

**KANSAS DEPARTMENT OF CORRECTIONS**

	<b>INTERNAL MANAGEMENT POLICY AND PROCEDURE</b>	<b>SECTION NUMBER</b>  01-113	<b>PAGE NUMBER</b>  1 of 6
		<b>SUBJECT:</b>  <b>ADMINISTRATION: Incident Reports and Immediately Reportable Incidents</b>	
<b>Approved By:</b>    Secretary of Corrections		<b>Original Date Issued:</b>	<b>08-15-82</b>
		<b>Current Amendment Effective:</b>	<b>04-08-13</b>
		<b>Replaces Amendment Issued:</b>	<b>02-23-09</b>

**POLICY**

Written reports shall be required to ensure that the Secretary of Corrections and appropriate administrative staff have access to critical information regarding incidents and situations that may impact the operations of the Department of Corrections. Any incident that results in death or physical injury or threatens the safety of any employee, volunteer, visitor, member of the public, or inmate/parolee; threatens the security of any correctional facility; results in the loss or damage of inmate/parolee, employee, visitor, volunteer or state property; or any other unusual or out-of-the-ordinary incident of a significant nature shall be documented by an incident report. In addition, certain incidents shall be considered immediately reportable and shall result in the immediate notification of designated departmental staff by telephone or electronic mail. ( )

**DEFINITIONS**

Duty Officer: A staff member designated by the Secretary of Corrections or principal administrator to receive and relay reports regarding emergency situations during evening hours, on weekends, and holidays.

Employee: Any person employed full-time, part-time, or on a temporary appointment to the Kansas Department of Corrections, including any person employed by an entity under contract to provide services to the Kansas Department of Corrections.

Principal administrator: Person directly responsible for the overall administration of a KDOC facility, parole region, or Central Office work unit.

Significant injury: One which requires emergency care and treatment, including, but not limited to broken bones, loss of consciousness, drug overdose, suicide attempt, or any other injury requiring medical treatment above and beyond first aid.

Special Agent Supervisor Field Operations: A specially trained staff member designated by the EAI Director authorized to supervise and perform all functions of Special Agents Field Operations

Volunteer: Any person who works at a facility or for the KDOC on a voluntary basis (including interns) who has completed the minimum required volunteer training program.

**PROCEDURES**

**I. Initiation and Processing of Incident Reports**

- A. Any employee who observes, is involved in, or has reported to him/her any incident, shall document the situation by completion of an Incident Report (Attachment A, Form #01-113-001). ( )

1. If more than one employee is involved in an incident, the initial observer shall complete the incident report. All other staff members who observed the incident shall prepare a written narrative report concerning the incident. These narratives shall be attached to the incident report.
  2. If the incident being reported involves the use of force, completion of a Use of Force Report in accordance with IMPP 12-111 shall satisfy the requirement to complete an Incident Report. ( )
  3. When completing the Incident Report Form (Attachment A), the author shall provide self-identification information, in the form of a State of Kansas or Kansas Department of Corrections identification number.
    - a. The same requirement applies to all individuals who complete narrative reports to be attached to an Incident Report Form.
    - b. In addition, an inmate subject of such a report shall be identified by inmate register number, while visitors and business invitees who are the subject of a report shall be identified by race, sex, and date of birth.
    - c. If such information is not readily available, then a reasonable attempt should be made to promptly ascertain and provide such information in a supplemental report.
- B. Incident reports shall be completed prior to the end of the reporting employee's shift.
- C. Completed incident reports shall be immediately forwarded, as appropriate, to the facility shift supervisor, the appropriate Special Agent Supervisor Field Operations, and/or the appropriate Parole Director who shall review the report and make a determination as to any further action.
1. All incidents that result in significant injury to or death of an employee, a volunteer, a visitor, a member of the public or an inmate/parolee shall be immediately reported to the principal administrator or designee. ( )
    - a. Completed incident reports detailing such injury or death shall be forwarded, prior to the end of the shift in which the incident occurred, to the principal administrator or designee to review and to initiate any corrective actions required. ( )
    - b. Incident reports regarding parolee injury or death shall be required only if the incident is the result of KDOC staff actions.

## **II. Numbering, Logging, Filing, and Routing of Incident Reports**

- A. Each correctional facility and each regional parole office shall number all incident reports consistent with the instructions outlined in Attachment B.
- B. Each correctional facility and each regional parole office shall maintain the following:
  1. An ongoing log of each incident report.
  2. A chronological file which contains a copy of all incident reports, and any attachments thereto.
- C. When an incident report identifies one or more specific inmates/parolees as a participant in an incident, or as a material witness to an incident, a copy of the report shall be placed in each offender's master file or parole file, as per the provisions of IMPP 05-104.

### **III. Immediately Reportable Incidents**

- A. The following situations shall be considered to be immediately reportable incidents:
1. Major fires;
  2. Natural disasters;
  3. Escapes;
  4. Apprehensions following an escape;
  5. Any physical battery involving an inmate/parolee and staff which result in either hospitalization or emergency room treatment of the staff member(s) involved;
  6. Inmate on inmate batterings, or parolee batterings occurring upon the premises of a correctional facility or parole office, which result in the hospital admission of either party;
  7. Threats of bodily harm or batterings involving any visitor, volunteer, or other non-offender which occur on facility grounds, or on the premises of any parole office;
  8. Significant injury or the death of an on-duty staff member or inmate (Inmate deaths shall be reported pursuant to procedures identified in IMPP 01-114-*Deceased inmates: Notifications and Required Procedures*);
  9. Significant injury or the death of any visitor, volunteer, or other non-offender which occurs on facility grounds or on the premises of any parole office;
  10. Physical batterings involving non-offenders and on duty KDOC staff;
  11. Inmate or on duty employee drug overdose requiring emergency care and treatment or medical treatment above and beyond first aid;
  12. Hostage situations or attempts to take hostages;
  13. Any intentional or accidental discharge of a firearm, whether resulting in injury or not; and,
  14. Any other situation that has a high likelihood of drawing media attention.
- B. Immediately reportable incidents shall be brought to the attention of the principal administrator or facility duty officer without delay, any time of the day or night.

### **IV. Notification and Reports to Central Office**

- A. The warden, or warden's designee shall inform the KDOC central office by telephone of any immediately reportable incident at the earliest possible time the emergency allows. This notification shall be made as follows:
1. During business hours (8:00 am to 5:00 pm), the appropriate Deputy Secretary or designee, the KDOC Public Information Officer, and the KDOC Director of Enforcement, Apprehensions and Investigations shall be contacted by telephone.
    - a. During non-business hours, the Central office Duty Officer, as set forth in procedural section "V.", shall be contacted.

2. Incident Reports (a Use of Force Report may be submitted in lieu of an Incident Report when applicable) of immediately reportable events shall be forwarded to the attention of the Director of Enforcement, Apprehensions and Investigations via FAX or Electronic-Mail no later than the next business day.
  3. If the incident is an escape from a correctional facility, the escapee's most current visiting and phone list shall be attached to the incident report.
- B. Original incident report forms that do not refer to an immediately reportable incident shall be forwarded to the facility records area for imaging under TAB L-3 (DocTypeINCRPT) for each participant inmate/material witness. For parole offices, original incident report forms that do not refer to an immediately reportable incident shall be forwarded to the Central Office records area for imaging under TAB L-3 (DocTypeINCRPT) for each participant parolee/material witness.
1. Any photographic evidence referenced or included in the Incident Report shall be imaged as part of the file. Color photos shall be imaged in color to retain the integrity of the evidence.
  2. The original copy of the Incident Report shall then be maintained per the Kansas Records Retention Schedule (Series ID# 0487-521).
- C. Within twenty-four (24) hours of the incident or the first business day following a weekend or holiday, all original incident report forms referring to an immediately reportable incident shall be forwarded to the KDOC Director of Enforcement, Apprehensions and Investigations,
- D. The Director of Enforcement, Apprehensions and Investigations shall forward a copy of incident reports resulting from an immediately reportable incident to the appropriate Deputy Secretary.
1. Facility initiated reports shall be forwarded to the Deputy Secretary of Facility Management.
  2. Parole initiated reports shall be forwarded to the Deputy Secretary of Community and Field Services.
  3. Special Agent initiated reports shall be forwarded to the EAI Director.

#### **V. Central Office Duty Officers**

- A. During non-business hours, the central office duty officer shall be contacted. Attempts to contact the duty officer shall begin with the home phone, followed by cell phone, and then pager (if available). All attempts to contact the duty officer shall be logged, including the time of the attempted contact. If contact is not established within thirty [30] minutes of the initial attempt, calls shall be initiated to the others designated to serve as the duty officer. The calls shall continue until one of the five individuals listed below is reached. In the event of an ongoing emergency situation, the following calls shall be initiated without waiting the thirty [30] minutes..
1. In order to ensure that executive personnel are available to receive reports regarding emergency situations during evening hours, weekends, and holidays, a Duty Roster shall be established. The following personnel shall be designated to serve as KDOC duty officers:
    - a. Secretary of Corrections;
    - b. Deputy Secretary, Division of Facility Management;
    - c. Deputy Secretary, Division of Programs and Staff Development;

- d. Deputy Secretary, Division of Community and Field Services; and,
  - e. Corrections Manager – Security & Safety.
2. The duty officers shall rotate weekly in accordance with a schedule to be issued from the Office of the Secretary.
- a. Once distributed, no changes shall be made in the Duty Roster unless a revised schedule is issued.
  - b. The duty officer roster, and any authorized changes, shall be forwarded to the Warden, Deputy Warden for Operations, Enforcement, Apprehensions, and Investigations office and facility control center.
- B. If the nature of the incident justifies notification of additional executive/management staff, the central office duty officer shall be responsible for such notification, except as follows:
- 1. Contact with the Director of Enforcement, Apprehensions and Investigations shall be initiated by facility Enforcement, Apprehensions, and Investigations staff.
  - 2. In the event of an escape, the facility shall contact the Victim Services Director as soon as possible. If required, the Victim Services Director shall initiate victim notification pursuant to procedures established in IMPP 21-101-*Victim Notification*.
- C. As soon as circumstances permit, an incident report shall be prepared by the facility staff in accordance with procedural sections I. and IV. of this policy.
- VI. No facility general orders or field service orders shall be developed which expand upon, replicate or diminish this policy. If determined necessary by the principal administrator, facility general orders or field service orders shall only specify procedures for internal processing of reports.**

**NOTE:** The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

**REPORTS REQUIRED**

**Name/Type of Report**

**By Whom/To Whom**

**Due**

Incident Report

Initial employee who observed,  
was involved in, or received  
report

Within 24-hours  
of incident.

Use of Force

All personnel involved in  
the Use of Force incident  
(Use of Force  
Report may be submitted in  
lieu of Incident Report).

Within 24-hours  
of incident.

**REFERENCES**

IMPP 12-111  
ACO 2-CO-1C-05  
ACI 3-4176, 3-4198  
APPFS 3-3176

**ATTACHMENTS**

Attachment A - Incident Report, 1 page  
Attachment B - Incident Report Numbering Instructions, 2 pages

**Kansas Department Of Corrections  
INCIDENT REPORT**

DATE: \_\_\_\_\_

FACILITY OR PAROLE REGION: \_\_\_\_\_

UNIT (If Applicable) \_\_\_\_\_

Time Report Submitted: \_\_\_\_\_ REPORT #: IR \_ \_ \_ \_ \_

WHAT HAPPENED: (Briefly describe the incident.)

WHEN: Time \_\_\_\_\_ AM/PM Date: \_\_\_\_\_

WHERE: \_\_\_\_\_

WHO WAS INVOLVED: (Provide name(s) of Victim(s), Perpetrator(s), Witness(es) and specify V, P, or W. Also indicate whether the individual(s) named are Employees, Volunteers, Private Citizens, Parolees, or Inmates by specifying E, V, C, P, or I. BE SURE TO USE FULL NAMES FOR ALL ENTRIES.) The R/O, including any narrative report writer, must include their State-issued ID number. A reasonable attempt should be made to include race, sex, and date of birth for subjects who do not have some form of state-issued ID number.

FULL NAME	INMATE/ STATE ID NUMBER	V,P,W,	E-I	FULL NAME	INMATE/ STATE ID NUMBER	V,P,W,	E-I

HOW DID IT HAPPEN: (Method of Operation-M.O.)

WHY DID IT HAPPEN: (State Motive or cause)

Description Of Weapon Or Evidence Found: \_\_\_\_\_

Was Search Of Area Made?  Yes  No by Whom: \_\_\_\_\_

Were Still Photographs Taken?  Yes  No by Whom: \_\_\_\_\_

Was a Videotape Made?  Yes  No by Whom: \_\_\_\_\_

Evidence and/or Photographs/Videotape Turned Over To: \_\_\_\_\_

Was A Follow-Up Investigation Initiated?  Yes  No

COMMENTS: (Attach additional pages as necessary.)

RELATED REPORTS COMPLETED: (Check all that apply and attach a copy.)

Disciplinary  Yes  No Use of Force  Yes  No Wanted For Escape  Yes  No

Admin. Seg./Protective Custody  Yes  No Other Admin. Seg.  Yes  No

Placement in County Jail  Yes  No Other Narratives  Yes  No

NAME OF OFFICER FILING REPORT:

Signature : \_\_\_\_\_

State ID Number: \_\_\_\_\_

Printed Full Name: \_\_\_\_\_

Date: \_\_\_\_\_

NAME OF REVIEWING SUPERVISOR:

Signature of Supervisor: \_\_\_\_\_

State ID Number: \_\_\_\_\_

Printed Full Name: \_\_\_\_\_

Date: \_\_\_\_\_

### INCIDENT REPORT NUMBERING INSTRUCTIONS

- This is the numbering code for all incident reports.
- It is a three part code used to identify all incident reports by facility or parole region, fiscal year, and sequential event within fiscal year.
- Graphically, this item looks like this:

IR                                  
      Part I       Part II       Part III

- **PART I**
  - Comprised of 2 positions
  - Alphanumeric Code (Letters and/or numbers used depending upon whether facility or parole region initiated as specified below)
  - Designates facility or parole region of origin
  - Valid entries are:

Facilities:

El Dorado Correctional Facility - Central .....	07
El Dorado Correctional Facility - RDU.....	09
El Dorado Correctional Facility - Southeast .....	68
Ellsworth Correctional Facility .....	65
Hutchinson Correctional Facility -Central .....	02
Hutchinson Correctional Facility - East .....	66
Hutchinson Corr. Fac. - Work Release.....	22
Lansing Correctional Facility - Central .....	01
Lansing Correctional Facility - East.....	05
Larned Correctional Mental Health Facility .....	08
Larned State Hospital .....	96
Norton Correctional Facility - Central .....	60
Norton Correctional Facility -East.....	67
Topeka Correctional Facility - Central .....	03
Topeka Correctional Facility - RDU.....	04
Wichita Work Release Facility .....	21
Winfield Correctional Facility .....	61
KDOC - Central Office .....	40

Parole Regions:

Southern Region.....BB  
Northern Region ..... EE

• **PART II**

- Comprised of 2 positions
- Numeric Code (Numbers only)
- Designates the fiscal year within which the incident report originated.
- Examples for specific dates are:

For a report written on 07-01-2001..... 02  
 For a report written on 12-31-2001..... 02  
 For a report written on 01-01-2002..... 02  
 For a report written on 06-30-2002..... 02  
 For a report written on 07-01-2002..... 03

• **PART III**

- Comprised of 4 positions
- Numeric Code (Numbers only)
- Designates the sequential order within which incident reports originate within a given fiscal year.
  - Examples are:

For the 13th report written during FY 2001 ..... 0013  
 For the 236th report written during FY 2001 ..... 0236  
 For the 8345th report written during FY 2001 ..... 8345