” when the matter falls outside the statutory functions of the
Bureau. Lastly, a complaint is categorized as needing “More Information” when the
complainant has failed to provide the Bureau with enough information to make any further
determination in regard to the matter.

![2012 Complaints Not Investigated](image)

Figure 4

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As compared to 2011, the Bureau had an 11% increase in “No violation” complaints in 2012. See Figure 5 below. Figure 5 below further demonstrates that the Bureau dropped by 10% in “DOC Process” complaints, but gained over 10% in determining that complaints contained “No Violation”. Together, this decrease in “DOC Process” complaints and increase in “No Violation” complaints is notable to the Bureau, in that, this number represents that more offenders are attempting to resolve matters in the DOC first before coming to the Bureau. This is significant because the Bureau has been broadcasting this message to offenders.

![Complaints Not Investigated for 2011-2012](image)

Figure 5

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As I.C. 4-13-1.2-5 dictates, the Bureau can receive complaints from any source. The graph below depicts that the Bureau, in 2012, as in past years, received the overwhelming majority of its complaints from Offenders themselves. See Figure 6 below.

![Complaint Sources in 2012](chart)

**Figure 6**

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Complaint Characteristics

As in past years, the complaint subject in 2012 for which the Bureau received the most complaints was medical care with 136. Of these medical care complaints, 60 were investigated and 4 were substantiated. See Figures 7-9 below. This number of investigated complaints represents 44% of medical complaints that the Bureau received were investigated. Of the 44% investigated, 7% were substantiated.

![Total Complaints Received by Type in 2011 and 2012](image)

**Figure 7**

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Medical care also represents the complaint subject with the highest number of investigated complaints with 60 complaints. This is also consistent with years past. See Figure 8 below.

![Investigated Complaints by Type in 2011 and 2012](image)

Figure 8

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Visitation, however, was the type of complaint in 2012 with the most complaints substantiated with five complaints substantiated.\textsuperscript{1} Following closely with four complaints substantiated were medical care, officer misbehavior, and confinement conditions. See Figure 9 below.

Figure 9

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\textsuperscript{1}For a sampling of the substantiated complaints for the year please see Attachment 2.
Figures 10-11 below indicate which facilities received the highest numbers of complaints in 2012. As Figure 10 shows, the Bureau received the most complaints from Miami Correctional Facility (MCF) in 2012 with 154 complaints received, 38 investigated, and 4 substantiated. Westville Correctional Facility (WCC), Pendleton Correctional Facility (ISR) and Wabash Valley Correctional Facility (WVCF) all followed closely behind. See Figure 10 below for exact figures.

![Facilities with Highest Number of Complaints in 2012](image)

Figure 10

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When we compare these numbers to those of 2011, we notice that the number of complaints for each facility in the top four rose. Most notably, Miami (MCF) had a significant increase in complaints from 2011 to 2012. See Figure 11 below.

![Facilities with Highest Number of Complaints in 2012 Compared to 2011](image)

**Figure 11**

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We can also look at these numbers in terms of percentages as Figures 12-15, below, express.

When doing so we see that the Bureau received the highest percentage of complaints from Miami (MCF) with 16.1%. Pendleton (ISR) and Westville (WCC) were nearly tied for second with 11.6% and 11.9%, respectively. Wabash Valley (WVCF) followed in a close third with 10.6%.

![Percentage of Complaints Received for Each Facility in 2012](image)

Figure 12

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See Figure 13 below for a comparison of the percentage of complaints investigated from each facility. Notably, Logansport Juvenile (LJCF) and Liberty Hall (LH) both had 100% of complaints received also investigated (Note as well that only 1 complaint was received from both of these). South Bend Work Release (SBW) follows closely behind with 83% of the complaints received from it being investigated. The next closest facility in percentage is Madison (MCU) with 50%.

![Percentage of Complaints Investigated for Each Facility 2012](image)

**Figure 13**

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As Figure 14 below depicts, Chain O' Lakes (COL) and Logansport Juvenile (LJCF) both had 100% of its complaints investigated also substantiated (but notably, only one complaint from each facility were investigated and substantiated). The Correctional Industrial Facility (CIF), Indiana Women’s Prison (IWP) and Rockville (RTC) all had the second most substantiated percentage with 20% of their complaints being substantiated.

![Percentage of Complaints Substantiated for Each Facility in 2012](image)

**Figure 14**

For a complete breakdown of complaints received, investigated, and substantiated for each facility for the year 2012 see Attachment 1.

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A Final Look

The total average number of days all complaints were open in 2012 was 5 days. Although this number still allows for the Bureau to meet the "Superior" expectancy in its metrics, this number has increased slightly since the 3 days reported in 2011. See Figure 15 below. The Bureau can account for this slight increase in that it received more complaints in 2012. Additionally, the metrics were originally designed to be met when two full-time seasoned employees are staffing the Bureau. Unfortunately, the Bureau experienced a change over in personnel this year, which undoubtedly added to the increase. The Bureau only had one employee for over a month and once a new Ombudsman Assistant was hired it took several months for that person to become fully trained and acclimated with the Bureau.

2012 PERFORMANCE METRICS FOR DOC OMBUDSMAN

Number of Days Complaints Were Open in 2012

Figure 15
For the reasons stated above, the average time an investigation took in 2012 was 15 days, compared to 9 days in 2011. Additionally, the number of days substantiated complaints were open also increased slightly from 12 days in 2011 to 15 days in 2012. Note that even with these slight increases the Bureau still remains in the “Superior” expectancy category for received and substantiated complaints. Only for investigated complaints are the number of days complaints were open more than the “Superior” expectancy, however, still within the “Satisfactory” expectancy. See Figure 16 below.

**2012 PERFORMANCE METRICS FOR DOC OMBUDSMAN**

**Number of Days Complaints Were Open in 2011-2012**

![Graph showing number of days complaints were open in 2011-2012, with categories for All, Investigated, and Substantiated, and subcategories for Superior and Satisfactory.]

Figure 16
II. 2012 Wrap-up and 2013 Goals

In its 2011 Annual Report, the Ombudsman Bureau set three goals for 2012. These goals are not delineated statutorily, but are functions necessary for the efficient operation of the Bureau and to carry out its statutory duties. Moreover, the Bureau’s Operating Procedures now include the setting of Annual Goals. These goals are an effort to increase the Bureau’s utility to the DOC and the offender population. The goals and results are as follows:

1. **Continue to send timely reports to interested parties and continue to improve/expand reporting mechanisms.**

Each month throughout the year the Bureau submits Monthly Reports to the Commissioners as well as other interested parties. These reports are generally issued before the 15th of the month. The monthly reports not only include the basic raw numbers of the number of complaints Received, Investigated, and Substantiated for the month, but also provide a breakdown by subject matter and facility. The reports further provide graphs to aid in understanding the information. These reports update its audience on the activities of the Bureau. The Bureau strives to answer any inquiries regarding these within a day or at the most within five days.

The Bureau continually reviews these reports to ensure their utility to the Department as well as to ensure the reports are accurately reporting the operations of the Bureau. In doing so in 2012, the Bureau realized that information such as visits with facilities and meetings were not being reported throughout the year. Thus, the Bureau revamped part of its monthly report to reflect this information.

The Bureau continued sending a monthly summary to each individual facility as well. These reports give a brief summary of all cases received from each facility by the Bureau and their
outcomes. The Bureau has received good feedback concerning this practice from facility administrators.

The Bureau has also expanded sending its monthly reports to relevant Executive Directors in DOC, as well.

2. **Meet the green performance goals set for the Bureau in respect to the number of days complaints are open.**

The Bureau met the “Superior” metric for the number of days all complaints were open for the year 2012. See Figure 15 above. The Bureau, due to the challenges stated above on page 18 in “A Final Look”, exceeded both its green and yellow goals for investigated complaints. The Bureau, however, met its “Superior” metric or green goal in substantiated complaints. See Figure 15 above.

3. **Continue to raise awareness about the Bureau both within the Department and outside the Department.**

Director Burkett made 23 trips to facilities over the past year. These trips were made for various reasons including to attend staff assemblies, attend a Community Board Meeting, interview offenders and staff, and to inspect premises.

Trips to facilities were also made to attend Offender Dorm Representative meetings. In order to ensure that the offender population is aware of the Bureau and how to use the Bureau, the Director continued attending at least one of these meetings at each facility over the past year. At these meetings, the Director was able to communicate with offenders concerning using the Ombudsman Bureau, as well as hear issues the offender population may have been experiencing. As she took these trips, she was also able to check and ensure the Bureau’s materials were available to offenders. At times, she recommended places where forms could be readily
available or where information about the Bureau could be posted. In addition, she also responded to numerous requests for complaint forms.

Another way the Director stayed in touch with the offender population is through the use of video conferencing technology. Through use of this technology, the Director was able to speak to offenders directly concerning their complaints, but did not have to spend costly State dollars traveling to facilities to do so. The Director found this technology quite useful and plans on continuing to use it in the future when possible.

The Ombudsman Bureau DVD is also shown at each facility on closed captioned television at least twice a year. The Bureau reminds facilities in February and November each year to show the DVD. This video is also shown to every offender who enters the DOC during DOC intake at the Reception Diagnostic Center. The DVD is a brief three and a half minute video that discusses what issues the Bureau can address, how to file a complaint with the Bureau, and what to expect once a complaint is filed.

**Looking Forward**

The Ombudsman Bureau has set the following goals for the year 2013:

1. Meet the “Superior” expectancy in the metrics set for the Bureau in all categories.

2. Continue to send timely reports to interested parties and continue to improve/expand reporting mechanisms.

3. Continue to keep the offender population aware of the Bureau.
III. The Complaint Resolution Process

The Ombudsman Bureau’s complaint resolution process is delineated specifically in its Policies and Procedures located at www.idoa.in.gov/idoa/2356.htm. Additionally, this process is more fully explained below.

Complaint Origination

The Ombudsman Bureau receives most of its complaints from offenders by mail. However, as directed statutorily, the Bureau may receive complaints from any source. These sources include: the Governor’s Office, legislators, family members of offenders, and other governmental agencies. Other means in which the Bureau receives complaints are by fax, e-mail, and phone. The Bureau requires the use of the Ombudsman Bureau complaint form in filing a complaint with the Bureau. These forms are available at every facility through the law library and through the counselors. The Bureau also requires that the offenders send all relevant paperwork with their complaints.

Jurisdiction of the Bureau

IC 4-13-1.2 is very specific concerning the jurisdiction of the Bureau. It limits the Bureau to investigate and attempt to resolve complaints that the DOC, (1) violated a specific law, rule, or department written policy; or (2) endangered the health or safety of any person.

The Complaint Process

Once the Bureau receives a complaint, it determines whether the matter falls under its jurisdiction. The limited jurisdiction of the Bureau is stated above. If a matter is not within the Bureau’s jurisdiction, then a letter is sent stating such.

The Bureau requires that any offender who submits a complaint must first attempt to resolve the complaint using the DOC process that properly addresses the issue. If the offender has

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2 For a chart of this process please see Attachment 2.
prematurely contacted the Bureau, the Bureau directs the offender to use the proper DOC process and lets the offender know when it would be appropriate to contact the Bureau.

The Bureau maintains some latitude in enforcement of the requirement of offenders using the DOC process first. Once the Bureau is contacted concerning an imminent matter of offender safety or health, the Bureau immediately investigates the matter, before ensuring the offender has already filed a grievance or used the appropriate DOC resolution process. Even in these cases, however, the Bureau does stress to the complainant the importance of notifying the facility first and directs the complainant to use the proper channels in the future.

During preliminary review, the Bureau may determine that a complaint does not require further investigation because the DOC has already addressed the issue.

If the Bureau believes that it is necessary to receive further information regarding a complaint, then an investigation commences. The investigation begins by contacting the necessary Department of Correction personnel. Once this contact is made, the Bureau determines whether further action is needed by the DOC at this time. At times, further action is not needed because the issue was already addressed or is in the process of being addressed by the Department or facility. If, however, further action is needed and the complainant has attempted to resolve the matter with DOC the complaint is substantiated and the Bureau makes further recommendations to the DOC. When further action is necessary and the offender has not attempted to resolve the matter with DOC this is an assist. The Bureau recently added the “Assist” category in 2012, therefore a whole year’s worth of data is not available\(^3\). The Bureau added this category to ensure that its reporting accurately reflects the activity occurring in the Bureau. The assist category was needed, due to the fact that, we do, at times, contact DOC in order to resolve a

\(^3\) Because data is not available for a whole year in this category the Bureau has not included this data figure herein, however, to view a sampling of cases available from the partial year see Attachment 3.
complaint, despite whether the offender attempted to resolve the matter, just to ensure that the offender’s issue is addressed. It is meant to notify DOC of the issue so that it can then be addressed accordingly.

Whether or not the Bureau investigates a complaint, notice is sent to the complainant concerning the outcome of the complaint. This notice includes either the reasons for not investigating the complaint or the reasoning behind investigating. The notice also includes a description regarding the resolution of the case, if the case is substantiated. No matter what the outcome, however, the Bureau responds to each and every complaint that it receives.

IV. Ombudsman Closing

Finally, Director Burkett would like to express her sincere gratitude for the expedient and professional manner her inquiries addressed throughout the DOC. Without the support and commitment of Commissioner Lemmon, the Deputy Commissioners, Superintendents as well as the numerous other DOC staff members and contractors that respond to the Bureau’s inquiries, the Bureau would not be able to function. The Director appreciates being able to work together for the common purpose of ensuring that offenders’ needs are addressed and DOC policy and procedures are properly enforced.
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Attachment 2

2012 - Summary of Substantiated Complaints

Correctional Industrial Facility – Confinement Conditions

Complaint: The offender says his rights are being violated because he is only receiving 30 minutes of recreation time every other day and ten minute showers every other day.

Recommendation: Review recreation schedule and past recreation logs.

DOC Action: Past recreation logs did not indicate that either recreation was being given properly or the logs were not kept accurately. Facility is working with staff to resolve issue.

Correctional Industrial Facility – Confinement Conditions

Complaint: Offender complains that the offenders in AS are being deprived recreation because they are only receiving it 1 and a half hours three days per week.

Recommendation: Review policy and recreation schedule.

DOC Action: Recreation is now offered every day, per policy.

*NOTE: The Bureau received several of these complaints concerning recreation in the AS Unit, but only counted one as being substantiated.

Correctional Industrial Facility – Medical Care

Complaint: Offender has complained over getting treatment for his Crohn’s disease. Although he’s submitted HCRI’s and been seen, he was not seen for the specific issue stated for his Crohn’s disease, but seen for his chronic care condition instead.

Recommendation: See offender for problems with Crohn’s disease.

DOC Action: Offender is being seen and treated and his concerns with his Crohn’s disease are being addressed.

Indiana Women’s Prison – Officer Misbehavior

Complaint: The offender was feeling sick and approached Sergeant Owens who told her to go away because he was looking at a Conduct Report at the time. She started seizing maybe ten minutes later. She would like to file a Grievance against Sergeant Owens but was denied because the Lieutenant had already spoken to him concerning the matter.

Recommendation: Review denial of grievance.

4 Note that this is merely a partial listing of the substantiated cases for the year.
DOC Action: Denial of grievance was reviewed and the offender was allowed to file a grievance, per policy.

Miami Correctional Facility – Medical Care

Complaint: The offender complains that he had a biopsy done over two months ago and has not received any follow up care or results.

Recommendation: Review matter to determine if test results have been received and if offender needs follow up.

DOC Action: Upon further review the nurse contacted Wishard again for the results and the offender was scheduled an appointment for follow up.

Miami Correctional Facility – Visitation

Complaint: Offender says that his VMR has been put in place wrongly.

Recommendation: Review offender’s VMR.

DOC Action: Central Office reviewed the VMR and modified to non-contact visits.

New Castle Correctional Facility – Officer Misbehavior

Complaint: Offender was put in 4-way restraints and claims that he was "tied down" for 24-hrs and had to sit in his bodily waste for over 6 hrs. Offender claim that the officers that escorted him to the shower turned on scalding hot water.

Recommendation: Review logs to determine if Offender was given proper ROM exercises according to policy.

DOC Action: Medical determined that their logs were incomplete and the Nurse had not properly documented the ROM exercises or other information in the logs. Nursing staff will be retrained as to proper procedures.

New Castle Correctional Facility – Programs

Complaint: Offender is upset that his grievance response is long overdue and wants a response.

Recommendation: Review and provide offender response to grievance.

DOC Action: Response to grievance given and delay being addressed by Jerry Vance.
Rockville Correctional Facility – Confinement Conditions

Complaint: The offender complains that she does not have proper access to the TTY phone. She was giving another offender her number and letting the offender call for her, but the facility has stopped this practice. She wants to have access to the TTY phone, just as the other offenders have phone access.

Recommendation: Please review offender’s TTY phone access.

DOC Action: The facility is attempting to accommodate your needs. Please be patient while they work with the new phone provider to do so.

Plainfield Correctional Facility – Credit Time

Complaint: The offender completed the Inmate to Work Program in the first week of December and has not received his 6 month time cut yet. He was told it would be flagged to speed up the process because his EPRD is in November 2012. He wants to be able to receive the full 6 month time cut and this will not be able to happen unless he receives it within the next 10 days.

Recommendation: Review matter.

DOC Action: Full time cut was applied.

Wabash Valley Correctional Facility – Visitation

Complaint: The offender was put on a gate closure before being transferred to Wabash four months ago when he was housed at ISP. He has since been transferred to WVC and would like to get his visitors put back on his visitor list, but the gate closure is on all current and future visitors.

Recommendation: A permanent gate closure is not in accordance with policy. Review matter to determine if gate closure should remain.

DOC Action: Permanent gate closure removed and offender reinstated non-contact visits.

Westville Correctional Facility – Confinement Conditions

Complaint: Family member complains that it was very cold in the visiting room and the offender claims that it is also very cold in his housing unit.

Recommendation: Monitor temperatures and determine if areas are colder than they should be under policy.

DOC Action: Temperatures indicated that areas (including that of the visiting room) were colder, than they should have been. The facility was operating off of one boiler and the perimeter heat had not been turned on. The boiler was turned on as well as the perimeter heat.
Westville Correctional Facility – Medical Care

Complaint: The offender says that he is supposed to be on medication, but he has not been receiving it.

Recommendation: Review matter to determine how to prevent the offender missing his medication in the future.

DOC Action: The facility implemented new controls to ensure that the offender’s medication gets ordered.
Correctional Industrial Facility – Visitation

The offender contacted the Bureau believing that he was wrongly restricted to non-contact visits because he had been released and brought back into DOC. At the request of the Bureau, the facility reviewed the matter and determined that he should not have been placed on non-contact visits and reinstated contact visits.

Indiana Women’s Prison – Legal

The offenders’ family member would like to visit the offender whom is hospitalized. She says that she’s been told that policy states that a visit cannot be considered unless the offender is in the hospital for 30 days or in grave condition. She would like to know where in policy this is. Although Corizon may have this in policy, DOC does not, but the policy was taken under review.

Plainfield Correctional Facility – Credit Time

The offender wrote the Bureau concerned that if his time cut is not applied within 10 days, then he would not be able to receive his entire time cut. The Bureau notified the Education Director and the entire time cut was applied.

Plainfield Correctional Facility – Visitation

The offenders’ family member called and expressed concern over not hearing from her family member because he has a terminal mental illness. Facility assisted offender in making a phone call to family and helped him with his visitation forms.

Wabash Valley Correctional Facility – Personal Property

The offender wrote the Bureau in May 2012 and said his grievance was received on February 14, 2012 had not been responded to in May 2012 by Central Office. The Bureau contacted Central office and the grievance was responded to by the end of the day.

Westville Correctional Facility – Work

The offender was removed from work due to a conduct report that was ultimately dismissed. The offender would like his back pay. The Facility awarded the offender the appropriate back pay.

Please note that this is an incomplete list of the Assists that the Bureau had for the year due to data not being available for the entire year.
DOC Ombudsman Complaint Process

1. **Complaint Received**
   - **Is this matter one concerning DOC policy and procedure, and/or health and safety?**
     - **Yes**
       - **Has the complainant attempted to resolve this matter within the Department of Corrections?**
         - **Yes**
           - Review the provided paperwork
         - **No**
           - Request additional information if needed
   - **No**
     - No Jurisdiction

2. **Violations**
   - **Was there a violation of DOC policy and/or procedure or is the offender's health and safety in danger?**
     - **Yes**
     - **Did the Department appropriately address the matter or take corrective action?**
       - **Yes**
       - Investigate
       - **No**
       - No Investigation
     - **No**
     - **Is DOC action necessary?**
       - **Yes**
       - **Did the offender attempt to resolve the matter?**
         - **Yes**
           - Substantiate
         - **No**
           - Assist
       - **No**
         - Unsubstantiate