**I. PURPOSE**

To outline procedures to be used when the Iowa Department of Corrections (IDOC) Institutions and Community Corrections Districts report significant incidents to the IDOC Central Office.

**II. POLICY**

It is the policy of the IDOC to ensure that all Institution or Community Corrections District-related occurrences that jeopardize, or have the potential to jeopardize; staff, incarcerated individuals/clients, visitors, the security of the facility, or the safety of the community at large; are reported in a timely fashion and that command personnel are available to line supervisors for consultation at all times.

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III. DEFINITIONS

A. Critical incident reporting module (CIR) – Web based - computer program for reporting incidents in the IDOC and CBC. Further definitions are outlined in the Critical Incident Report module (CIR) in the Maintenance Table/Report Table by Incident Type.

B. See IDOC Policy AD-GA-16 for additional Definitions.

C. Definition of Institution Incarcerated Individual or Community Based Client Supervision Statuses:

1. CCUSO Release with Supervision **229A.9A - Chapter 229A** defines both the status of Transitional Release (**229A.8A**) and Release with Supervision (**229A.9A**). In Transitional Release, the person is still civilly committed as a sexually violent predator; however, allowed to go out into the community with increasing frequency and duration in order to re-enter society. Supervise by district staff.


3. Interstate Compact Parole - Client is from another state and is supervised on parole in Iowa.

4. Interstate Compact Probation - Client is from another state and supervised on probation in Iowa.

5. Jail (Designated Site) - Incarcerated individual/client serving a jail sentence in a residential facility that is NOT on probation.
6. **OWI Continuum** - An assessment usually done at pre-sentence stage determines whether an incarcerated individual/client goes directly to the CBC 321J bed OR to 60 days at IMCC before going to the 321J bed OR whether they should stay in prison to do their time.

7. **Parole** - Post institutional supervision status; incarcerated individual released from prison to the custody of CBC.

8. **Pretrial Release With Supervision** - Court release client from jail with supervision pending sentencing.

9. **Prison** - Incarcerated individual in prison because of a criminal conviction in an Iowa Court.

10. **Prison Compact** - Incarcerated individual in prison because of a criminal conviction in an out-of-state court.

11. **Prison Safekeeper** - Client incarcerated in prison because of an action other than a criminal conviction.

12. **Probation** - Pre-institutional supervision; client granted supervision to CBC.

13. **Special Sentence** - A client convicted under **Chapter 709** sentenced, in addition to any other punishment provided by law, to a special sentence committing the person into the custody of the Director of the Iowa Department of Corrections for 10 years or life with eligibility for parole as provided in **Chapter 906**.

14. **Work Release** - Post institutional supervision status; allows an incarcerated individual early release from prison with condition that he live in a residential center.

**IV. PROCEDURES**

A. **Department of Corrections Duty Officer(s)**

All significant incidents taking place within an Institution or Community Corrections District, including, but not limited to the following: acts of violence, escape or attempted escape, hostage-taking, duty-related death or serious injury of a staff member, or other major Institutional and Community Corrections District disruptions, shall be reported to the Deputy Director of Institution Operations for Institution incidents or the Deputy Director of Community Based Corrections (CBC) Operations for CBC incidents.
1. Most circumstances require only notification through the ICON Critical Incident Report module. Certain, specified, incidents require timely notification via telephone. If circumstances do not allow the Deputy Director to answer on initial contact and the issue requires immediate response, the backup order of contact is:

   a. Respective Assistant Deputy Director

   b. Communications Director

2. In extremely serious circumstances, the Deputy Director or designee may provide notification of an incident to the Governor’s Office.

B. Local Duty Officers

   1. The Warden/District Director shall identify a local Duty Officer to be available to Residential, Field, and Shift Supervisors in times of crisis and for consultation and notification during unusual management situations.

   2. The Respective DOC Deputy Director and/or designee shall provide their contact information to the Wardens and Directors to disperse to their local Residential, Field, and Shift Supervisors to facilitate timely contact.

   3. The institutions and districts shall provide Central Office a current schedule of On Call/Duty Officers to include their names and contact information.

C. Incident Priority Levels

   For reporting purposes, incidents shall be organized into levels of seriousness. The three levels are defined below.

D. Priority I Incidents

   Priority I incidents are those considered more serious in nature. Where telephone notification is required, notification shall be made as soon as possible to the Respective Deputy Director. An incident summary shall be submitted in the CIR module as soon as possible immediately following the incident. If applicable, include information regarding use of force in the Use of Force section. Telephone notification, even when not required, may be made in any circumstance in which reporting staff believe the incident may result in significant public or media attention or in which immediate assistance is needed.
Priority I incidents are those that include, but are not limited to, the following:

1. Institution

   a. Assault – On civilian or staff member, and includes assault by throwing substances. Assault resulting in serious injury to a civilian or staff member requires **telephone notification**. Assaults on incarcerated individuals/clients which result in serious injury (more than first aid is required) shall be reported as Priority 1. Extremely serious assaults which result in potentially life threatening injuries require **telephone notification**.

   b. Criminal Conduct – Any alleged criminal act committed by an incarcerated individual/client, a civilian on facility grounds or involving civilian contact with an incarcerated individual/client, and any act involving alleged criminal behavior by an employee.

   c. Death

      (1.) Civilian or employee death in which the onset of the illness or injury occurs at the facility. **Telephone notification**.

      (2.) Incarcerated individual/client suicides and death by other than natural causes. **Telephone notification**.

      (3.) Employee or incarcerated individual/client death in a work related incident, a report of the fatality must be made to the Occupational Safety and Health Administration (OSHA), U.S. Department of Labor within eight (8) hours after the death. See also, **AD-GA-06 Attachment A**, Procedure for *Occupational Safety & Health Administration (OSHA) Notification*. **Telephone notification**.

      (4.) Death of incarcerated individual/client by natural causes. This category includes deaths believed caused by disease or medical condition.

   d. Serious Disturbance - **Telephone notification**

   e. Riot - **Telephone notification**.

   f. Escape or Serious Escape Attempt – Escape requires **telephone notification**.
g. Facility Disaster- Extensive property damage resulting from fire, man-made or natural disaster, sabotage or incarcerated individual/client actions – telephone notification.

h. Hostage – Telephone notification.

i. Life Threatening Medical Issue

(1.) Incarcerated individual, civilian or employee life threatening medical condition in which the onset of the illness or injury occurs at the facility. Telephone notification.

(2.) Incarcerated individual/client or employee with a work related life threatening medical condition that occurs at the facility requires telephone notification. OSHA must be contacted in the event of a fatality, amputation, loss of an eye, or in patient hospitalization of an employee, incarcerated individual/client or staff. This does not include observation. See also, AD-GA-06 Attachment A Procedure for OSHA Notification.

j. Public Attention - Any occurrence that may result in unusual level of public, political or media attention.

k. Sexual Assault Incident Protocol: Complete a PREA referral in the database, do not complete a CIR and notify the Deputy Director of Institution Operations or Designee in the case of staff or assault of a civilian at the facility. Incarcerated individual/client sexual contact with any person without his or her consent, or with a person who is unable to consent or refuse. Incarcerated individual/client on staff or staff on incarcerated individual/client sexual act or behavior of a serious nature directed toward a staff/incarcerated individual/client warrants a PREA referral and telephone notification immediately.

l. Suicide Attempt – In which medical care outside the institution is necessary.

m. Discharge of Firearm/Taser – By staff on IDOC property or the community. Does not include the discharge of a firearm/taser in the course of training. If a serious injury to a staff member, it
must be reported to OSHA. See also, AD-GA-06 Attachment A Procedure for OSHA Notification.

n. Sabotage – Resulting in major property damage or prolonged disruptions of operations.

2. Community Based Corrections

a. Residential

(1.) Assault – On civilian or staff member, and includes assault by throwing substances. An assault resulting in serious injury to a civilian or staff member requires telephone notification. Assaults on incarcerated individuals/clients. Extremely serious assaults which result in potentially life threatening injuries require telephone notification.

(2.) Death – Civilian or employee death in which the onset of the illness or injury occurs at the facility. Incarcerated individual/client suicides and death by other than natural causes. Death in this category requires telephone notification.

(3.) Death – Incarcerated individual/client by natural causes. This category includes deaths believed caused by disease or medical condition. No telephone notification is required unless Work Release or OWI status.

(4.) Escape

(5.) Hostage – Telephone notification.

(6.) Serious Disturbance/Riot – Telephone notification.

(7.) Life Threatening Medical Issue –

A) Incarcerated individual/client life threatening medical condition. Civilian or employee life threatening condition in which the onset of the illness or injury occurs at the facility requires telephone notification.

B) Incarcerated individual/client or employee with a work related life threatening medical condition that
occurs at the facility requires telephone notification. OSHA must be contacted in the event of a fatality, amputation, loss of an eye, or in patient hospitalization of an employee, incarcerated individual or staff. This does not include observation. See also, AD-GA-06 Attachment A Procedure for OSHA Notification.

(8.) Sexual Assault Incident Protocol - Complete a PREA referral in the database, do not complete a CIR and notify the Deputy Director of CBC or Designee in the case of staff or assault of a civilian at the facility. Incarcerated individual/client sexual contact with any person without his or her consent, or with a person who is unable to consent or refuse. Incarcerated individual/client on staff or staff on incarcerated individual/client sexual act or behavior of a serious nature directed toward a staff/incarcerated individual/client warrants a PREA referral and telephone notification immediately.

(9.) Public Attention - Any occurrence, including criminal activity that may result in unusual level of public, political or media attention. Telephone notification shall be made in cases of extremely serious criminal conduct.

(10.) Discharge of Firearm/Taser - By a staff on CBC property or in the community. Does not include the discharge of a firearm/taser in the course of training. Include the Use of Force section. CIR needs to be completed within 24-hours of the incident.

b. Field

(1.) Assault – On civilian or staff member, and includes assault by throwing substances. An assault resulting in serious injury of a staff member requires telephone notification.

(2.) Death – Civilian or employee death in which the onset of the illness or injury occurs at the CBC complex/unit or in the performance of duties. Civilian or employee death in this category requires telephone notification.
(3.) Death- Client suicides and death by other than natural causes.

(4.) Life Threatening Medical Issue - Civilian or employee life threatening medical condition in which the onset of the illness or injury occurs at the CBC complex/unit or in the performance of duties.

(5.) Public Attention - Any occurrence, including criminal activity that may result in unusual level of public, political or media attention. Phone notification shall be made in cases of extremely serious criminal conduct.

(6.) Discharge of Firearm/Taser - By a staff on CBC property or in the community. Does not include the discharge of a firearm/Taser during training. Include the Use of Force section. CIR needs to be completed within 24-hours of the incident.

E. Priority II Incidents

An incident summary shall be submitted in the CIR module as soon as possible, but no later than 24 hours after the incident, from the Warden/District Director/Shift Supervisor or Designee.

Priority II incidents include, but are not limited to, the following:

1. Institution

   a. Serious Contraband – Cell phone, illegal substance, weapons and other. If the selection is other it shall be defined in the body of the report.

   b. Disruptive Incarcerated Individual/Client – Violent behavior that results in the incarcerated individual/client being placed in administrative segregation.

   c. Facility Outage and Failures – Which result in a significant disruption to facility operations.

   d. Medical Issue – Incarcerated individual/client serious medical condition that requires hospitalization beyond emergency room treatment. Civilian or employee medical condition requiring
emergency room treatment or hospitalization in which the onset of the illness or injury occurs at the facility.

e. Health Issue – Suspected illness/contagious disease – demanding the attention of Department of Public Health.

f. Physical Altercation – Incarcerated individual/client fight, incarcerated individual/client on incarcerated individual/client by throwing substances, incarcerated individual/client on incarcerated individual/client assault with no serious injury.

g. Self Mutilation/Self Injurious – Other than tattooing cutting, ingestion or insertion of foreign objects, etc.

h. Serious Injury – Incarcerated individual/client injuries that require emergency room care. For civilian or employees the injury occurs on site or while on duty.

i. Suicide Attempt – Where medical care inside the institution is provided.

2. Community Based Corrections

a. Residential

   (1.) Criminal Conduct resulting in a Criminal Charge – Any offense committed by a civilian inside a facility. Any offense committed in or out of a facility by an employee or incarcerated individual/client.

   (2.) Medical Issue – Incarcerated individual/client serious medical condition that requires hospitalization beyond emergency room treatment Civilian or employee medical condition requiring emergency room treatment or hospitalization in which the onset of the illness or injury occurs at the facility.

   (3.) Serious Contraband – Weapons or illegal substance possession by an incarcerated individual/client.

   (4.) Facility Outages/Failures – Power outages, flood or other natural disasters which result in a significant disruption to facility operations.
(5.) Vandalism/Damage to property resulting in significant financial loss.

b. Field

(1.) Serious Contraband – Possession of a firearm by an client.

(2.) Death (Natural Cause) of client. Include cause, date and time of death, if known.

(3.) Criminal Conduct resulting in a criminal charge - Any offense committed by an employee or client that is a felony or a charge of violence.

(4.) Facility Outages/Failures – Power outages, flood or other natural disasters which result in a significant disruption to facility operations.

F. Priority III Incidents

All other incidents shall be categorized as Priority III and are for intra institutional/district use.