

 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 6.6	Effective Date 7/20/15	Page 1 of 7
	Supersedes Reporting of Incidents, dated 8/15/2014		
Approved By:  Commissioner Scott Semple	Title Reporting of Incidents		

1. Policy. The Department of Correction shall ensure that all incidents and emergencies are reported in a complete, accurate and timely manner.
2. Authority and Reference.
 - A. Public Law 108-79, Prison Rape Elimination Act of 2003.
 - B. 28 C.F.R. 115, Prison Rape Elimination Act National Standards.
 - C. Connecticut General Statutes, Sections 4-33a, 18-81 and 18-81v.
 - D. Administrative Directives 2.18, Critical Incident Stress Response Program; 3.2, Handling of Funds; 6.2, Facility Post Orders and Logs; 6.5, Use of Force; 6.9, Control of Contraband and Physical Evidence; 6.10, Inmate Property; 6.12, Inmate Sexual Abuse/Sexual Harassment Prevention and Intervention; 7.3, Emergency Plans; 9.4, Restrictive Status; and 9.5, Code of Penal Discipline.
 - E. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1C-05.
 - F. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4183, 4-4202, 4-4206 and 4-4207.
 - G. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-2A-11.
 - H. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3176, 3-3178 and 3-3203.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. PREA. PrisRaPe Elimination Act.
4. Classes of Incidents. Incidents shall be divided into three (3) classes in order to provide responses and notification commensurate with the level of the incident. Class 1 incidents shall be the most serious incidents and Class 3 incidents the least serious.
5. Class 1 Incidents. Class 1 incidents shall include, but not be limited to:
 - A. Outside assault on a Department building or facility.
 - B. Significant breach of the facility perimeter.
 - C. Possession of firearms, ammunition or explosives by an inmate or visitor.
 - D. Death of an on-duty employee, visitor, volunteer or an untimely death of an inmate.
 - E. An injury to an on-duty employee, inmate, visitor or volunteer that results in admission to an acute-care hospital.
 - F. Any inmate assault on a Department employee that results in a serious injury in accordance with CN 6603, Report of Assault on Staff.
 - G. A riot, hostage situation, group disturbance, or inmate work stoppage.

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- H. Major fire.
 - I. Bomb threat.
 - J. Employee job action.
 - K. Suspected bio-chemical contamination.
 - L. Any suspected, attempted or confirmed escape from a correctional facility, inmate work detail or during transport to include community reports of a sighting of an escapee.
 - M. Any incident requiring an Emergency Response Unit to be placed on alert and/or mobilized.
 - N. Discharge of a firearm, to include accidental discharge, or use of Category 2 chemical agents as defined in Administrative Directive 6.5, Use of Force, for purposes other than training or equipment maintenance.
 - O. Substantiated information regarding a planned disturbance or organized disobedience.
 - P. An event which seriously impacts normal operation of the unit such as a health emergency, power outage, any major destruction or disablement of state property or an incident requiring an unplanned lockdown of a facility.
 - Q. Terrorist threat or intelligence of suspected terrorist activity.
 - R. An instance of workplace violence or threat of workplace violence requiring the immediate separation of employees due to an imminent threat of violence.
 - S. Any reported inmate-on-inmate sexual abuse, inmate-on-staff sexual abuse or staff-on-inmate sexual abuse where there is immediate evidence or indication that sexual abuse has occurred.
 - T. Inmate suicide attempt requiring immediate life saving measures.
6. Class 2 Incidents. Class 2 incidents shall include, but not be limited to:
- A. Any inmate assault on a Department employee resulting in a non-serious injury in accordance with CN 6603, Report of Assault on Staff.
 - B. Any escape from community supervision.
 - C. Failure to return from furlough.
 - D. Any serious injury or illness to an employee, inmate, visitor or volunteer to include attempted suicide, requiring emergency medical treatment.
 - E. Any incident involving the use of Category 1 chemical agents.
 - F. A fire, other than a major fire, resulting in minor property damage.
 - G. Any significant theft of or damage to state property.
 - H. Discovery of dangerous contraband including drugs, alcohol, weapons, tools or any item, which could create a breach of security (e.g., unit plans or diagrams).
 - I. Any incident resulting in notification of a law enforcement agency, outside fire or ambulance department.
 - J. Any threat of bodily harm to any person made by an inmate within 30 days of discharge.
 - K. Any employee arrest.
 - L. Serious employee conflict involving immediate supervisory intervention.
 - M. An inmate placed on in-cell, full stationary or therapeutic restraint status.
 - N. Any reported inmate-on-inmate sexual abuse, inmate-on-staff sexual abuse or staff-on-inmate sexual abuse where there is no immediate evidence or indication that sexual abuse has occurred.

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7. Class 3 Incidents. Class 3 incidents shall include, but not be limited to:
- A. An inmate on inmate fight, assault or minor disruption.
 - B. Arrest of any inmate on community supervision or parole or violation of the terms of community supervision or parole.
 - C. Use of force.
 - D. A breach of security resulting from damaged or defective security equipment and/or security systems.
 - E. An injury or illness to an on-duty employee, inmate, visitor or volunteer requiring non-emergency medical attention.
 - F. Minor theft or destruction of state property.
 - G. Accidental opening of an inmate's privileged correspondence.
 - H. Any visit (i.e., privileged, professional or social) that is not accommodated for any reason.
 - I. Whenever a private search with a portable or handheld metal detector is conducted pursuant to Section 18-81v of the Connecticut General Statutes.
 - J. Any incident, not otherwise described herein, which merits reporting in the judgment of the Unit Administrator.
 - K. Any reported inmate-on-inmate sexual harassment, inmate-on-staff sexual harassment or staff-on-inmate sexual harassment.
8. Notification Procedures. Notification and reporting of incidents shall conform to the following requirements:
- A. Class 1 Incidents. Class 1 incidents shall be reported by utilizing Form 7301, Facility Emergency Notification Sheet in accordance with emergency procedures enumerated in each facility's Emergency Plans and Administrative Directive 7.3, Emergency Plans:
 - 1. Class 1 incidents shall be immediately reported verbally to the Unit Administrator or designee who shall ensure the incident is communicated to the District Administrator. In the event of an inability to contact the District Administrator, the Unit Administrator shall continue to notify the next higher level utilizing the chain of command until contact is made.
 - 2. The community alert system shall be activated when the Unit Administrator has determined that the incident may impact the community. The Unit Administrator or higher authority shall direct the use of the Department's Everbridge mass notification system.
 - 3. The District Administrator shall ensure that the Deputy Commissioner of Operations and Rehabilitative Services is notified, who shall in turn notify the Commissioner and as appropriate, the Director of Security.
 - 4. Concurrent to the notification of the incident through the chain of command, the following Class 1 incidents shall also be reported by the Unit Administrator or designee, to the Connecticut State Police/local police, community, ambulance and fire rescue, as necessary:
 - a. Riot/Disturbance;
 - b. Hostage situation;
 - c. Employee job action;
 - d. Major fire;
 - e. Disaster (natural or man-made);

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- f. Confirmed and unconfirmed escapes;
 - g. Bomb threat;
 - h. Suspected bio-chemical contamination;
 - i. Terrorist attack, threat or intelligence of suspected terrorist activity;
 - j. Death of an on-duty employee, inmate, visitor or volunteer; and,
 - k. Incident of workplace violence as enumerated in Section 5(R).
5. Any incident of inmate-on-inmate sexual abuse, inmate-on-staff sexual abuse or staff-on-inmate sexual abuse/misconduct shall be reported to the Duty Officer as soon as practical.
 6. Reports shall be handled in accordance with Sections 8 and 9 of this Directive.

B. Class 2 Incidents.

1. Class 2 incidents shall be reported verbally to the Unit Administrator or designee as soon as possible, who shall in turn, notify the District Administrator, as appropriate.
2. The District Administrator shall notify the Deputy Commissioner of Operations and Rehabilitative Services of any significant Class 2 incidents, who shall further advise the Commissioner and Director of Security, as appropriate.
3. Reports shall be handled in accordance with Sections 8 and 9 of this Directive.

C. Class 3 Incidents.

1. Class 3 incidents shall be forwarded to the Unit Administrator.
2. Any further notification shall be at the discretion of the Unit Administrator.
3. Reports shall be handled in accordance with Sections 8 and 9 of this Directive.

D. All Directors shall be responsible for reporting each class of incident in accordance with this Directive, to their immediate supervisor.

E. The on-call Public Information Officer shall be notified for all Class 1 incidents and any Class 2 or 3 incidents, which have the potential to generate significant media, public official or community attention.

F. In accordance with Administrative Directive 2.18, Critical Incident Stress Response Program (CISRP), the Unit Administrator shall notify the CISRP Coordinator when a critical incident occurs that has the potential to cause distress in an individual(s) and may interfere with a person's ability to function.

Notification shall be classified as either a mandatory or discretionary activation, contingent upon the number of employees affected, severity of the event and/or magnitude of the Department response as indicated below:

1. Mandatory Activation. The Unit Administrator shall immediately notify the CISRP Coordinator in the following cases:

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- a. Riot;
 - b. Hostage situation;
 - c. Employee death on post;
 - d. Employee suicide;
 - e. Large-scale destruction or disaster;
 - f. Witnessing inmate suicide or violent death;
 - g. Staff assault that results in a serious injury as categorized by CN 6603, Report of Assault on Staff;
 - h. Inmate disturbance as classified by Administrative Directive 9.5, Code of Penal Discipline; and,
 - i. Sexual abuse of an employee.
2. Discretionary Activation. The Unit Administrator shall assess each incident and the reaction of the affected employee to determine the need for notification of the CISRP Coordinator in the following cases:
- a. Staff assault that results in a non-serious injury as categorized by CN 6603, Report of Assault on Staff;
 - b. Fire;
 - c. Threat;
 - d. Attempted inmate suicide; and,
 - e. Occupational exposure.
- G. When it is suspected that a crime has been committed, the Connecticut State Police shall be notified.
- H. Any fire shall be reported by the Shift Commander or designee to the Department's Fire Safety Manager and to the Bureau of the State Fire Marshal (24-hour emergency hotline: 1-800-842-0200).
9. Logbooks and Incident Report Numbering System. A unique identification shall be assigned to each incident report for tracking, filing and retrieval purposes. The identification shall be recorded in a master incident report log in sequential order in accordance with Administrative Directive 6.2, Facility Post Orders and Logs. The identification format shall be as follows: CRCC-2005-01-001 (i.e., facility/unit initials - calendar year (four digit) - month (01 through 12) - sequence number (001 through 999)). The sequence number shall be reset at the beginning of each month.
10. Incident Report Package. All incidents shall require the completion of CN 6601, Incident Report to document all activity and subsequent actions. All reports relevant to an incident shall be collected and assembled in the Incident Report Package. The following shall be included in the Incident Report Package whenever applicable:
- A. CN 6601, Incident Report shall be prepared by the employee who first witnesses or first reports the incident. All employees who respond to and witness an incident may be required to submit a supplemental incident report regarding the employee's actions and observations.
 - B. CN 6602, Medical Incident Report, shall be submitted by health services personnel who examine the individual(s) involved for injuries resulting from an incident. CN 6602, Medical Incident Report shall be signed by the inmate except in those occasions when

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the inmate is not physically able to, the inmate's behavior prevents signature (i.e., combative) or the inmate refuses to sign. When CN 6602, Medical Incident Report is not signed by the inmate, Health Services personnel shall indicate the reason for the lack of inmate signature in the patient signature field.

- C. CN 6603, Report of Assault on Staff.
 - D. CN 6604, Incident Summary Report, shall be completed for all class 1, 2 and 3A incidents and forwarded to the District Administrator the next business day.
 - E. CN 6605, Incident Report Package List of Contents.
 - F. CN 6501, Use of Force Report and/or a CN 6502, Chemical Agent Use Report, in accordance with Administrative Directive 6.5, Use of Force.
 - G. A copy of CN 6901, Physical Evidence Tag and Chain of Custody, in accordance with Administrative Directive 6.9, Control of Contraband and Physical Evidence.
 - H. CN 61001, Inmate Property Inventory and CN 61003, Inmate Property Valuables and Document Storage and Discharge Receipt in accordance with Administrative Directive 6.10, Inmate Property.
 - I. A copy of CN 9401, Restrictive Housing Unit Status Order, in accordance with Administrative Directive 9.4, Restrictive Status.
 - J. A copy of CN 9503, Disciplinary Report(s), in accordance with Administrative Directive 9.5, Code of Penal Discipline.
 - K. Any photographs or video documentation, in accordance with Section 11 of this Directive.
 - L. Any applicable inmate information from the master file or inmate computer system (RT system).
 - M. CO-853, Report of Loss or Damage to Real and Personal Property, shall be completed by the Unit Administrator when there is loss or damage to real or personal property, other than motor vehicles in accordance with Administrative Directive 3.2, Handling of Funds. This shall include, but not be limited to theft, vandalism, criminal or malicious damage, and lost or misplaced funds. The original, in quintuplicate, shall be forwarded to the Director of Fiscal Services. A copy shall be included with the Incident Report.
 - N. Other relevant documents related to the incident or aftermath.
11. Corroborating Information. When significant property damage or injury has resulted from an incident (e.g., riot, disturbance, fire, escape, fight or assault) video recording and/or photographs shall be taken of the area and/or injured person(s).
12. Report Reviews. A shift supervisor shall ensure, whenever possible, that all reports are typed, completed and signed the same day during which an incident occurred. A shift supervisor shall review all reports for completeness and accuracy. The Shift Commander shall prepare a summary report of all submitted incident reports and draw conclusions and make recommendations on CN 6601, Incident Report. The Unit Administrator shall review and co-sign all incident report packages. The Unit Administrator or designee shall be responsible for maintaining a permanent log and filing system of all such reports.

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13. Forms and Attachments. The following forms are applicable to this Administrative Directive and shall be utilized for its intended function:
 - A. CN 6601, Incident Report;
 - B. CN 6602, Medical Incident Report;
 - C. CN 6603, Report of Assault on Staff;
 - D. CN 6604, Incident Summary Report; and,
 - E. CN 6605, Incident Report Package List of Contents.

14. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.