

<p style="text-align: center;">STATE OF VERMONT AGENCY OF HUMAN SERVICES DEPARTMENT OF CORRECTIONS</p>	<p style="text-align: center;">Associated Policy #405</p>	<p style="text-align: center;">Page 1 of 4</p>
<p style="text-align: center;">Field Incident and Violation Reporting Standard Operating Procedure</p>		
<p>Security Level: "B" – Anyone may have access to this document.</p>		
<p>Effective Date: 12/18/2023</p>	<p>Supersedes: <i>Incident Reporting Guidance Document</i>, dated 07/01/2017</p>	

GENERAL PROCEDURES

This document establishes procedures, including documentation and notification requirements, for the Vermont Department of Corrections’ (DOC) policy on field incident and violation reporting.

A. Reporting of Incidents

1. The DOC’s approach to incident reporting is broad, to ensure that we have an accurate and thorough perspective of a supervised individual’s history while under supervision.
2. The DOC uses incident reporting to document incidents pertaining to staff, contractors, visitors, volunteers, and other persons as necessary. This documentation assists the DOC in identifying training, work site, and other operational needs.
3. Field staff shall document all incidents that meet any of the following criteria in the Offender Management System (OMS):
 - a. Affect the health, operation, safety, or security of:
 - i. Any person, including staff, visitors, contractors, and individuals under the custody or supervision of the DOC; or
 - ii. A correctional facility, office, or field site;
 - b. Staff behavior that violates policies and procedures of the DOC;
 - c. Disrupt the orderly operation of a correctional facility, office, or field site;
 - d. Involve medical issues, including suspected drug overdoses;
 - e. The death of a supervised individual;

- f. Violate, or is suspected to violate, state or federal law, including facilitating contraband, sexual harassment, and sexual abuse; or
 - g. Result in any occurrence, condition, or event which causes a disturbance in the day-to-day operations.
4. Staff shall document events that impact the physical structure in a way that affects operations or the safety and security of the Probation and Parole field site or office as an incident in OMS.
- a. This documentation assists the DOC in identifying potential needs for resources allocation.
 - b. Depending on the incident, additional reporting requirements may exist for the Department of Building and General Services (BGS) or worker's compensation.
 - c. Examples of these types of events include:
 - i. Utility malfunction and/or failure;
 - ii. Life safety equipment malfunction, failure, loss, etc.;
 - iii. A breach or threat to the safety and security of the site; and
 - iv. Planned events used to test security procedures, such as fire drills, lockdowns, etc.
5. For the purposes of this document, "immediate" notification shall mean as soon as practicable within the first hour.

B. Reporting of Violations

1. Field staff shall use the Violations section of OMS to document all instances in which a violation of community supervision has occurred, in accordance with the OMS technical guide. This includes the:
 - a. Initial behavior causing the violation; and
 - b. DOC response to the behavior.
2. In addition to entering the violation in OMS, Field staff shall enter an incident when a supervised individual is returned to incarceration on a notice of suspension (NOS).

C. Documentation Requirements

1. Field staff shall document incidents and violation reports in OMS prior to the end of their scheduled shift, in accordance with the OMS technical guide.

- a. Whenever multiple staff members are documenting the same incident, they shall enter all the reports under the same incident or violation number in OMS.
 - b. Each field staff member involved in the incident shall include a complete affidavit, which outlines the specifics of the incidents in a clear, concise, legible, and accurate manner. This affidavit shall summarize the incident including persons involved, time, place, and outcomes.
 - c. Field staff shall upload additional information, including supporting documentation, photos, video, and audio files, into the attachments section of the incident, in accordance with the OMS technical guide.
 - d. Field staff shall update incidents upon receipt of additional information.
2. Upon completion of an incident or violation report, the reporting staff member shall notify their direct supervisor.
 3. The supervisor shall review incident or violation reports for accuracy, completeness, and clarity, and instruct the reporting staff members to revise and resubmit any report found in need of additional information or clarification.

D. Field Site Notification Requirements

1. For each of the following events, staff shall notify the District Manager (DM), or designee, within one hour. Upon that notification, the DM, or designee, shall make the following notifications, within the timelines outlined below:
 - a. Immediately notify the Director of Field Services, or designee, in situations relating to:
 - i. Any murder or attempted murder or other serious violent offense committed by, or in which the victim/survivor was, a supervised individual;
 - ii. Any hostage situation;
 - iii. Any incident that may have immediate media coverage;
 - iv. The death of a staff member while on duty;
 - v. The serious injury requiring immediate medical attention of a staff member while on duty;
 - vi. Criminal allegations involving a staff member;
 - vii. A threat to a staff members life or safety;

- viii. Anytime a supervised individual escapes from a staff member's physical custody;
 - ix. Any critical event that has a major impact on operations (e.g., power outage, fire, bomb threat); or
 - x. A staff member's use, misuse, or unintentional discharge of a firearm;
- b. For situations related to suspected or alleged employee misconduct:
- i. Immediately notify the Vermont Department of Human Resources (DHR);
 - ii. For suspected or alleged serious employee misconduct that may require relief from duty, immediately notify:
 - a) The Director of Field Services;
 - b) Chief of Operations, or designee; and
 - c) Local law enforcement, when appropriate; and
 - iii. For all other suspected or alleged serious employee misconduct, notify the Director of Field Services within 24 hours.
- c. Within 24 hours in situations relating to:
- i. Any injury of a supervised individual which requires medical care;
 - ii. Anytime a supervised individual is charged with a listed offense;
 - iii. Any event that may lead to media coverage;
 - iv. Any death of a supervised individual, in accordance with the policy on death response and review. Immediately thereafter, they shall also notify the Director of Victim Services and Peer Support Team Lead;
 - v. Any incident in which there was a non-compliant use-of-force;
 - vi. Any non-criminal allegations against a staff member, including willful misconduct and misuse/abuse of State property; or
 - vii. Any non-serious injury of a staff member (i.e., not requiring immediate medical care).