



| | | | |
|---|---|------------------------------|-------------|
|  <p style="text-align: center;">State of Connecticut Department of Correction</p> <p style="text-align: center;">ADMINISTRATIVE DIRECTIVE</p> | Directive Number 6.6 | Effective Date 10/01/2018 | Page 1 of 6 |
| | Supersedes Reporting of Incidents, dated 7/20/15 | | |
| 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 4-8a, 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, Collection and Retention of Contraband and Physical Evidence; 6.10, Inmate Property; 6.12, Inmate Sexual Abuse/Sexual Harassment Prevention and Intervention; 7.3, Emergency Plans; 7.7, Radio Communications; 8.2, Offender Death, 9.4, Restrictive Status; and 9.5, Code of Penal Discipline.
3. Definitions and/or Acronyms. For the purposes stated herein, the following definitions apply:
 - a. EHR. Electronic Health Record.
 - b. PREA. Prison Rape 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. Each class of incident shall be identified on Attachment B, Incident Class Reference Guide.
5. Notification General Provisions and Procedures. Notification and reporting of incidents shall conform to the following requirements:
 - a. General Provisions:
 - i. All Unit Administrators, Directors or their designees shall be responsible for reporting each class of incident in accordance with this Directive, to their immediate supervisor.
 - ii. 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.
 - iii. 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.
 1. 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:
 - a. Mandatory Activation. The Unit Administrator shall immediately notify the CISRP Coordinator in the following cases:
 - i. Riot;
 - ii. Hostage situation;
 - iii. Employee death on post;
 - iv. Employee suicide;
 - v. Large-scale destruction or disaster;
 - vi. Witnessing inmate suicide or violent death;
 - vii. Staff assault that results in a serious injury as categorized by CN 6603, Report of Assault on Staff;
 - viii. Inmate disturbance as classified by Administrative Directive 9.5, Code of Penal Discipline; and,
 - ix. Sexual abuse of an employee.

| | | |
|---------------------------------|------------------------------|-------------|
| Directive Number 6.6 | Effective Date 10/01/2018 | Page 2 of 6 |
| Title Reporting of Incidents | | |

- b. Discretionary Activation. The Unit Administrator shall assess each incident and the reaction of the affected employee(s) to determine the need for notification of the CISRP Coordinator in the following cases:
- i. Staff assault that results in a non-serious injury as categorized by CN 6603, Report of Assault on Staff;
 - ii. Fire;
 - iii. Threat;
 - iv. Attempted inmate suicide; and,
 - v. Occupational exposure.
- iv. In accordance with Administrative Directive 6.12, Inmate Sexual Abuse/Sexual Harassment Prevention and Intervention Policy when it is suspected that an undocumented PREA related incident has occurred, the Connecticut State Police shall be notified.
 - v. The Director of External Affairs or designee shall report to the Division of Criminal Justice any inmate that has been declared to have died while under the custody of the Department of Correction.
 - vi. Any incident related to a suspected breach of inmate protected health information shall be documented and reported to the department's Privacy Officer.
 - vii. Identified Health Services Unit staff shall be notified regarding specific incidents in accordance with Attachment C, Health Services Unit Notification Requirements.
 - viii. 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).
- b. Notification Procedures dictated by incident class.
- i. 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. The Unit Administrator or designee shall ensure the incident is communicated to the District Administrator.
 - a. If no successful contact is made within ten (10) minutes to the District Administrator, the Deputy Commissioner of Operations and Rehabilitative Services shall be contacted. .
 - b. If no contact is made with either District Administrator or Deputy Commissioner of Operations and Rehabilitative Services within twenty (20) minutes, the Commissioner shall be contacted.
 2. The community alert system shall be activated by the Deputy Commissioner of Operations and Rehabilitative Services or designee 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);
 - f. Confirmed and unconfirmed escapes;

| | | |
|---------------------------------|------------------------------|-------------|
| Directive Number 6.6 | Effective Date 10/01/2018 | Page 3 of 6 |
| Title Reporting of Incidents | | |

- 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 Attachment B, Incident Class Reference Guide.
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 5, 6, and 7 of this Directive.
- ii. 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 5, 6, and 7 of this Directive.
 - iii. 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 5, 6, and 7 of this Directive.
6. Logbooks and Incident Report Numbering System.
 - a. A unique identification shall be assigned to each incident report for tracking, filing and retrieval purposes.
 - b. 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.
 - c. The identification format shall be as follows:
 - i. EXAMPLE: CRCC-2005-01-001
 1. (facility/unit initials - calendar year (four digit); -
 2. month (01 through 12); and, -
 3. Sequence number (001 through 999)).
 - a. The sequence number shall be reset at the beginning of each month.
 7. Incident Report Package General Provisions and Documentation Requirements.
 - a. General Provisions.
 - i. All incidents shall require the completion of CN 6604, Incident Report to document all activity and subsequent actions.
 - ii. All reports relevant to an incident shall be collected and assembled in the Incident Report Package by a supervisor.
 - iii. All applicable documents identified in the CN 6601, Incident Report Package- List of Contents shall be included in the Incident Report Package.
 - b. Specific Documentation Requirements. Specific documentation requirements for forms identified on the CN 6601, Incident Report Package- List of Contents are as follows:
 - i. CN 6601, Incident Report Package List of Contents.
 1. This report shall be prepared by a supervisor and submitted through their chain of command for review and action.
 2. All subsequent contents found within the CN 6601, Incident Report Package- List of Contents shall follow the designated line items outlined within said form.

| | | |
|---------------------------------|------------------------------|-------------|
| Directive Number 6.6 | Effective Date 10/01/2018 | Page 4 of 6 |
| Title Reporting of Incidents | | |

3. Each type of report noted shall have the number of pages for the specific report identified.
 - a. The total number of pages shall be added up and identified at the bottom of the form.
- ii. CN 6602, Shift Commander Overview and Notification Sheet.
 1. This report shall be prepared by the Shift Commander or Acting Shift Commander.
 - a. If the author of the CN 6602, Shift Commander Overview and Notification Sheet needs to provide more documentation regarding the incident, a CN 6604, Incident Report-Supplemental shall be utilized.
 2. This report shall be completed by the end of shift or as soon as feasibly possible for any Class 1, 2, or 3A incidents.
 - a. This report shall be completed by the next business day for any other incident.
- iii. CN 6603, Critical Incident Brief.
 1. For all class 1, 2 and 3A incidents, this report shall normally be completed by the supervisor that provided direct oversight to the specific incident by the end of shift or as soon as feasibly possible and submitted to the Unit Administrator and/or designee(s).
 - a. If a supervisor who did not provide direct oversight to an incident completes this paperwork, the reason shall be noted within the body of the report.
 2. The Unit Administrator or designee shall submit the report to the District Administrator by the next business day.
- iv. CN 6604, Incident Report.
 1. This report shall be prepared by the employee who first witnesses or first reports the incident.
 - a. If the author of the CN 6604, Incident Report needs to provide more documentation regarding the incident, a CN 6605, Incident Report-Supplemental Report shall be utilized.
- v. CN 6605, Incident Report-Supplemental.
 1. 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.
 2. A supervisor who was involved and/or supervised the incident shall completed this report to document their actions.
- vi. CN 6606, Medical Incident Report.
 1. This report shall be submitted by health services personnel who examined the individual(s) involved for injuries resulting from an incident.
 2. The CN 6606, Medical Incident Report shall be signed by the inmate except in those occasions when the inmate is not physically able to, the inmate's behavior prevents signature (i.e., combative) or when the inmate refuses to sign.
 - a. When CN 6606, 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.
 3. All CN 6606, Medical Incident Report(s) shall be scanned into the inmate's EHR.
- vii. CN 6607, Report of Assault on Staff.
 1. This report shall be prepared by the Shift Commander or designee.
 - a. This report shall be completed for each staff member who was assaulted.
- viii. CN 6608, Informational Log.
 1. In accordance with Administrative Directive 7.7, Radio Communications, upon notification of any facility emergency, control center staff shall initiate a CN 6608, Informational Log.
 - a. The CN 6608, Informational log shall be included each the Incident Report Package when a facility emergency is announced over a radio transmission.

| | | |
|---------------------------------|------------------------------|-------------|
| Directive Number 6.6 | Effective Date 10/01/2018 | Page 5 of 6 |
| Title Reporting of Incidents | | |

- ix. CN 6609, Inmate Interview Statement.
 - 1. This report shall be utilized any time an inmate is interviewed by Department of Correction staff or outside law enforcement.
 - x. CN 6610, Inmate Request/Waiver for Criminal Charges against another Inmate.
 - 1. When completion of this form is deemed appropriate by a supervisor, this report shall be completed by the supervisor who oversaw the incident and delivered to the inmate for signature.
 - 2. Any inmate who requests for criminal charges against another inmate shall be permitted to request for the applicable documentation to be completed prior to the end of shift that the incident occurred on.
 - a. Inmates who wish to pursue criminal charges once the shift ends shall be responsibility to do so via mail and through their own means.
 - 3. Any request for criminal charges with is related to a suspect PREA incident shall be reported to outside law enforcement in accordance with Administrative Directive 6.12, Inmate Sexual Abuse/Sexual Harassment Prevention and Intervention.
 - xi. CO-853, Report of Loss or Damage to Real and Personal Property.
 - 1. This report shall be completed by the Unit Administrator or designee 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:
 - a. theft,
 - b. vandalism,
 - c. criminal or malicious damage,
 - d. and lost or misplaced funds.
 - 2. The original, in quintuplicate, shall be forwarded to the Director of Fiscal Services. A copy shall be included with the CN 6603, Incident Report.
 - xii. Other relevant documents related to the incident or aftermath shall be notated on the CN 6601, Incident Report Package-List of Contents under the 'Miscellaneous' line item.
8. Corroborating Information. All physical evidence, to include, but not limited to, video recordings and/or photographs shall be handled, collected and retained in accordance with Administrative Directive 6.9, Collection and Retention of Contraband and Physical Evidence.
9. Report Reviews.
- a. A shift supervisor shall ensure, whenever possible, that all reports are typed, completed and signed the same day during which an incident occurred.
 - b. A shift supervisor shall review all reports for completeness and accuracy.
 - c. The Shift Commander or Acting Shift Commander shall prepare a summary report of all submitted incident reports, and document any necessary recommendations on a CN 6602, Shift Commander Overview and Notification form within the appropriate guidelines and reporting requirements found within this directive and Administrative Directive 6.9, Collection and Retention of Contraband and Physical Evidence.
 - d. The Unit Administrator shall review and co-sign all incident report packages.
 - i. The Unit Administrator or designee shall be responsible for maintaining a permanent log and filing system of all such reports.
10. 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 Package List of Contents;
 - b. CN 6602, Shift Supervisor Overview and Notification Sheet;
 - c. CN 6603, Critical Incident Brief;
 - d. CN 6604, Incident Report;
 - e. CN 6605, Incident Report-Supplemental;
 - f. CN 6606, Medical Incident Report;
 - g. CN 6607, Report of Assault on Staff

| | | |
|---------------------------------|------------------------------|-------------|
| Directive Number 6.6 | Effective Date 10/01/2018 | Page 6 of 6 |
| Title Reporting of Incidents | | |

- h. CN 6608, Informational Log;
- i. CN 6609, Inmate Interview Statement; and,
- j. CN 6610, Inmate Request for Criminal Charges against another Inmate.
- k. Attachment A, Post Incident Employee Work Place Reference (POWER) card;
- l. Attachment B, Incident Class Reference Guide; and
- m. Attachment C, Health Services Unit Notification Requirements.

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