1.1.A.3 Staff Reporting Information to DOC Administration and Office of Risk Management

II Policy:

Information will be reported to the Department of Corrections (DOC) Administration and other officials as described in this policy.

III Definitions:

Absconder:
Any parolee under the supervision of the Parole Services Division (on parole and/or suspended sentence) whose whereabouts are unknown to the supervising parole agent and has been determined by the agent or supervisor to be an absconder. This includes an offender’s attempt to “flight” and relocate to another area, or the evasion of parole supervision by not reporting to the supervising parole agent (See DOC Policy 1.5.G.11 Parole Services Absconder Management).

Absence Without Leave (AWOL):
The failure of a juvenile to return to a facility while on an approved leave. Any juvenile placed at a facility who is unaccounted for a one-hour time period (or longer) while on an approved leave is considered to be on AWOL status.

Assault:
Any person who:

1. Attempts to cause bodily harm to another and has the actual ability and intent to cause the injury;

2. Recklessly causes bodily harm/bodily injury to another; or

3. Negligently causes or attempts to cause bodily injury to another with a dangerous weapon.
Attempt to Locate (ATL):
A notice issued to local law enforcement by a supervising parole agent when an offender's whereabouts are unknown and efforts are underway to determine whether the offender has absconded supervision.

Community Transition Program (CTP) Absconder:
A CTP offender assigned to Phase 1 restricted to the grounds of the facility (assigned an “Alerts Status Restricted” in COMS) who leaves the grounds without staff authorization.

DOC Staff:
For the purposes of this policy, a staff member is any person employed by the DOC, full or part time including an individual under contract assigned to the DOC, an employee of another State agency assigned to the DOC, authorized volunteers and student interns.

Escape:
The unlawful departure of an inmate from within a security perimeter of a facility or departure or fleeing of an inmate from custody or detainment, such as during a transport or from an approved placement. An inmate housed within the secure perimeter of a DOC facility who is unaccounted for a one-hour time period (or longer) may be assigned to escape status (See SDCL § 22-11A-1).

Office of Risk Management:
An office of the South Dakota Bureau of Administration that is responsible for protecting the assets of the state of South Dakota while conducting governmental activity, managing risk through insurance programs and application of safety and loss control techniques. Risk Management has the primary responsibility of implementing the risk management objectives of the state to ensure its operations are not impaired by loss.

Runaway:
The unauthorized departure of a juvenile committed to the DOC from a private or secondary placement facility or from someone assigned to supervise the juvenile. A runaway includes the unauthorized departure or fleeing of a juvenile from custody at anytime during a transport. Any juvenile placed in a private or secondary placement facility who is unaccounted for a one-hour time period (or longer) is considered to be on runaway status.

Serious Injury:
Injury or illness that requires immediate medical attention, emergency treatment or hospitalization and is considered critically life threatening. Includes confirmed staff exposure to a blood borne pathogen or infectious disease contracted during the performance of official DOC duties.

Sexual Abuse:
(1) Contact between the penis and the vulva or the penis and the anus, including penetration, however slight;
(2) Contact between the mouth and the penis, vulva, or anus;
(3) Penetration of the anal or genital opening, however slight, by a hand, finger, object, or other instrument (unrelated staff performance of official duties).
(4) Any other intentional contact, either directly or through the clothing, of or with the genitalia, anus, groin, breast, inner thigh, or the buttocks (unrelated to staff performance of official duties).
(7) Any display by a staff member, of his/her uncovered genitalia, buttocks, or breast in the presence of an offender or parolee.
(8) Voyeurism by a staff member.

Walkaway:
The unauthorized departure of an inmate from a minimum custody unit, work release or community service assignment or furlough. Any inmate housed at a community work center who is unaccounted for a one-hour time period (or longer) is considered to be a walkaway.

IV Procedures:

1. Monthly Reports:
   
   A. The following DOC staff will electronically submit monthly activity reports to the Executive Assistant, Communications and Information Manager and Secretary of Corrections prior to the fifth (5th) of each month. The report will include information designated within the Monthly Report to the Secretary of Corrections form (See Attachment 1).
      
      1. Wardens – will submit a monthly activity report for their respective institutions.
      
      2. Director of Parole – will submit a monthly activity report for parole.
      
      3. The Director of Classification and Transfer will submit a monthly activity report for classification and transfer.
      
      4. Director of Juvenile Services – will submit one monthly activity report for the Division of Juvenile Services and DOC Foster Care program.

   B. Metrics Monthly Report:
      
      1. Staff responsible for maintaining and submitting data and information for the monthly Metrics report will submit the data/information in the prescribed format to the designated DOC Administration Corrections Specialist by the tenth (10th) of each month.
      
      2. The Metrics briefing will typically be scheduled for the third Monday of each month. The briefing includes sets of measurements used to quantify results and performance.

2. Daily Reports:
   
   A. Daily reports and incidents will be obtained from the Comprehensive Offender Management System (COMS) by designated parole services staff and distributed to designated DOC Administration staff (See Parole Services OM 7.1.A.4 Reporting Information to the Director).

   B. Designated staff from each institution will submit a Daily Duty Officer Report to designated DOC staff. The Daily Duty Officer Report will include the following information:
      
      1. Day and date of report.
      
      2. Inmates on a companion watch, 15 minute watch or hunger strike. (Include a brief, but complete statement in this order: last name, first name, ID number, transferred from, transferred to and reason for transfer).
      
      3. Inmate transfers to restricted housing status.
(Include a brief, but complete statement in this order: last name, first name, ID number, transferred from, transferred to and reason for transfer). (Include inmate transfers to restricted housing, IP, Administrative Detention).

4. **Institutional activity.**
   (Include special events, any implementation of ICS, fire alarm, assaults or sliming of staff, major contraband finds (including drugs, alcohol, cell phones, and weapons).

5. **Hospital count.**
   (This information is expected to stay in the report until the inmate has returned from the hospital)
   (Include information in this order: last name, first name, ID number, date/time of incident, hospital location, and date and time staff notified the inmate’s emergency contact (if authorized by the Warden).

6. **Additional Information/Significant events.**
   (Include a narrative of unusual tension or general problems with the inmate population).

7. **Special visitors to the institution.**
   (Include DOC employees from another facility, consultants, inspectors, elected officials/VIPs, news media, and tours.)

8. **Other items.**
   (Include those items that have been monitored, checked or observed that may be required by the Warden).

9. **DOC staff completing the Daily Duty Officer Report.**
   (Include first name, last name and job title).

3. **Reporting Major Incidents:**

   A. Major incidents that require immediate reporting include:

   1. Inmate escapes from custody.
   2. CTP absconder - Alert status Phase 1 Restricted.
   3. Walk away from a DOC facility.
   4. The capture or return of an escaped inmate or CTP Phase 1 absconder.
   5. Unexpected death of an inmate (suicide, accidental, criminal or unattended) or any death of a staff member on duty.
   6. Anytime staff becomes aware of and confirms with medical staff, the health of an inmate has diminished to life threatening. Does not include terminal illness where death is imminent.
   7. When an inmate is transported from a DOC facility by ambulance for immediate medical attention, emergency treatment or admittance to a hospital as a result of apparent self-jury.
   8. Hostage or riot situation at a DOC facility.
   9. Bomb threat at a DOC facility where staff and/or offenders are located.
10. Major physical plant damage, such as fire, flood, wind/tornado, hail, snow or ice, etc. that results in significant damage to state property.

11. Prior to closing any DOC office located in the community due to adverse weather or disruption in utilities or service, etc. Does not include statewide office closures ordered by the Governor.

12. Receipt of a deployment request/order by the Governor or Office of Emergency Management (See DOC policy 1.3.B.5 Deployment to a Natural Disaster).

13. When a parolee meeting one of the following criteria:
   a. A level 2 or 3 System Risk parolee absconds (placed on the Absconder Direct Notification list) (See DOC policy 1.4.G.6 System Risk Classification); or
   b. When a parolee or a parole absconder has serious, adverse contact with the public or law enforcement. (Significant damage to public or private property, acts of violence directed toward the public or law enforcement, committing actions that pose a significant danger to lives, causing significant injury or death to others).

14. Any other incident at the discretion of the Warden or Director.

B. Major incidents must be reported at the first available opportunity directly to the Secretary of Corrections or the Deputy Secretary and the Communication and Information Manager, day or night, 7 days a week.

1. “Reported directly” is defined as the reporting person speaking directly to the person receiving the information.
   a. If direct notification is provided to the Secretary of Corrections, a voice mail or email is required to the Deputy Secretary in lieu of direct contact.
   b. If the Deputy Secretary is spoken to directly, a voice mail or email is required to the Secretary of Corrections in lieu of direct contact.

2. In the event direct contact is not established with the Secretary or Deputy Secretary and the Communication and Information Manager, the major incident will be reported directly to the alternate DOC Senior Staff member specified in Attachment 2.

3. After direct contact has been established, the reporting staff person will promptly send an email to doc.ADMININCIDENT@state.sd.us. The email will include at a minimum the following information:
   1) The date and time the incident occurred.
   2) A narrative of the major incident which includes all relevant information and facts.
   3) A list of all inmates/juveniles/parolees involved.
   4) **A Booking Summary for all inmates/juveniles/parolees involved.
   5) The reporting staff’s telephone number.

**The Booking Summary is found in the Comprehensive Offender Management System (COMS) under Institutional Management, Report Submission, Booking Summary Report. Note: Directions to Access the Booking Summary are as follows:
In COMS, under Institutional Management, click on "Report Submission"
Under "Report", choose “Report Search”
Choose “Booking Summary Report”
Select
Enter the Inmate’s DOC ID# under Value
Click on “Submit”

When the Booking Summary Report comes up on your screen, click on “File”
Click on “Send”
Choose “Page by Email”
In the “To” field, choose “DOC-Admin Major Incident” from the global field
“Send”

4. The informational email will be sent only after direct contact (telephone call) has been made.

C. A completed Major Incident Report (See Attachment 6) will be forwarded to the
   doc.ADMININCIDENT@state.sd.us group within three (3) working days of the date staff became
   aware of the incident.

   1. Any Informational Report(s) regarding the incident will be included as an attachment to the
      Major Incident Report.

   2. For ongoing responses involving a major incident, status reports will be communicated to the
      Secretary of Corrections as directed by the Secretary.

D. Requests for information from outside sources or individuals for any information documented within
   a major incident report or pertaining to a major incident will be directed to the Secretary of
   Corrections and/or Deputy Secretary. The Communications and Information manager may be
   notified of the request.

E. The Secretary of Corrections may redact or withhold any information that if released, may
   unreasonably invade personal privacy, threaten public safety, diminish the safety and/or security
   of the institution its staff and/or offenders, disclose proprietary information, is or may be part of an
   investigation, creates a substantial likelihood of endangering public safety, includes/contains
   response plans or procedures to prevent or mitigate criminal acts, emergency management or
   response, or disrupt normal government operations (See SDCL§ Chapter 1-27).

F. At his/her discretion, the Secretary of Corrections or designee will notify the Office of the
   Governor regarding a major incident.

4. Reporting Other Significant Incidents:

A. Other significant incidents will be reported to the Secretary of Corrections or Deputy Secretary and
   Communication and Information Manager via telephone or e-mail by the Warden or Director, no later
   than one day after becoming aware of the significant incident.

   1. A booking summary must be included with the e-mail if the significant incident involves an
      offender(s).

B. A completed Major Incident Report (See Attachment 5) will be forwarded to the
   doc.ADMININCIDENT@state.sd.us email group within three (3) working days of the date staff
   became aware of the incident.
1. Any Informational Report(s) relating to a reportable incident will be included with the Major Incident Report.

2. For ongoing responses/updates involving a major incident, status reports will be communicated to the Secretary of Corrections as directed by the Secretary.

C. Other significant incidents requiring reporting include:

1. All incidents requiring reporting to the Office of Risk Management (See Section 5 of this policy).

2. A juvenile offender runaway from private or secondary placement or foster care, or when a juvenile is placed on AWOL status.

3. Placement of a parolee on attempt to locate status from CTP phase 2 placement. Note: In the event the ATL results in the issuance of an absconder warrant, a major incident report will be completed within three days of the issuance of the warrant. A major incident report will not be completed on an ATL.

4. The capture or return of a walk away, AWOL, or juvenile runaway.

5. Any assault upon a staff member by an offender. Includes offender assault upon staff by fluid or human waste, as defined within SDCL §§ 22-18-26 and SDCL 22-18-29.1.

6. Confirmed occupational exposure to blood borne pathogens or serious infectious disease (TB, HIV or Hepatitis) by a staff member.

7. Serious injury or assault of an inmate or juvenile in facility placement, or death of an inmate or juvenile in facility placement which is expected (terminal illness).

8. When staff become aware of the arrest of a juvenile offender or a parolee for a serious offense involving multiple victims, negative impact to the public (causing significant property damage, endangerment of human life), assault upon another, eluding law enforcement or the arrest is likely to generate media inquiries/attention.

9. Staff work stoppage.

10. Staff termination due to adverse actions directed towards an offender(s) or other staff member(s), or when a staff member is terminated or immediately relieved of duties during their assigned work hours.

11. Any incident (alleged or substantiated) of sexual abuse involving a staff member and an offender.

   a. Includes incidents (alleged or substantiated) of sexual abuse committed upon a DOC juvenile offender.

12. Any substantiated incident of an inmate inflicting sexual abuse upon another inmate.

13. Any incident (alleged or substantiated) of sexual abuse perpetrated by a DOC juvenile in private or secondary placement or foster care upon another.
14. Any incident involving a staff member or inmate which has been or will be referred to the Division of Criminal Investigation (DCI) or outside law enforcement for investigation.

15. Any use of force by a DOC staff member upon a DOC juvenile offender.

16. Allegations by an offender of excessive use of force by a staff member.

17. Any other incidents at the discretion of the Warden or Director.

Note: When considering whether to report other incidents not included in the above list, staff will take into consideration the severity and extent of the incident, level of danger the incident poses to the public and/or staff, the security of the institution and possibility of media involvement.

D. The Secretary of Corrections or his/her designee may notify the Communication and Information Manager of reported incidents which may necessitate a press release or generate media contact.

1. In the case of a juvenile runaway, the Secretary of Corrections may release the name of the juvenile to law enforcement and/or the media and/or the public if it is determined that doing so is in the best interest of the juvenile.

E. The Secretary of Corrections or his/her designee will notify the Office of the Governor of reported incidents at his/her discretion.

5. Reporting Incidents to the Office of Risk Management:

A. The following incidents will be reported to the Office of Risk Management by DOC staff via the reporting forms provided by Risk Management (See Attachment 3 and 4) or by calling the Office of Risk Management at (605)773-5879 during normal business hours.

1. Death of an inmate, or death of a DOC staff member while on duty.
   a. If the death involves suspected foul play or is self inflicted (suicide), Risk Management should be notified immediately. During normal business hours: (605) 773-5879, after hours contact State Radio at (605) 773-3536 (they have protocol in place to contact Risk Management).
   b. All other deaths (natural causes or accidental) will be reported to Risk Management within twenty-four (24) hours of becoming aware of the incident.

2. Any incident (alleged or substantiated) of sexual abuse involving DOC staff and an inmate, or the sexual abuse of a DOC juvenile in private or secondary placement, after care or foster care by another, will be reported to Risk Management within twenty-four (24) hours of the incident being reported.

3. An inmate escape from secure custody will be reported to Risk Management within twenty-four (24) hours of the DOC determining the inmate has escaped.

4. Hostage or riot situations at a DOC facility.

5. State insured building and/or contents/property losses over $1000.
6. Serious adverse public contact; such as, but not limited to:

   a. Serious injury to a visitor or a member of the public on DOC grounds.
      1) If the incident resulted in a fatality, serious bodily injury, or serious
         property damage, this shall be reported immediately to Claims Associates, Inc. at
         their 24-hour telephone number 1-888-430-2249. All other accidents/incidents or
         adverse contact shall be reported to Risk Management.

   b. Any significant damage to private property resulting from adverse public contact
      allegedly caused by DOC staff or offenders.

7. Any time a staff member serving in his/her official capacity is named as a defendant in a claim or
   lawsuit or is served legal documents making the staff member party to a lawsuit.

8. Any other incident involving personal injury, property damage, or unsafe conditions, at the
   discretion of the Chief Executive Officer or the Risk Management liaison.

B. Staff will complete a State Vehicle Accident Report form for all accidents involving a state vehicle.
   Forms are available through the state’s Risk Management website (See Attachments 4 and 5).

C. All accidents involving a DOC staff member or offender and a non-state vehicle, or injuries sustained
   by a staff member as a result of an accident, or assault upon a staff member by an offender, will be
   immediately reported to the staff member’s supervisor. A written report shall be completed by the
   staff member and reported to Risk Management on a Report of Accident, Incident or Unsafe
   Condition form. Forms are available through the state’s Risk Management website (See Attachments
   4 and 5).

   1. Reporting staff shall provide a copy of any written report(s) sent to the Office of Risk
      Management to their supervisor.

   2. The DOC Director of Operations will disseminate copies of any report received as he/she
      deems necessary.

D. A copy of any written report(s) submitted by staff to the Office of Risk Management involving
   community service inmates (See DOC policy 1.5.A.6 Community Service Program), work release
   inmates (See DOC policy 1.5.A.5 Work Release) or inmates responding to a natural disaster (See
   DOC policy 1.3.B.5 Inmate Deployment to a Natural Disaster) will be forwarded to the Director
   of Community Services.

6. Format of Major Incident Reports:

A. All major incident reports will be documented utilizing the Major Incident Report (See Attachment 5).

B. All major incident reports shall be submitted to the DOC Administration office and will be stored
   electronically on the DOC M-drive in the Major Incident folder.

V Related Directives:


   DOC policy 1.3.B.1 – Emergency Response
   DOC policy 1.3.B.5 – Inmate Deployment to a Natural Disaster
   DOC policy 1.4.G.6 -- System Risk Classification
VI Revision Log:

**March 2002:** Revised B.8 to read out-of-state travel documentation for all staff on monthly reports Changed references to Central Office to DOC Administration

**December 2003:** Revised the policy statement Clarified when monthly reports are due Added reference to policies 1.3.B.5 and 1.5.A.6 Added the DOC PIO as a contact for major incidents. Added that institutional informational reports are included with major incidents Revised information on staff or offender injuries and serious adverse public contact as major incidents Deleted some “other incidents” in section on Reporting Other Incidents. Added that a copy of reports sent to Risk Management will also be sent to the Director of Operations and the Director of Community Service in certain circumstances Rearranged section on Incident Reporting into sections on major incidents, other incidents and Risk Management Added attachments 3 and 4.

**March 2005:** Revised the policy statement Revised Attachment 3 Added definitions for Escape, Walkaway, AWOL, Incident and Injury Noted the name change to DOC policy 1.3.B.5.

**March 2006:** Added items to include as a major incident. Added the section on Officer Daily Reports Moved staff terminations due to illegal activity from Other Incidents to Major Incidents.

**June 2007:** Revised the definition of “injury,” “escape,” “walkaway” and “AWOL” Added reference to SDCL § 24-15A-32. Added attachment 3 and revised the order of the previous attachments Added reference to DOC policy 1.5.A.5 Revised the reporting procedures for a juvenile escape/walkaway/AWOL Revised attachments 6 and 7 Added definitions for “runaway” and “security perimeter” Expanded the incidents that need to be reported to Risk Management.

**March 2008:** Revised the definition of Incident to include “or” when speaking of staff and/or inmates or juveniles. Added “but not limited to” when speaking of examples of incidents within the definition of Incident Deleted “trailers” as part of the definition of vehicle Revised other sentence structure throughout policy Revised Attachment 5’s footer formatting. Clarified the levels of use of force for juveniles at STAR Academy to be reported to DOC Administration and cited DOC Policy 1.3.A.4. Use of Force – Juvenile Institutions.

**April 2008:** Changed the next revision date to January 2009 vs. March 2009. Removed “or another DOC Senior Staff member” as a contact considered “reported directly” under the Reporting Major Incidents section Removed the sentence stating that sending an email the Secretary of DOC or another Senior Staff member with a BlackBerry is considered “reported directly” under the Reporting Major Incidents section Added Deputy Secretary of Corrections to be contacted in addition to the Secretary of Corrections when reporting major incidents under the Reporting Major Incidents section. Revised a sentence under the Reporting Major Incidents section stating that sending an e-mail is not considered “reported directly” Deleted the sentence regarding providing a 24 hour telephone number of the Secretary of Corrections to institutions and agencies relating to reporting major incidents. Added a sentence relating to reporting major incidents to include directions when the Secretary of Corrections and Deputy Secretary of Corrections cannot be contacted directly, all major incidents will be reported to DOC Senior Staff as listed in Attachment 4. Revised the directions of contacting the Communications and Information Manager anytime a major incident occurs and added that in the event direct contact cannot be made that it is permissible to leave a voice mail or send an e-mail that contains the information of the major incident Revised Attachment 4 Senior Staff Contact List to include Darwin Weeldreyer as the fifth (5th) contact and Max Gors as the sixth (6th) contact Removed Michael Winder and Brady Kerkman from Attachment 4 from the Senior Staff Contact List Added an additional chart to Attachment 4 indicating that the DOC Communication and Information Manager (Michael Winder) is contacted anytime a major incident occurs and clarified if direct contact cannot be made that a voice mail or e-mail with the information of the major incident is permissible.
**November 2008:** Revised formatting of policy in accordance with DOC policy 1.1.A.2. Replaced
Primary Responsibility in section I to Unit CEOs. Revised ss (A) to include who reports should be
submitted to and the reports required, replaced three working days prior to the 7th with the 5th of each
month, added reference to Attachment 1, deleted former ss (B1 through B9) regarding report format
and added new ss (B and B1) within Monthly Reports. Revised title of Officer Daily/Weekly Reports to
Daily/Weekly Officer Reports, added parole and JCC staff to ss (A) and added new ss (B) of same
section Revised Format of Incident Reports section by referencing new Attachment 7 to be used.
Deleted former Attachment 1; Personal Vacancy Report and Attachment 2; Overtime Report. Added
new Attachment 1 and revised attachment numbers Revised Attachment 2 to include only offenses.
Revised file name of Attachment 4, revised instructions to access Attachments 5 and 6 and deleted
Attachments 5 and 6 from DOC WAN Revised title of Attachment 7. Revised minor wording throughout
policy.

**March 2009:** Replaced Attachment 3 with 2 in ss (A8 of Reporting Major Incidents). Deleted “weekly”
as it relates to daily reports, deleted reference to Attachment 4 and revised title of report required by
institutions to Daily Officer Report in ss (B), added ss (B1 and B9) and added additional
instructions for reporting for ss (B2 - B8) all within Daily Officer Reports. Deleted Attachment 4 and
revised numbering of subsequent attachments.

**May 2009:** Revised ss (A8) to include reference of the CEO and examples, replaced “and” with “or”
regarding reporting to the Secretary or the Deputy Secretary within ss (C and C1), added ss (C1a, C1b
and Note), added leaving a telephone message to ss (C2), added reference to “directly” when reporting
to DOC Senior Staff and added email message or phone message will be left for both Secretary and
Deputy Secretary within ss (C3) and added reference to “directly” and added reference to parole and
JCC within ss (D) and revised ss (D) to add ss (D1) all within Reporting Major Incidents. Added ss (B5
of Reporting Other Incidents). Added “major” to heading, revised title of “Secretary of Corrections
Executive Assistant Report” to “Major Incident Report” and added reference to “6” in relation to
Attachment all within ss (A of Format of Major Incident Reports). Added hyperlinks throughout policy
and to section V.

**January 2010:** Revised formatting of Section I. Added SDCL 22-11A-1 to definition of escape and to
section V. Added hyperlinks. Added “date submitted” and “reporting month (To Below Recipients)” to
Attachment 1.

**February 2011:** Removed “medical issue” from section 3 Daily Officer Reports, B. 6. Removed Max
Gors from the Senior Staff Contact List Attachment 3.

**November 2011:** Deleted “and the DOC Foster Care program” in Section 1 A. 4. Added “and the DOC
Foster Care program” to Section 1 A. 5. Deleted “terminated” and Added “or a staff person who has
been terminated for actions while on duty” in Section 2 A. 14. Created new 15 “The deployment of
inmates to a natural disaster”. to Section 2 A. Created new 2. “After direct contact has been established
with the Secretary or Deputy Secretary, the reporting staff person shall send an email to the Secretary,
Deputy Secretary and Communication and Information Manager summarizing all relevant information
and facts pertaining to the major incident” in Section 2. C. Renumbered section. Added “An
informational email shall be sent only after direct contact has been made with the Secretary or Deputy
Secretary” in Section 2 C. 3. Added “with the Communication and Information Manager, the reporting
staff shall directly contact the DOC staff member listed in Attachment 3. After Direct contact has been
established with the DOC staff member, an email or telephone message” Deleted “it is permissible to
leave a voice mail or send an email notification that contains the information of the major incident” and
Replaced with “will be left for the Communication and Information Manager” in Section 2 D. 1. Added
“involving community service inmates, work release inmates or inmates respond to a natural disaster” to
Section 5 C. 2. Deleted “Criminal Pedophilia” from Attachment 2. Updated contact information in
Attachment 3 and Added “Mary Bison and Kim Edson.”

**March 2012:** Added definition of DOC Staff and Office of Risk Management Added definition of CTP
Absconder. Added “or agency” and “or with a DOC agency” to definition of DOC Staff. Added CTP
absconder to Section 2 A. and renumbered items. Added new #8 and Renumbered the items that
follow in Section 2 A. Deleted Facilities” and Replaced with “Units” in Section 2 B. Added “or CTP
absconder” and Deleted “inmate” and Replaced with “offender” in Section 2 B. 1. Deleted “or
Deleted "and an email or telephone message will be sent for both the Secretary and Deputy Secretary" and Replaced with "send an email to the Secretary, Deputy Secretary and Communication and Information Manager summarizing all relevant information and fact pertaining to the major incident" in Section 2 C. 4 Added 3. and 4. to Section 2 F. Deleted "and juvenile corrections staff" from Section 3. A. Deleted “on” and Replaced with “no later than” in Section 4 A. 1. Added E. and moved a. to E. from Section 5 C. and changed previous E. to F. in Section 4. Added "promptly and properly" and "by DOC staff utilizing the reporting forms provided by Risk Management" in Section 5. A. Added “visitor at a DOC facility” to Section 5 A. 1 Added (natural cause, accidental)" to Section 5 A. 1. b. Deleted “a vehicle is stolen by an inmate or juvenile or anytime a vehicle is stolen from the grounds of a DOC facility” and Replaced with “is made aware an inmate or juvenile has committed a crime while on escape or runaway status” in Section 5 A 4 Added “serious” “to staff or the offender” and “immediate medical attention” to Section 5 A. 6. Added “serious injuries or assaults involving” Deleted “inmate or juvenile” and Replaced with “offender” and Added “immediate medical attention” to Section 5 A. 7. Deleted “Major physical plant damage, such as a fire, flood wind/tornado damage etc.” and Replaced with “building and contents property losses of $500” to Section 5 A. 9 Added c. and d. to Section 5 A. 10. Added 12. “any time staff is named as a defendant in a claim or lawsuit or served legal documents making staff party to a lawsuit” to Section 5 A. Added “for all accidents involving a state vehicle” and Added “for accidents or incidents not involving a state vehicle” to Section 5 B. Added “Reporting staff shall provide” to Section 5 B. 1 Deleted 3. “The DOC Director of Operations or his/her designee will maintain a perpetual list/database of incidents reported to the DOC Administration” in Section 5 B. Added “Major incident reports shall be stored electronically on the DOC M-drive.” to Section 6 A. 

**February 2013:** Added definition of “Offender” Added 18-20 and Renumbered existing 18. to 21 within Section 2 A. Deleted “Allegations of sexual misconduct” and Replaced with “any incident (alleged or substantiated) of sexual abuse involving DOC staff and a juvenile, an inmate or parolee” and Deleted “allegations” and Replaced with “incident” and Deleted “allegations of sexual misconduct by:” in Section 5 A. 2. Deleted a. “A DOC staff member while serving in his/her official capacity” and b. “A foster care provider” and c. “Any juvenile treatment or aftercare provider when the incident involves a juvenile placed in DOC custody” and Replaced with a. “Incidents of sexual abuse involving a DOC juvenile placed in foster care, treatment or aftercare by a staff member of provider” in section 5 A. 2. 

**August 2013:** Added “and Office of Risk Management” to title of the policy. Deleted “A group 1, 3, or 4 CTP offender (placed in CTP directly from the institution) who is restricted to the unit and” from the definition of CTP Absconder Added “the grounds of any” to definition of “Runaway” Deleted definition of “Injury” and Added definition of “Serious Injury” Added “while on duty” to Section 2 A. 7 Added new 22 &23 to Section 2 A. Deleted 1-4 and 4. A. and b. referencing reporting walkaways from STAR in Section 2 b. Added “Communication and Information Manager” to Section 2 C Deleted “radio” from Section 2 C. 1. Added “and the Communications and Information Manager” and the email address. Added “This summary shall include the date, time and narrative of the major incident and a contact number for the reporting staff person sending the summary. The staff person shall also attach a Booking Summary of the offender(s) involved in the incident to the email address. The Booking Summary is found in the Comprehensive Offender Management System (COMS) under Institutional Management, Report Submission, Booking Summary Report.” to Section 2 C. 1 c. Added directions from COMS. Added 5 to Section 2 C. Deleted D. “the DOC Communication and Information Manager will be notified directly by the facility, parole or juvenile community corrections staff anytime a major incident occurs” in Section 2. Deleted 1. “In the event direct contact cannot be made with the Communication and Information Manager, the reporting staff shall directly contact one of the DOC staff persons specified in Attachment 3. After direct contact has been established, the reporting staff member shall promptly send an email summarizing all relevant information and facts pertaining to the major incident to the Communication and Information Manager” in Section 2 D. Deleted E. The Director of Community Services shall be contacted regarding any major incidents involving community service inmates work release inmates) or inmates responding to a natural disaster.” in Section 2. Changed 3. and 4. to E. and F. in Section 2 D. Added G. to Section 2. Deleted a. “Notification will be completed by telephone or email and will be made by the end of the workday which the major incident occurred” in
Section 2. E. Replaced with “following the beginning of the incident” and Replaced with “of the date staff became aware of the incident” in Section 2 F. Added “provided this has been authorized by the Warden” in Section 3 B. 5.

**February 2014:** Deleted “Non-Public” and Replaced with “Public”. Deleted definition of “vehicle” Added “confirmed infectious/contagious disease exposure involving staff during the performance of their assigned duties” in Definition of Serious Injury. Deleted “offender suicide or death of an offender or” and Replaced with “Unexpected death of an offender. Death of a staff member while on duty” to Section 3 A. 7. Added “resulting in significant damage to property” to Section 3 A. 10 added 12. a. b. c. to Section 3. Moved Sections 2, 3, 4, within the policy. Moved items 7, 8, 10, 14, 15, 16, 18-23 from Section 3 A. to Section 4. D. Deleted “Deployment of inmates to a natural disaster” and Replaced with “Upon receipt of a deployment request by the Governor or Office of Emergency Management” to Section 3 A. 11. Added “confirmed” to Section 4 A. 5. Added “death of an offender which is expected (terminal illness) in Section 4 A. 6. Deleted 9. “Serious adverse public contact involving a staff member or offender” in Section 3 A. Deleted “or a visitor at a DOC facility” in Section 5 A. 1. Added “in DOC custody” to Section 5 A. 2. Added “on state grounds” to Section 5 A. 10, a. Added “allegedly” to Section 5 A. 10 b. Added “while serving in their official capacity” in Section 5 A. 12.

**January 2015:** Revised definition of CTP Absconder. Deleted definition of “Offender”. Deleted “and an additional monthly activity report combining the SOMP and classification activities” in Section 1 A. 3. Added new 4. to Section 1 A. Added 2. to Section 1 B. Deleted “Information and Communications Manger” and Replaced with “designated corrections specialist in DOC Admin.” in Section 1 b. 1. Deleted “administrative segregation” and Replaced with “restricted housing status” in Section 2 B. 3. Added “(Include inmate transfers from one level to another level and releases from restricted status to general population)” in Section 2 B. 3. Added “hail, snow or ice” to Section 3 A. 10. Deleted “has an active “High Risk Offender alert” and Replaced with “is a level 2 or 3 System Risk, placed on the Absconder Direct Notification list” in Section 3 A. 12. a. Deleted b. “The parolee cut free of his/her GPS monitoring device” and Deleted c. “The parolee is a level R or 3 moderate or high risk sex offender” in Section 3 A. 12. Deleted “offender” and Replaced with “inmate or juvenile in DOC custody” in Section 4 D. 6. Added “in DOC custody” to 12. and 15. in Section 4 D.

**May 2015:** Added 1. to Section 4 A. December 2015: Added 8. and 9. to Section 3 A. Added (Significant damage to public or private property, acts of violence directed toward the public or law enforcement, committing actions that pose a significant danger to lives, causing significant injury or death to others) to Section 3 A. 14. b. Added “occupational exposure to blood borne pathogens or serious” to Section 4 C. 5. Added “involving an offender” in Section 4 C. 9.

**May 2016:** Added “committed to the DOC from a private or secondary placement facility”, Deleted “from the grounds of any facility” in Definition of Runaway. Deleted 2. Regarding STAR Academy in Section 1 A. Deleted 5. Director of Juvenile Services will submit on monthly activity report combining all juvenile services’ in Section 1 A. Deleted 3. Moved 5. to other significant incidents lists. Changed “offender in custody” to “inmate” throughout the policy. Deleted “superintendent” from policy. Added “or return” to Section 4 C. 4. Deleted “in DOC custody” and Replaced with “in private or secondary placement or foster care” in Section 4 C. 6. Deleted “in foster care, treatment, or aftercare by a staff member or juvenile” in Section 4 C. 10 a. Deleted 4, 5, and 6 in Section 5 A. Deleted “$500 and Replaced with $1000” in Section 5 A. 5.

**June 2016:** Added definition of “assault”. Updated language in Section 4 C. 5. and 10. Added “immediately reported to the staff member’s supervisor. A written report shall be completed by the staff member and reported to Risk Management on a” in Section 5 B. Deleted Attachment 2- Violent Crimes List.

**January 2017:** Added definition of ATL. Added 11. to Section 3 A. Revised 3. In Section 4 C. February 2018: Reviewed with no changes.
Attachment 1: Monthly Report to the Secretary of Corrections

The *Monthly Report to the Secretary of Corrections* form is located on the state’s WAN.

A copy may be printed using *Microsoft Word 97* as follows:

1. Click [here](#) to access the *Monthly Report to the Secretary of Corrections* by:
   a. Placing mouse on the word “here” above
   b. Press and hold the “Ctrl” key on the keyboard
   c. Click the left button of mouse.

2. Or Select *File/New* from the Menu Bar / Select the *DOC* tab / Select *Monthly Report to the Secretary of Corrections*.

The gray areas indicate the information that is to be entered.
Attachment 2: Senior Staff Contact List

The **DOC Administration Staff Contact List** form is located on the state’s WAN.

A copy may be printed using *Microsoft Word 97* as follows:

1. Click [here](#) to access the **DOC Administration Staff Contact List** by:
   a. Placing mouse on the word “here” above
   b. Press and hold the “Ctrl” key on the keyboard
   c. Click the left button of mouse.

2. Or Select **File/New** from the Menu Bar / Select the **DOC** tab / Select **DOC Administration Staff Contact List**.
Attachment 3: State Vehicle Accident Report

The State Vehicle Accident Report form is located on Risk Management’s website.

A copy of the State Vehicle Accident Report may be printed as follows:

1. Click here to access the State Vehicle Accident Report by:
   a. Placing mouse on the word “here” above
   b. Press and hold the “Ctrl” key on the keyboard
   c. Click the left button of mouse.

Attachment 4: Report of Accident, Incident, or Unsafe Condition

The Report of Accident, Incident, or Unsafe Condition form is located on Risk Management’s website.

A copy of the Report of Accident, Incident, or Unsafe Condition may be printed as follows:

1. Click here to access the Report of Accident, Incident, or Unsafe Condition by:
   a. Placing mouse on the word “here” above
   b. Press and hold the “Ctrl” key on the keyboard
   c. Click the left button of mouse.

2. Or go to http://orm.sd.gov/documents/AccidentIncidentUnsafeConditionfill.pdf to access the Report of Accident, Incident, or Unsafe Condition.

<table>
<thead>
<tr>
<th>Bureau of Administration</th>
<th>Office of Risk Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone (803) 775-9079</td>
<td>Fax (803) 775-9089</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department/Bureau</th>
<th>Agency/Division</th>
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<tbody>
<tr>
<td></td>
<td>RiskMgmt Non-State Vehicle Accident Report</td>
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</table>

<table>
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<tr>
<th>Report of Accident, Incident, or Unsafe Condition</th>
<th>(Non-State Automobile)</th>
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</thead>
<tbody>
<tr>
<td>Name</td>
<td>UUR</td>
</tr>
<tr>
<td>Title</td>
<td></td>
</tr>
<tr>
<td>Type</td>
<td>Accident, Incident, Unsafe Condition</td>
</tr>
<tr>
<td>Location of Accident, Incident, or Unsafe Condition</td>
<td></td>
</tr>
<tr>
<td>Employee Completing Report</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Person Involved in the Accident or Incident</th>
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</thead>
<tbody>
<tr>
<td>Name</td>
</tr>
<tr>
<td>Address</td>
</tr>
<tr>
<td>Business Address</td>
</tr>
<tr>
<td>Work Phone</td>
</tr>
<tr>
<td>Home Phone</td>
</tr>
<tr>
<td>Phone</td>
</tr>
<tr>
<td>Occupation</td>
</tr>
<tr>
<td>What was the person involved doing at the time of the accident or incident?</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Injury</th>
</tr>
</thead>
<tbody>
<tr>
<td>What was the nature and extent of the injury?</td>
</tr>
<tr>
<td>Was first aid administered? Yes No</td>
</tr>
<tr>
<td>Who administered? Yes, by whom?</td>
</tr>
<tr>
<td>Describe the type of first-aid treatment given</td>
</tr>
<tr>
<td>Was medical treatment administered? Yes No</td>
</tr>
<tr>
<td>Who administered? Yes, by whom?</td>
</tr>
<tr>
<td>Name and address of medical facility</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Property Damage</th>
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<tbody>
<tr>
<td>Damage description (include estimated repair costs)</td>
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<table>
<thead>
<tr>
<th>Witnesses</th>
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<tbody>
<tr>
<td>Name (include address and phone)</td>
</tr>
<tr>
<td>Name (include address and phone)</td>
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<tr>
<th>Accident Description</th>
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<tr>
<td>Law enforcement contacted Yes No Name of Law Enforcement agency</td>
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<tr>
<td>Signature</td>
</tr>
<tr>
<td>Employee Signature: Date:</td>
</tr>
<tr>
<td>Activated Agency Signature: Date:</td>
</tr>
</tbody>
</table>

Make copy for your records and send original to Office of Risk Management, 1623 East Sunrise Drive, SIO 701

Note: The Report Does Not Constitute A Claim Against The State of South Dakota, Nor Does It Constitute A Notice of Injury Pursuant To SDCL 31-21.
Attachment 5: Major Incident Report

The *Major Incident Report* form is located on the state’s WAN.

A copy may be printed using *Microsoft Word 97* as follows:

1. Click [here](#) to access the *Major Incident Report* by:
   a. Placing mouse on the word “here” above
   b. Press and hold the “Ctrl” key on the keyboard
   c. Click the left button of mouse.

2. Or Select *File/New* from the Menu Bar / Select the *DOC* tab / Select *Major Incident Report*.

   The gray areas indicate the information that is to be entered.