

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

I Policy Index:



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Office of Primary Responsibility: DOC Administration

II Policy:

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

III Definitions:

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).

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.

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.

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](#)).

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.

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.

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.

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.

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.

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.

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.

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.

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 the 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 Officer Reports:

A. Daily reports and special 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 from one level to another level and releases from restricted status to general population).

4. **Institutional activity.**

(Include a special event that took place, any implementation of ICS, fire alarms, assaults/sliming involving staff, major contraband finds (drugs, alcohol, weapons).

5. **Hospital count.**

(This information is expected to stay in the report until the inmate has returned from the hospital, which is to include 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. A CTP absconder -Alert status Phase 1 Restricted.
3. A 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 death of a staff member while on duty.
6. Anytime DOC staff becomes aware of and confirms with medical staff the medical condition 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, create 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:

SDCL §§ Chapter 1-27, [22-11A-1](#), [22-18-26](#), [22-18-29.1](#) and [24-15A-32](#).

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](#)
 DOC policy 1.5.A.5 – [Work Release](#)
 DOC policy 1.5.G.2 – [Parole Community Transition Program](#)
 DOC policy 1.5.G.3-- [Use of Force-Parole Services Staff](#)
 DOC Policy 1.5.G.11-- [Parole Services Absconder Management](#)
 Parole Services OM 7.1.A.4 -- [Reporting Information to the Director](#)

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. Added work stoppages to 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 Duty 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 Manger" 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 facility/agency OM” in Section 2 B. 4. **Deleted** “and an email or telephone message will be left 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. **Renumbered** F. to D. in Section 2. **Deleted** “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.

South Dakota Department Of Corrections

Policy

Distribution: Public

1.1.A.3

Staff Reporting Information to DOC Administration
and Office of Risk Management

Denny Kaemingk (original signature on file)

01/19/2017

Denny Kaemingk, Secretary of Corrections

Date

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.

South Dakota Department of Corrections		Attachment: Monthly Report to the Secretary of Corrections	
Policy		Please refer to DOC policy 1.1.A.3	
Distribution: Non-Public		Reporting Information to DOC Administration	
MONTHLY REPORT TO THE SECRETARY OF CORRECTIONS			
REPORTING MONTH: <input type="text"/>		DATE SUBMITTED (To State Reporting): <input type="text"/>	
TO: <input type="text"/>		FROM: <input type="text"/>	
Tim Reach		<input type="checkbox"/> SCSP	
Mary Olson		<input type="checkbox"/> IDSP	
Michael Winder		<input type="checkbox"/> SCWP	
		<input type="checkbox"/> STSR	
		<input type="checkbox"/> Parole	
		<input type="checkbox"/> JCC	
		<input type="checkbox"/> Juvenile Services	
		<input type="checkbox"/> 400C Foster	
		<input type="checkbox"/> SCSP & Classification	
1. STATUS OF ONGOING PRIORITY PROJECTS: (This should be a short, concise, narrative briefing.)			
<input type="text"/>			
2. ACTION NEEDED FROM DOC ADMINISTRATION: (Specify what action is needed from the Secretary of Corrections and when it is needed)			
<input type="text"/>			
3. ALERTS: (Inform the Secretary of Corrections of a current or impending problem, issue, or incident)			
<input type="text"/>			
4. OVERTIME REPORT: (Inform the Secretary of Corrections of the number of hours of overtime approved and the purpose of the overtime.)			
Staff Coverage:	Use of Force:	Physical Plant:	
Hospital Coverage:	Hospital Transports:	TOTAL OVERTIME:	
Purpose of Overtime: <input type="text"/>			
5. OUTSIDE CONTACT: (Inform the Secretary of Corrections of contacts outside of the DOC. This includes VIP tours, media contacts, legislative contacts and government agencies concerning significant issues.)			
<input type="text"/>			
6. AWARDS/HONORS: (Inform the Secretary of Corrections of honors, recognition or awards received by employees or volunteers)			
<input type="text"/>			

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**.

South Dakota Department of Corrections		Attachment: DOC Administration Staff Contact List		
Policy		Please refer to DOC policy 1.1.A.3		
Distribution: Non-Public		Reporting Information to DOC Administration and Office of Risk Management		
DOC ADMINISTRATION STAFF CONTACT LIST				
Contact the DOC Senior Staff in the order that they are listed in the chart below. Continue down the list until direct contact is made with a DOC Senior Staff person.				
	NAME	WORK #	HOME #	CELL #
1.	Denny Kaemink	773-3478 or 773-2477 (direct LJAC Admin. office) 367-6136 (direct SOSP office)	995-7622	220-8516
2.	Laurie Fraier	773-4941		280-1826
3.	Kevin McLain	773-4199		280-3990
4.	Scott Bollinger	773-4190	224-8600	280-4299
5.	Darwin Wealdreyer	773-6489		280-0768
Contact the DOC Communication and Information Manager anytime a major incident occurs. In the event direct contact cannot be made with the Communication and Information Manager, continue down the list until direct contact is made.				
	NAME	WORK #	HOME #	CELL #
1.	Michael Winder	773-2548		295-2404
2.	Kim Edson	773-2801		295-2446
Created: 06/26/2014				
Page 1 of 1				

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.

1. Or go to <http://orm.sd.gov/documents/StateVehicleAccidentfill.pdf> to access the **State Vehicle Accident Report**.

Risk Mgmt State Vehicle Accident Report			
State Vehicle Accident Report			
Bureau of Administration Phone (605)773-8879		Office of Risk Management Fax (605)773-8880	
Type of Accident (check all that apply) <input type="checkbox"/> Fatality <input type="checkbox"/> Employee Injury <input type="checkbox"/> Private Citizen Injury <input type="checkbox"/> Damaged Private Property <input type="checkbox"/> Damaged State Property <input type="checkbox"/> Other	Date of Accident	Time of Accident <input type="checkbox"/> AM <input type="checkbox"/> PM	
Location of Accident (include mile marker # and closest town if applicable)			
State Employee Vehicle			
Employee Name	DOB	Title	<input type="checkbox"/> Temporary <input type="checkbox"/> Permanent
Department	Agency/Division	Work Phone	Home Phone
Where Can Vehicle Be Seen	Driver's License #	Date Reported to Supervisor	
Vehicle Serial Number	Vehicle Make and Year	Vehicle License Plate #	
Describe Damage/Injuries - Repair Estimate			
Other Parties (Vehicle/Property)			
Name	DOB	Employer	<input type="checkbox"/> Witness <input type="checkbox"/> Driver <input type="checkbox"/> Private Citizen
Address	Home Phone	Work Phone	Driver's License #
Owner of Vehicle/Property (include address and phone)		Company Insuring Vehicle (include address and phone)	
License Plate #/State	Vehicle make/year	Where Can Vehicle Be Seen	Witness
Describe Damage/Injury - Repair Estimate			
List Injured Parties			
Accident Description			
Legal			
Law Enforcement Contacted <input type="checkbox"/> Yes <input type="checkbox"/> No		Name of Law Enforcement/Agency	
Citation Issued <input type="checkbox"/> Yes <input type="checkbox"/> No		Type of Citation	
Citation Issued to: <input type="checkbox"/> State Employee <input type="checkbox"/> Private Citizen		Citation Issued By:	
Signature			
Employee Signature:			Date:
Authorized Agency Signature:			Date:
Make a copy for your record and send original to: Office of Risk Management 1439 East 81st St Pierre, SD 57501			
Note: This Report Does Not Constitute A Claim Against The State Of South Dakota, Nor Does It Constitute A Notice Of Injury Pursuant To SDC Lch. 3-21			
Attach Additional Sheets For More Information			
ORM Use Only			
Submitted to Claims <input type="checkbox"/> Yes <input type="checkbox"/> No		Exhibit C	
Date Submitted:		9-3 Revised 01/07	

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**.

Risk Mgmt Non-State Vehicle Accident Report Report of Accident, Incident, or Unsafe Condition (Non-State-Automobile)				
Bureau of Administration Phone (605) 773-5879		Office of Risk Management Fax (605) 773-5880		
Department/Bureau	Agency/Division	Date of Accident	Time of Accident	<input type="checkbox"/> AM <input type="checkbox"/> PM
Type <input type="checkbox"/> Accident <input type="checkbox"/> Incident <input type="checkbox"/> Unsafe Condition		Location of Accident, Incident, or Unsafe Condition		
Employee Completing Report				
Name		DOB		
Title	<input type="checkbox"/> Temporary <input type="checkbox"/> Permanent	Work Phone	Home Phone	
Person Involved in the Accident or Incident				
Name		DOB		
Address		Home Phone	Occupation	
Business Address			Business Phone	
What was the person involved doing at the time of the accident or incident?				
Injury				
What was the nature and extent of the injury?				
Was first-aid administered? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, by whom?				
Describe the type of first-aid treatment given.				
Was medical treatment administered? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, by whom?				
Name and address of medical facility			Did accident result in fatality? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Property Damage				
Owner (include address and phone)		Damage description (include estimated repair costs)		
Witnesses				
Name (include address and phone)		Name (include address and phone)		
Accident Description				
Legal				
Law Enforcement Contacted <input type="checkbox"/> Yes <input type="checkbox"/> No		Name of Law Enforcement agency		
Signature				
Employee Signature:		Date:		
Authorized Agency Signature:		Date:		
Make copy for your records and send original to: Office of Risk Management 1429 East Sioux Pierre, SD 57501 Note: This Report Does Not Constitute A Claim Against The State of South Dakota, Nor Does It Constitute A Notice of Injury Pursuant To SDCL ch 3-21				
Attach Additional Sheets For More Information				

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.

Page 1 of 2

Page 2 of 2

The image displays two side-by-side screenshots of a Microsoft Word 97 form titled "MAJOR INCIDENT REPORT".

Left Screenshot (Page 1 of 2):

- Header: South Dakota Department of Corrections, Attachment 5: Major Incident Report, Policy, Distribution: Public or Non-Public, Reporting Information to DOC Administration / Use of Force - JCC. Please refer to DOC policy 1-1.3.3 (1.5.H.3).
- Title: MAJOR INCIDENT REPORT
- TO: Secretary of Corrections, FROM: Mary Mason
- NAME OF OFFENDER: (Gray area)
- TYPE OF INCIDENT: (Gray area)
- DATE OF INCIDENT: (Gray area), TIME OF INCIDENT: (Gray area)
- LOCATION OF INCIDENT: (Gray area)
- NARRATIVE SUMMARY: (Provide how the incident occurred, how the incident was discovered and all details of the incident in chronological order.) (Large gray area)

Right Screenshot (Page 2 of 2):

- WHO WAS INVOLVED?: (Include the names of all staff involved in the incident.) (Gray area)
- HOW WAS ESTABLISHED POLICY AND PROCEDURES FOLLOWED?: (Gray area)
- RESPONSE: (Indicate whether and when law enforcement, media and others were contacted.)
 - Media Contacted: Yes No, Date/Time Contacted: (Gray area)
 - Law Enforcement Contacted: Yes No, Date/Time Contacted: (Gray area)
 - Others Contacted?: Yes No, Who? (Gray area), Date/Time Contacted: (Gray area)
 - Others Contacted?: Yes No, Who? (Gray area), Date/Time Contacted: (Gray area)
- CORRECTIVE ACTION: (Briefly state any corrective action or disciplinary action that has been taken or will be taken as a result of this incident.) (Gray area)