



DIVISION OF ADULT INSTITUTIONS INCIDENT REPORTING GUIDELINES

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DIVISION OF ADULT INSTITUTIONS INCIDENT REPORTING GUIDELINES

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INTRODUCTION

All serious incidents or events of special interest, as defined in DAI Policy 300.00.71 – Reporting Serious Incidents, Events of Special Interest, Media Contacts and Legislative Inquiries, shall be reported immediately to the DAI Administrator/designee.

Incidents that occur after normal business hours shall be reported to the DAI Administrative On-Call (AOC) in accordance with the DAI AOC schedule. Events that occur outside of normal business hours that require DAI Administrator notification shall be reported to the Administrator by the DAI AOC.

Guidelines for DAI On-Calls

- Get the facts—Who? What? When? Where? Why?
- Determine what has already been done.
- Consider how others may be affected (i.e., staff, inmate, public, media).
- Consider “what ifs”.
- Ensure information is documented (DOC-2466B).
- Ensure staff are provided follow-up by peer supporters if the incident is deemed traumatic. Note when EAP has been offered to staff.
- Ensure emotional wellness check has been provided for affected inmates.
- Follow-up. Ask to be called back, or call yourself.
- Consider whether the incident warrants an Incident Command System approach.

Incident Command System Considerations

Consideration should be given to activating the DOC’s Emergency Operations Center pursuant to EOP 1.4.

- Has the facility Incident Command Post been activated?
- Has the facility completed an ICS-201 Incident Briefing form?
- Will the incident exceed one operational period?
- Is an Incident Action Plan (IAP) in place or being developed?
- Will incident response exceed the facility’s resources?
- Has an E-Sponder site been created?

Serious Incidents

This document contains many examples of incidents/events in the case of which the DAI Administrator/designee (during normal business hours) or DAI AOC (in accordance with the DAI AOC schedule) should be contacted. This list is not all-inclusive; your best judgment should be used when determining whether an incident must be reported. When unsure, it is recommended to err on the side of reporting.

Events of Special Interest

Any situation or event that may attract external attention to facility operations, including but not limited to the release, transfer, court date, or other incident involving a high profile inmate or the erroneous release of any inmate.

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I. SERIOUS INCIDENTS

A. Escape or Attempted Escape

1. Information Regarding inmate(s) Involved (DOC-1309 – Escape Report)
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
2. Circumstances Surrounding Escape
 - What was the method of escape?
 - How did the inmate get into the area?
 - Was the inmate assisted by inside elements?
 - Was the inmate assisted by outside elements?
 - What clothing was worn by the inmate?
3. Responsive Actions
 - Have escape procedures been initiated, per EOP 8.1?
 - Does the incident warrant an Incident Command System be instituted?
 - Was an emergency count conducted?
 - Has the facility been damaged?
 - Has the security of the facility been compromised?
 - Is the perimeter secure?
 - Is the facility in lockdown status?
 - Has law enforcement been notified?
 - Have “Partner Facilities” and other facilities been notified?
 - Has the facility activated their Emergency Response Unit (ERU)?
 - Has the DOC Monitoring/Warrant Center been notified?
 - Has the DOC-58B – Institution Escape – Apprehension Request been completed?
 - Have victims identified via VINES WATCH been notified?
 - Has the inmate’s cell been searched and/or crime scene secured?
 - Have recent phone records been checked?
 - Have visiting lists and recent visits been checked?
 - Have there been inquiries from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
 - Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group?

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B. Homicide

- Has the inmate(s) been identified?
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Have any victims been identified?
- Have any suspects been identified?
- Has the crime scene and body been secured?
- Has law enforcement been notified?
- Has the facility been locked down?
- Has the next of kin been notified?
- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to both the DOC DL DAI Incident Reporting Group to DOC DL DAI Demise Contacts?
- Has the Employee Assistance Program been offered to affected employees?

C. Serious Self-Harm Behavior

- Identify the inmate(s)
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- What was the method of self-harm?
- Do injuries necessitate treatment off grounds?
- Is Observation or Control placement warranted?
- Has Clinical Services been notified?
- Is the use of mechanical restraints to immobilize the inmate warranted?

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- Has the Employee Assistance Program been offered to affected employees?
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group?

D. Extension of the 12-hour Time Limit for an Inmate Immobilized by Mechanical Restraints

Continued placement may be approved by the Warden/designee in 12-hour intervals, provided an interview and examination is conducted by both Psychological Services and Medical Services staff during each 12-hour period and there are no recommendations against continued placement. Per DAI Policy 500.70.10, the DAI Administrator/designee/DAI AOC must be notified of each extension.

- Identify the inmate(s)
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Date, time and reason for placement in mechanical restraints?
- Has an interview and examination been conducted by both the Psychological Services and Medical Services? Do they agree with continued placement?
- Has the Warden/designee approved the 12-hour extension?

E. Suicide or Serious Suicide Attempt

Suicide attempts that result in death, or serious injury, or attempts that involve high profile inmates that could generate unusual interest from the community or media shall be reported to the DAI Administrator.

- Identify the inmate(s)
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- What was the method of suicide/attempted suicide?

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- Is the inmate responsive?
- Was CPR/AED attempted?
- Was inmate treated off grounds?
- Has Clinical Services staff been notified?
- Is Observation or Control placement warranted?
- Is the use of mechanical restraints to immobilize the inmate warranted?
- Has the Employee Assistance Program been offered to affected employees?
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group and the DOC DL DAI Demise Contacts, if appropriate?

F. Sexual Abuse, Assault, Battery, Harassment

1. Inmate-on-Inmate

a) Sexual Abuse and Assault

Depending on the dynamics of the assault, these offenses may constitute a first, second, or third degree sexual assault, which are felony crimes under Wisconsin Statutes s. 940.225. If the sexual abuse is limited to sexual contact, these offenses still violate Wisconsin Statutes s. 940.225 but would be classified as a misdemeanor offense.

- Has a DOC-1445 – Evidence – Chain of Custody (PREA Checklist) been implemented?
- Has the facility completed DOC-2666 – PREA Investigation Tracking and Number Request to request a PREA investigation number?
- Has the accused been separated from other inmates? Temporary Lock-up may be used only with approval from the DAI Administrator.
- Has the crime scene been secured?
- Has law enforcement been notified?
- Has the Facility Victim Services Coordinator been notified?
- Has a sexual assault forensic exam/medical exam of the inmate *victim* been conducted at local hospital (if less than 120 hours since incident) and documented on a DOC-45 – Temporary Release form?
- Has a sexual assault forensic exam/evidence collection of the alleged inmate *offender* been conducted at a local hospital?
- Has all evidence been preserved, including clothing, bedding, physical/material/electronic, etc., on DOC-1445 – Evidence – Chain of Custody?

b) Sexual Harassment

In cases of sexual harassment, the above checklist (Sexual Abuse and Assault) would also apply; however, these offenses typically are not crimes and can be handled internally, without law enforcement involvement.

2. Staff-on-Inmate Sexual Assault

- Has the accused been separated from inmates?
- Has a DOC-1445 – Evidence – Chain of Custody been implemented?
- Has the facility completed DOC-2666 – PREA Investigation Tracking and Number Request to request a PREA investigation number?

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- Has the crime scene been secured?
- Has law enforcement been notified?
- Has the Facility Victim Services Coordinator been notified?
- Has a sexual assault forensic exam/medical exam of the inmate *victim* been conducted at local hospital (if less than 120 hours since incident) and documented on a DOC-45 – Temporary Release form?
- Has a sexual assault forensic exam/evidence collection of the alleged staff *offender* been conducted at a local hospital?
- Has all evidence been preserved, including clothing, bedding, physical/material/electronic, etc. using a DOC-1445 – Evidence – Chain of Custody?

3. Inmate-on-Staff Sexual Assault

While this would not be considered a PREA incident, it is still a sexual assault if it meets the criteria of Wisconsin Statutes s. 940.225.

- Has the inmate(s) been identified?
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Has the accused been removed from the facility? Temporary Lock-up may be used only with approval from the DAI Administrator.
- Has the crime scene been secured?
- Has law enforcement been notified?
- Has all evidence been preserved, including clothing, bedding, physical/material/electronic, etc. using a DOC-1445 – Evidence – Chain of Custody?
- Has an internal investigation been initiated?
- Has a sexual assault forensic exam/medical exam of the staff *victim* been conducted at local hospital?
- Has the facility been locked down?
- Has the Employee Assistance Program been offered to affected employees?
- Has the victim's next of kin been notified?
- Has a Human Resources contact for staff been identified? (DER-DCC-22 [230.36] WKC-12E, DOA-6058, and DOA-6437)
- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and sent to the DOC DL DAI Incident Reporting Group?

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G. Battery on Staff or a Member of the Public

All battery involving staff or a member of the public, and any battery that involves a high profile inmate, which could generate unusual interest from the community or media, shall be reported to the DAI Administrator/designee/DAI AOC.

- Identify the inmate(s) suspects
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Have the victims been identified?
- Have the victims been treated off grounds?
- Has the crime scene been secured?
- Has law enforcement been notified?
- Has the facility been locked down?
- Has the Employee Assistance Program been offered to affected employees?
- Has the victim's next of kin been notified?
- Has a Human Resources contact for staff been identified? (DER-DCC-22 [230.36] WKC-12E, DOA-6058, and DOA-6437)
- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and sent to the DOC DL DAI Incident Reporting Group?

H. Major Property Damage

When conditions within the confines of the facility or a portion thereof become life threatening, as determined by the Incident Commander, evacuation of staff and inmates shall commence as quickly and securely as possible, in accordance with the facility emergency operations plan.

Every effort shall be made to relocate inmates out of the danger zone within the perimeter of the facility before undertaking external evacuation. When it has been determined that external evacuation is necessary, clearance MUST be obtained from the DAI Administrator/designee or the Operations Group Director (when EOC is activated).

- Collection of all basic incident/event information, including “who, what, where, when and why”.
- Does the incident warrant an Incident Command System be instituted?
- Have all staff been accounted for?
- What is the extent of the damage to the facility?

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- Has the security of the facility been compromised? Is the perimeter secure?
- Is the facility in lockdown status?
- Has an Emergency Count been conducted?
- Has law enforcement been notified?
- Have "Partner Facilities" or other facilities been notified?
- Has the facility activated their Emergency Response Unit (ERU)?
- Are there injuries to staff, inmate, visitors and/or volunteers?
- If injured, have the victims been treated off grounds?
- Are there interruptions to utilities services?
- Will the damage to the facility necessitate an internal or external evacuation of the facility? (EOP 7.2)
- In the case of external evacuations of the facility will there be a need for emergency beds? (EOP 7.3)
- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been emailed to the DOC DL DAI Incident Reporting Group?

I. Use of Deadly Force

In accordance with DAI Policy 306.07.01 – Use of Force, deadly force may be used by correctional staff only if the user of force reasonably believes it is immediately necessary to realize one of the following purposes:

1. To prevent death or great bodily injury to oneself or another.
2. To prevent unlawful damage to property that may result in death or great bodily injury to oneself or another.
3. To regain control of a facility or part of a facility.
4. To prevent escape or apprehend an escapee.

- Has the inmate(s) been identified?
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Identify the staff member that used deadly force.
- What necessitated the use of deadly force?
- Did the use of force cause injury or death? If injury occurred due to the use of deadly force see Section J. If death occurred due to the use of deadly force see Section B.
- Did the use of deadly force occur inside or outside the facility?

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- Has law enforcement been notified?
- Has an emergency count been conducted?
- Has the facility been put in lockdown status?
- Has the use of deadly force had an effect on the climate of the facility?
- Has a supervisor initiated an investigation?
- Has the Employee Assistance Program been offered to affected employees?
- Have there been inquiries from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group and to DOC DL DAI Demise Contacts, if appropriate?

J. Injury to Staff or Serious Injury to an Inmate

- If a staff person(s) was injured, what is their name and employment classification?
- What are the circumstances surrounding the incident?
- Has law enforcement been notified?
- Has the area been secured if a crime scene exists?
- Was a weapon involved?
- What was the location of the incident?
- If an inmate was involved, has the inmate(s) been identified?
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Was the staff member/inmate treated off grounds?
- Was the next of kin notified?
- Has the Employee Assistance Program been offered to affected employees?
- Has an email been sent to the DOC DL DAI Incident Reporting Group?
- Has a Human Resources Contact been identified? (DER-DCC-22 (230.36) WKC-12E, DOA-6058, and DOA-6437)

K. Death of an Inmate

An “anticipated death” means any death where the inmate/youth was in the terminal stage of illness and had an anticipated life expectancy of 12 months or less.

An “unanticipated death” means any death which occurs where there was no diagnosis by a physician of a terminal medical condition or when a diagnosis indicated the

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anticipated life expectancy should be 12 months or longer with a terminal medical condition.

- What is the identity of the inmate?
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Mandatory release date
 - Discharge date
 - Latest parole action
 - Date received at Intake
 - Transfer date to current facility
- What was the time and location of death?
- Has the (crime) scene and body been secured?
- What are the circumstances surrounding the death?
- Was the death anticipated or unanticipated?
- How is it affecting the climate of the facility?
- Has law enforcement been notified?
- Has next of kin been notified?
- Has there been an inquiry from the media or contacts made to the media?
(DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group and DOC DL DAI Demise Contacts?
- Has the Employee Assistance Program been offered to affected employees?

L. Death of Staff Member (Check all that apply)

- What is the name and employment classification of the staff member?
- What are the circumstances surrounding the death?
- Is it an anticipated or unanticipated death?
- Has the (crime) scene and body been secured?
- Has law enforcement been notified?
- Has the next of kin been notified?
- How is the staff/inmate climate?
- Has the Employee Assistance Program been offered to affected employees?
- Has there been an inquiry from the media or contacts made to the media?
(DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group and DOC DL DAI Demise Contacts?

M. Any Other Serious/Unusual Incidents

Serious and/or unusual incidents, to include natural disasters, which have the potential of creating uncommon interest in the media and/or surrounding community.

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All serious/unusual incidents that effect the normal policies, operations, and programs of the facility or which have the potential of creating uncommon interest to the press and/or surrounding community shall be reported to DAI Administrator.

- What is the nature of the incident?
- Has the facility initiated the appropriate Emergency Operations Plan and/or policy and procedure?
- Are all staff and inmates accounted for?
- Are there injuries to staff, inmates, visitors, or volunteers?
- Was an emergency count conducted?
- Has the facility been damaged?
- Has the security of the facility been compromised? Is the perimeter secure?
- Is facility in lockdown status?
- Has law enforcement been notified?
- Have "Partner Facilities" and other facilities been notified?
- Has the facility activated their Emergency Response Unit (ERU)?
- Are there interruptions to utilities services?
- Will the damage to the facility necessitate an internal or external evacuation of the facility? (EOP 7.2)
- In the case of external evacuations of the facility will there be a need for emergency beds? (EOP 7.3)
- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group?

N. Events Involving Media Attention, Labor Relations, or the Involvement of Elected or Appointed Officials

All media attention/contacts, labor relations activities, or the involvement of elected/appointed officials that may affect the normal policies, operations, and programs of the facility or could generate unusual interest from the community or media shall be reported to the DAI Administrator/designee/DAI AOC and the DOC Public Information Director.

- Has there been an inquiry from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has an email been sent to the DOC DL DAI Incident Reporting Group?

O. Events of Special Interest

1. Releases

a) Release of a High Profile inmate

All releases of high profile inmates that could generate unusual interest from the community or media shall be reported to the DAI Administrator.

- Identify the inmate(s):
 - Inmate name and DOC number
 - County of commitment

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- Current offense
- Sentence structure
- Parole eligibility date
- Latest parole action
- Mandatory release date
- Discharge date
- Date received at Intake
- Transfer date to current facility
- Have there been inquiries from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has an email been sent to the DOC DL DAI Incident Reporting Group?

b) Erroneous Release of an Inmate

All erroneous releases of an inmate from *maximum/medium security institutions* shall be reported to the DAI Administrator/Designee/DAI AOC. Any erroneous releases of an inmate from *minimum security facilities* involving high profile inmates that could generate unusual interest from the community or media, such as celebrities, lifers, sex offenders, shall be reported to the DAI Administrator/designee/DAI AOC as well.

- Identify the inmate(s):
 - Inmate name and DOC number
 - County of commitment
 - Current offense
 - Sentence structure
 - Parole eligibility date
 - Latest parole action
 - Mandatory release date
 - Discharge date
 - Date received at Intake
 - Transfer date to current facility
- Has law enforcement been notified?
- Has the Division of Community Corrections been notified?
- Has the DOC Monitoring/Warrant Center been notified?
- Has the DOC-58B – Apprehension Request and Warrant been completed?
- Have “Partner Facilities” and other facilities been notified?
- Has the facility activated their Emergency Response Unit (ERU)?
- Have victims identified via VINES WATCH been notified?
- Have there been inquiries from the media or contacts made to the media? (DOC-1031 – Media Contact Report)
- Has a DOC-2466B been completed and emailed to the DOC DL DAI Incident Reporting Group?

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2. **Transfer, Court Date, or Incident Involving a High Profile Inmate**

- Have there been inquiries from the media or contacts made to the media?
(DOC-1031 – Media Contact Report)
- Has an email been sent to the DOC DL DAI Incident Reporting Group?