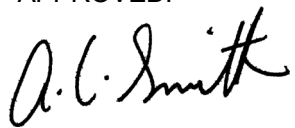




Department of
Rehabilitation & Correction

SUBJECT: Incident Reporting and Notification	PAGE <u> 1 </u> OF <u> 8 </u>
	NUMBER: 01-COM-08
RULE/CODE REFERENCE: ORC 5120.01	SUPERSEDES: 01-COM-08 dated 05/14/2018
RELATED ACA STANDARDS: 5-ACI-3A-31 (4202); 4-APPFS-3F-01	EFFECTIVE DATE: September 1, 2021
	APPROVED: 

I. AUTHORITY

Ohio Revised Code 5120.01 authorizes the Director of the Department of Rehabilitation and Correction, as the executive head of the department, to direct the total operations and management of the department by establishing procedures as set forth in this policy.

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 (ODRC).

III. APPLICABILITY

This policy applies to all ODRC employees and to contractors, interns, and volunteers who provide a service to the ODRC.

IV. DEFINITIONS

The definitions for the below listed terms can be found at the top of the ODRC policies page on the ODRC Intranet at the following:

[Definitions Link](#)

- **DOTS Shift Reporting**
- **Enterprise Information Management (EIM)**
- **Illegal Activity**
- **Incident**
- **Managing Officer**
- **Incident** - An event or situation in or affecting any institution or office of ODRC 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 or office, incarcerated population, employees, or visitors - A situation that deviates from the rules of conduct, post orders, policies, procedures, Ohio Administrative Rules, or state or federal 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 incarcerated persons, 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, verified incarcerated population 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 hospitalization,
 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 incarcerated person or the ability of employees to control incarcerated population 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 job duties or while using state resources. Serious 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 misuse of state resources or work 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 which seriously threatens the health, safety and/or security of a person or ODRC facility, office, or associated operations. 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 associated with a workplace injury or illness,
 3. Death of an incarcerated person in custody in an institution and/or death of an individual under the supervision of 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; resulted in the loss of control of an area of the facility or has significant impact on the overall climate of the facility,
 5. Incarcerated person work stoppages or organized protests,
 6. Loss of a utility for a significant period of time which could hinder further operations,
 7. Assault of staff or incarcerated person(s) resulting in serious injury requiring outside medical treatment or death of the individual,

8. Life threatening injuries to incarcerated persons, employees, volunteers, visitors, or contractors,
9. Major property loss or damage,
10. Seizures of significant amounts, or types of, major contraband, such as firearms, explosive devices, or large quantities of drugs, cell phones, tobacco, or improvised weapons,
11. Discovery of significant conveyance activities which include conveying contraband by drone or other unmanned aircraft, perimeter fence throw, employee introduction, or other means whereby large quantities of contraband are introduced,
12. Firearms drawn, pointed or discharged (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),
13. Other incidents which may likely have external ramifications and/or media interest.

V. POLICY

It is the policy of the ODRC that non-routine occurrences, defined as "Incidents" or "Special Incidents" be reported in a timely and effective manner to the appropriate departmental employees to assure that proper action may be taken.

VI. PROCEDURES

A. Incident Report Requirements

1. Any ODRC 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, interns, and volunteers who become aware of incidents that may require reporting.
2. All Incidents occurring within an ODRC facility or office must be reported verbally and via submitted form, as required and described in this policy. Such reports shall be on Incident Report (DRC1000), and if needed, Incident Report Supplement (DRC1001). Incidents describing the application of force shall be reported electronically on Use of Force Report (DRC2181). Food Service incidents shall be reported electronically on Incident Report - Food Service form (DRC1000FS). These forms shall be created from the Electronic Forms Catalog.
3. Contents of Report - Employees completing an Incident Report (DRC1000, DRC1000FS, and DRC2181) 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 they observed, heard, was told, read, or otherwise perceived and not speculate about things not directly known or perceived.
4. 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 electronic form 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. Submit Report - The managing officer/designee shall implement a process where the Incident Report (DRC1000) or Use of Force Report (DRC2181) is submitted electronically which shall include how forms are to be routed for processing purposes. The managing officer shall be the primary recipient of all electronic Incident Reports (DRC1000) or Use of Force Reports (DRC2181). The Incident Report Supplement (DRC1001) shall be used if additional pages are needed to document the Incident. 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.
4. Electronic copies of the Incident Report (DRC1000) shall be provided to the reporting employee's immediate supervisor to ensure reported matters are acted upon and are formally closed.
5. Incident Report – Food Service (DRC1000FS) shall be routed electronically to the managing officer who will forward the Incident Report (DRC1000FS) to the appropriate Food Service management personnel and the regional food service contract monitor for appropriate action.
6. Shift incident reporting in DOTS Portal is designed to collect records of all incidents of violence, contraband, weapons, drugs, cell phones and tobacco seized and must be entered by the next business day after discovery unless exigent circumstances exist. Prompt reporting improves the ability to track violence incidents and provides a quick snapshot of incidents occurring within the respective facility or department. Shift incident reporting is not designed to replace any current incident reporting systems. To access incident tracking, the user will type "RHMAN" in the search box of DOTS to begin the process followed by accessing the Shift Incident Reporting Form (SIRFM). This mandatory reporting system went in effect on March 1, 2021 and allows for the user to track in real time as data is entered, by time, date, and general location.
7. Reporting Criminal Incidents - In the event the Incident appears to be criminal in nature, the supervisor shall secure the crime scene in accordance with ODRC Policy 310-SEC-13, Protection of Crime Scene.

8. Reporting Suspected Illegal or Improper Activity

Pursuant to the Policy and Procedures for Notification of Suspected Illegal or Improper Activity within State Departments or Agencies Memorandum issued by the Governor's Office on May 16, 2019, "a state employee who observes, becomes aware of, or suspects non-emergency illegal or improper activity should immediately notify their supervisor or the Chief Legal Counsel for the department and/or the Department Director". The reporting employee "should have a reasonable factual basis for believing or suspecting that illegal or improper activities have occurred or will occur and should provide as much specific information as possible...". Supervisory/Executive staff shall make timely notification, up the chain of command to the managing officer, regional director, director or designee, and chief legal counsel, of any observed, suspected, or reported illegal or improper activities. At the institution level, the institutional investigator shall be responsible for timely notification to the Ohio State Highway Patrol (OSHP), managing officer, and Chief Inspector's Office of any observed, suspected, or reported illegal activity. In all instances involving activity described above, the Chief Inspector's Office shall ensure the OSHP are notified.

9. Recognizing Special Incidents – Managing officers/designees or facility administrators 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 process all electronic (and paper if absolutely necessary) incident reports no less frequently than the next business day and review for appropriate action or referrals. The managing officer/designee shall receive all Incident Reports (DRC1000) or Use of Force Reports (DRC2181), 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 reported incidents that may require a response or as otherwise needed for informed decision-making. The managing officer may wish to have a management system of reported Incidents to assist in tracking for follow-up. Each managing officer will determine who their designees will be for incident report processing in the event of absence and shall be limited to an individual serving in an acting capacity during the managing officer's absence.

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 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/designees shall submit the recommended changes into the affected policy's electronic comment bank on the ODRC 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 referred to the appropriate individual as the initial step in an investigation. The managing officer may direct that an after-action review of a reported incident is conducted to evaluate to future performance improvement opportunities or might use the report to initiate a Back to Basics review of an internal facility process.

- b. The regional food service contract monitor 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 Improvement Coordinator Notification**

The institutional quality improvement coordinator (QIC) shall receive copies of all healthcare related incident reports and determine the characteristics of any additional incidents which they would deem appropriate for review within the quality improvement program.

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 ODRC 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 constitute a Special Incident, as defined under this policy, 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 outside of 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. Deputy Director of Prisons
- c. ODRC Assistant Director
- d. ODRC Director

DPCS REPORTING AFTER HOURS

- a. Managing Officers/Appropriate Section Head
- b. Deputy Director of Court & Community
- c. ODRC Assistant Director
- d. ODRC Director

CTA REPORTING AFTER HOURS

- a. Superintendent of CTA,
- b. ODRC Assistant Director
- c. ODRC Director

OPI REPORTING AFTER HOURS

- a. Chief of Correctional Industries
- b. Deputy Director of Administration
- c. ODRC Assistant Director
- d. ODRC Director

OPERATION SUPPORT CENTER REPORTING AFTER HOURS

- a. Administrator assigned to oversee OSC Security
- b. North Regional Director
- c. South Regional Director
- d. Specialty Regional Director
- e. Deputy Director of Prisons
- f. ODRC Assistant Director
- g. ODRC Director

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

4. If a Special Incident occurs during normal business hours Monday through Friday, the facility shall submit an electronic Special Incident Report in the EIM to the appropriate parties, being sure to use the electronic distribution list by the close of the business day. If the special incident takes place after traditional business hours, the Special Incident Report shall be submitted no later than noon of 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 deputy 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 Reporting Guide

Referenced ODRC Policies:

310-SEC-13 Protection of a Crime Scene

Referenced Forms:

Incident Report	DRC1000
Incident Report Supplement	DRC1001
Incident Report-Food Service	DRC1000FS
Use of Force Report	DRC2181

APPENDIX A: Special Incident Reporting Guide

A. Special Incident Reporting Sites

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

B. Special Incident Reporting Categories

1. Offender Action:

- Institution - Offender on offender assault with significant injury requiring outside medical treatment
- Institution - Offender on staff assault with significant injury requiring outside medical treatment
- Institution - Offender assault/fight with non-ODRC person (contractor, guest or visitor)
- Institution - Self-injurious behavior with significant injury resulting in outside medical treatment
- Institution - Offender fight that significantly impacts the climate of the facility resulting in elevated tension amongst the incarcerated population and modified facility operations
- Institution – Attempted escape
- Under Supervision – Offender assault on staff requiring medical treatment
- Under Supervision – Offender act of violence towards non-employee

2. Offender Death

- Institution - Apparent Natural Causes
- Institution - Apparent Accident
- Institution - Apparent Homicide
- Institution - Apparent Suicide
- Institution - Unknown/Not Determined
- Under Supervision - Apparent Accident
- Under Supervision - Apparent Homicide
- Under Supervision - Apparent Suicide
- Under Supervision - Unknown/Not Determined

3. Staff Action

- Staff assault on offender
- Staff assault on staff, contractor or visitor
- Discharge of Firearm - Non UOF

4. On Duty Staff Death

- Institution - Apparent Homicide
- Institution - Apparent Suicide
- Institution - Apparent Natural Causes
- Institution - Apparent Accident
- Community - Apparent Homicide
- Community - Apparent Suicide
- Community - Apparent Natural Causes
- Community - Apparent Accident

5. Use of Force

- Institution: PR 24 utilized to strike an incarcerated person
- Institution: Firearm drawn, pointed at suspect or discharge of a firearm during UOF
- Institution: Use of force where the employee or incarcerated person is transported to an external medical facility for treatment of an injury originating from the application of force
- Institution: Four/Five-point immobilizing restraints
- Community: Discharge of a firearm during UOF
- Community: Use of force where the employee or offender is transported to a medical facility for treatment of an injury originating from the application of force

6. Contraband (cellphones, drugs, tobacco, weapons, escape related materials)

- Significant contraband conveyance attempts made by drop, fence throw or drone where contraband has been collected by staff
- Significant contraband conveyed into the facility by staff, offender, or visitor where contraband has been collected by staff
- Significant contraband conveyed into the institution through the package room where the contraband has been collected by staff
- Any weapon clearly conveyed into the facility
- Substance found requiring area containment because of potential contamination requiring the activation of HAZMAT team response
- Significant quantity of drugs indicating a missed conveyance or distribution point
- Contraband seized that indicates a significant effort to escape from the secure perimeter of the facility

7. Erroneous Release

8. Media Attention/Involvement

- About Incident at Workplace
- About Offender(s)
- About Staff

9. Critical Incident Management (CIM) Activation or Related Event
 - Disturbance Control
 - Escape/Walkaway
 - Hostage
 - Bomb Threat
 - Natural/Man Made Disaster
 - Fire
 - Evacuation
 - Utility/Facilities Failure
 - Employee Job Action
 - Active Aggressor
 - Other
10. Threat to Facility or Employee(s)
 - 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
11. Utility/Facilities failure impacting facility operations/security features or for extended duration (Non-CIM response)
12. Major property or structural damage
 - Due to nature related events
 - Other