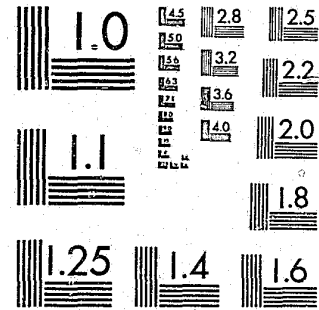


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National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

10/9/84

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# Security Manual for Juvenile Corrections

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June 20, 1984

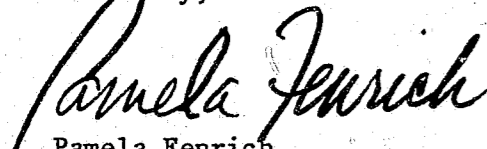
Ref: III OJJDP ADL-444

Dear Colleague:

Enclosed herewith is the report of Technical Assistance titled Security Manual for Juvenile Corrections, prepared under our technical assistance contract with the Office of Juvenile Justice and Delinquency Prevention (OJJDP), Technical Assistance and Formula Grants Division. This report is the result of a request made to OJJDP to provide juvenile correctional administrators with information on security and control policies.

Should you have any questions, please do not hesitate to contact me.

Sincerely,



Pamela Fenrich  
Project Director

Enclosure

Brussels Paris Tokyo  
Houston Rio de Janeiro Toronto  
London San Francisco Washington  
Madrid São Paulo Wiesbaden

U.S. Department of Justice  
National Institute of Justice

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SECURITY MANUAL FOR JUVENILE CORRECTIONS

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June 20, 1984

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 Arthur D. Little, Inc.

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## INTRODUCTION/BACKGROUND

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) sponsored a Forum on juvenile corrections in Washington, D.C. on October 4 and 5, 1983. The need for this Forum was demonstrated by a groundswell of requests for technical assistance from correctional departments around the country. Arthur D. Little, Inc. (ADL) under its current technical assistance contract with OJJDP, conducted the Forum which was comprised of 18 correctional administrators from around the country.

The purpose of the Forum was to identify and define problem areas of priority concern to juvenile correctional personnel in the operation of secure juvenile correctional services. This purpose was achieved due to the high quality of participants and their commitment to defining problems. Participants also helped clarify possible technical assistance responses to the problems identified.

This document emanates from a priority need articulated at the Forum to:

- Develop a self-assessment guide for correctional administrators to use in assessing the adequacy of security control systems; and
- Develop a model set of policies and procedures related to security control in secure juvenile correctional facilities.

To respond to these needs, Arthur D. Little conducted the following activities:

- 1) A request letter and checklist were developed and mailed to all juvenile and adult state correctional administrators throughout the United States for copies of policies and procedures, regulations, and/or directives related to the issue of security, control and unusual incidents. The response to the request was overwhelming. Over 30 states responded with complete sets of policies and procedures in the areas identified in the request.
- 2) ADL staff and consultants reviewed the policies and procedures. All of the policies and procedures gathered in response to the request will be housed with Arthur D. Little for future use as reference material by administrators and practitioners.
- 3) Staff and consultants of ADL prepared this document.

The following sections provide the collected information on security and control procedures for juvenile corrections, a need which has been articulated by agencies nationwide.

## OVERVIEW

For too many years the management and operation of correctional facilities has been characterized by an absence of stated and measurable management standards. With demand for change and evidence of its desirability in all areas of corrections, it seems indeed appropriate that the focus be directed at basic fundamental issues and concerns. To illustrate a point, to determine the success or failure of a private enterprise judgment is based upon the ability to make a profit or to avoid sustained loss. In corrections, however, the objective or desired results are seldom stated or recognizable. The abject consideration of the corrections industry as a business appears to be at odds with the human service experts of the profession. Yet, how can success be attained if it can never be measured? How can something be measured that can not be shaped into a reasonable, clear written objective or standard? In the last one hundred years or so in corrections, perhaps only one major advancement can be found. The efforts of the profession to articulate a set of national standards began to set forth the means whereby the mystique, inconsistency and failure of corrections can be replaced with a rational clear sense of focus on its intended purpose.

The development of standards is but one of several steps along the management process, but perhaps not nearly the most important. Achieving compliance with standards is a worthy goal. Maintaining compliance with standards is even more desirable and yet, more difficult. Standard setting requires a comprehensive review and collection of existing formal and informal policies and practices. Where policies do not exist but are needed, they must be written and old policies reviewed to accurately reflect the organization's administrative and legal mandate. In order to maintain standards, it is not enough to develop policies. Each must be implemented and followed.

All correctional agencies are faced with a tremendous demand for accountability. The development of model policies is the cornerstone of any response to such demands. Without a policy standard against which performance can be measured, accountability becomes a matter of one person's word against that of another. Today, the demand is for proof of performance.

Comprehensive policies establish a means to administratively control a system, function, operation, or activity. Good policies facilitate good administrative control. Elements of a good administrative control system include:

- **Comprehensiveness** - Considers all requirements or contingencies
- **Balance** - Establishes clear appropriate accountability
- **Effectiveness** - Achieves desired results
- **Efficiency** - Requires minimum effort and cost to achieve desired results

- **Creativity** - Considers better ways
- **Evaluation** - Systematically compares performance to expectations

Perhaps the most important part of the management process includes those components that allow a systematic determination as to whether or not the objectives have been attained and are being sustained within the organization.

Along with increased resources and attention to the many issues facing corrections has come a greater demand for full accountability by those who have accepted the responsibility for administering the operations of institutions and programs. Regretfully, even today the notion of auditing governmental activities is usually only viewed in the most traditional and limited scope of the accounting for public funds. This activity, although necessary and important, will do little if anything to address the pressing issues of the efficiency, effectiveness and economy of operations. To depend on the traditional concept of an auditor to detect a problem and propose a solution is to wish for the future more of what has been experienced in the past.

A good administrative control system generates information critical to the operation. With information, administrators may predict events, diagnose problems and assess corrective action. The purpose of an internal audit is to assess the administrative control over a particular system, function, operation or activity. To assess control, the audit must answer the following:

- Does the way things are to be done (procedure) comply with agency expectations (policy) or a higher authority having jurisdiction (law)?
- Does the procedure clearly specify who is responsible (accountable)?
- Does the procedure clearly specify ways to prevent problems related to subject policy?
- Does the procedure specify ways to resolve problems once they are identified?
- Does staff performance comply with facility procedure?
- Is the significance of weaknesses in the control system assessed?
- Are causes of weaknesses identified?
- Is work being done that is duplicative or serves little or no purpose?

To meet the demands and requirements of future growth, efforts must be made to go beyond sustaining the progress that accompanied the development of national standards. At every level within the organization, the process or concept of monitoring policy implementation and operational effectiveness must be viewed as a necessary and indispensable management tool, if not the management framework in its own right. Systematic operation assessment by monitoring policy implementation and its effectiveness is a viable method to formulate opinions and judgements about the agency's effectiveness when contrasted with its stated purpose.

The remaining sections and information contained in this document provide specific examples and guides for correctional administrators for use and review in the process of assessing, identifying, and developing policies and procedures.

#### POLICY CHECKLIST

To enable administrators to review their current policies and procedures and insure that all areas in security and control are being addressed, the checklist found on Figure 1 the following pages is presented to insure the policies and procedures exist for each of the identified areas.

The checklist is meant to be all inclusive. One may differ as to whether certain aspects should be under different categories, but security control efforts should include the identified areas.

FIGURE 1  
POLICY CHECKLIST

Yes	No	
		<u>ADMINISTRATION</u>
___	___	Table of organization
___	___	Policy development, implementation and evaluation
___	___	Communications - Inmate to staff, staff to department heads, and department heads to warden
___	___	Relationships with public, media and other agencies
___	___	Information management - Administration, fiscal, personnel, programs, operations
___	___	Reporting unusual incidents
		<u>PERSONNEL</u>
___	___	Minimum personnel qualifications
___	___	Employee background investigations
___	___	Employee training - security - preservice, inservice, special non-security - preservice, inservice, special
___	___	Employee identification
___	___	Employee job/post descriptions
___	___	Employee performance evaluation
___	___	Consent to search
___	___	Staffing need and/or staffing ratios
___	___	Employee firearms and/or other weapons
___	___	Employee searches for control of contraband
___	___	Employees under the influence of alcohol or drugs
		<u>PROGRAM</u>
___	___	Resident admission
___	___	Resident orientation
___	___	Resident classification

POLICY CHECKLIST (Continued)

Yes	No	PROGRAM (Continued)
___	___	Special management problems
___	___	- Medical
___	___	- Behavior
___	___	- Protective custody
___	___	Health care services
___	___	Mental health services
___	___	Response to medical emergencies
___	___	- Individual inmate/staff
___	___	- Group inmate/staff
___	___	- Hunger strike
___	___	Resident discipline
___	___	Resident confinement and segregation
___	___	Distribution of medications
___	___	Disciplinary measurements and techniques
___	___	- Confinement
___	___	- Isolation
___	___	- Use of corporal punishment
___	___	Relationship of program management to security management
___	___	Visitors
___	___	- Visitor approval
___	___	- Visitor searches
___	___	- Control of visitor contraband

POLICY CHECKLIST (Continued)

<u>Yes</u>	<u>No</u>	<u>OPERATIONS/SECURITY</u>
___	___	Physical plant and equipment
___	___	- Central control centers
___	___	- Perimeter control
___	___	- Control of vehicles
___	___	- Key control
___	___	- Control and use of tools
___	___	- Control and use of culinary equipment
___	___	- Control and use of medical equipment
___	___	- Control of poisons, combustibles, explosives, and inflammables
___	___	- Fire-fighting equipment
___	___	- Inspection of physical plant areas
___	___	- Inspection and maintenance of security devices
___	___	- Control and disposal of contraband
___	___	Institutional food services
___	___	Institutional safety and sanitation program
___	___	Preventive maintenance program
___	___	Emergency evacuation plan
___	___	Inspections by administrative personnel
___	___	Security manuals
___	___	Emergency post descriptions
___	___	Control of resident movement
___	___	Physical count procedure
___	___	Permanent log books

POLICY CHECKLIST (Continued)

<u>Yes</u>	<u>No</u>	<u>OPERATIONS/SECURITY (Continued)</u>
___	___	Roster management - deployment of security personnel
___	___	Use and control of drugs and medications
___	___	Temporary and permanent restriction of visitors
___	___	Use and control of weapons
___	___	Use and control of chemical agents
___	___	Employee searches
___	___	Prohibition of corporal punishment
___	___	Inspection of resident mail
___	___	Waste disposal procedure
___	___	Pest control procedure
___	___	Inmate clothing, bedding and linen
___	___	Hygiene facilities for residents
___	___	Use of force
___	___	Use of security restraints
___	___	Use of therapeutic restraints
___	___	Juvenile classification
___	___	Control of personal property of residents
___	___	Strip searches of residents
___	___	Frisk searches of residents
___	___	Searches of rooms, cells or living areas
___	___	Juvenile activities outside the perimeter
___	___	Transportation of juveniles from one jurisdiction to another



POLICY CHECKLIST (Continued)

<u>Yes</u>	<u>No</u>	<u>SPECIAL INCIDENTS/EMERGENCIES</u>
___	___	Distrubance
___	___	Escape
___	___	Hostage
___	___	Work stoppage
___	___	Medical emergency
___	___	Death
___	___	Fire
___	___	Natural Disaster
___	___	Community Emergencies
___	___	Hunger strike
___	___	Response to special incidents or emergencies
___	___	- Prevention of runaways or other incidences
___	___	- Use of physical force
___	___	- Use of restraints
___	___	- Records of use of restraint equipment
___	___	- Use of chemical agents
___	___	- Use of firearms
___	___	- Use of tranquilizing medication
___	___	- Record-keeping for special incidents
___	___	- Medical examination of staff or juveniles injured
___	___	- Use of outside authorities during emergencies (i.e., state police, county police, etc.)
___	___	- Record-keeping for emergencies

POLICIES AND PROCEDURES AUDIT

Once policies and procedures are written for the areas identified in the checklist, it is important that each policy and procedure be reviewed and audited according to criteria. The following audit form allows administrators to review each policy and procedure.

FIGURE 2  
POLICY AND PROCEDURE  
AUDIT

POLICY AREA: \_\_\_\_\_

POLICY/PROCEDURE TITLE: \_\_\_\_\_

EFFECTIVE DATE: \_\_\_\_\_ DATE OF REVIEW: \_\_\_\_\_

I. POLICIES:

A. Comprehensive - Are all requirements or contingencies considered?

Yes \_\_\_ No \_\_\_ If no, list areas to be addressed \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

B. Balance - Is appropriate and clear accountability established?

Yes \_\_\_ No \_\_\_

C. Creativity - Have innovative ideas been explored and incorporated?

Yes \_\_\_ No \_\_\_

D. Efficiency - Does it require minimum effort and cost to achieve desired results? Yes \_\_\_ No \_\_\_

E. Evaluation - Are there ways to systematically compare performance to expectations? Yes \_\_\_ No \_\_\_

F. Effectiveness - Does (or will) it achieve desired results?

Yes \_\_\_ No \_\_\_

Any areas receiving a "No" answer will require a reformulation of the policy.

POLICY AND PROCEDURE

AUDIT (Continued)

II. PROCEDURES:

A. Does the procedure comply with applicable agency policy and state/federal law? Yes \_\_\_ No \_\_\_

B. Does the procedure clearly specify who is responsible? Yes \_\_\_ No \_\_\_

C. Does the procedure clearly delineate ways to prevent problems related to subject policy? Yes \_\_\_ No \_\_\_

D. Does the procedure specify ways to resolve problems once they are identified? Yes \_\_\_ No \_\_\_

E. Does the procedure promote efficiency and economy? Yes \_\_\_ No \_\_\_

Any areas receiving a "No" answer will require a reformulation of the procedure. If the procedure is operational:

Does staff performance comply with facility procedure?

Yes \_\_\_ No \_\_\_ If no, reformulate procedure after determining:

a) the weaknesses in the control system \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b) the causes of the weaknesses \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SAMPLE POLICIES

And finally, the following information and sample policies/procedures currently in effect in a variety of locations throughout the United States are provided for your information. They are not meant to be the only or necessarily the best, but are the ones that meet the criteria for a good policy and procedure in the respective areas. Space does not allow examples for each area on the Policy Checklist. Rather, these are provided as examples in the specific areas for use and formulation. Arthur D. Little, Inc. has in their resource library, extensive policies and procedures on all areas from over 30 states.

SAMPLE POLICIES

1. ADMINISTRATION

New York State - Division For Youth  
POLICY MANUAL

Title: Policy Development and Issuance	Date: 4/13/83	Page: 1 of 4	Item Number: 0009
Enabling Law(s): NYS Executive Law, Art. 19-G, Sec. 500.2			
Supporting Regulation(s):	Contact Unit: Office of Quality Assurance		
Compliance Standard(s): ACA Standards 2-9004	Supersedes: DFY 1751; 003, 009		
DFY Policy(ies) Affected: All	Approved By: _____ Director		
Key Words: (1) Policy (2)			
(3)	(4)	(5)	(6)

## SUMMARY: (No more than 25 words)

To coordinate policy development and issuance, this item outlines the process by which policy statements are originated, initially approved, reviewed for impact and recommended to the Director for final action.

## OUTLINE

- Initiation. Any staff person may initiate a proposed policy.
- Deputy approval. Proposed items are approved at the Deputy level before continuing the development process.
- Impact and clearance. A lead staff person will be responsible for securing impact and clearance statements with respect to legal, budgetary, personnel and standards considerations.
- Inter-program review. An inter-Deputy staff group, known as the Policy Development Group, will review the inter-program effects of proposed items and make recommendations for revision or approval.
- Deputy review. The Deputy Directors will be regularly convened by the Executive Deputy Director to review proposed policies and the recommendations of the PDG. After review, the Deputies will issue their final recommendations to the Director for his action.
- Director's approval. Upon approval by the Director, policy items will become incorporated into the body of DFY policies and, as such, will be binding on all staff affected thereby.

## 0009.1 INTRODUCTION

In an agency the size and complexity of the Division for Youth, it is essential that policies and procedures be coordinated to insure that the mandates of the Agency are carried out efficiently. To that end, DFY maintains a system of clearance and review in the development of new or revised policies and their procedures. This review is intended to examine proposed policies and procedures from a variety of points of view, especially from the perspectives of the different programs and support offices. The intention of this policy development system is to promote efficient Agency operations, maximize the use of staff and resources, and insure the execution of mandated and desired objectives and goals.

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

Title:	Date:	Page:	Item No.:
Policy Development and Issuance	4/13/83	2 of 4	0009

0009.2 POLICY INITIATION

Policy items to be developed or revised may initiate from any DFY staff person or unit. Proposals for policy development or revision will be routed through and approved by the chain of command leading up to the Deputy Director under whose authority the initiating staff person or unit is responsible.

Special support units under the Executive Office will route developing policy proposals up through the office head/bureau chief.

Authority to deny further development of a policy proposal is reserved for the Deputy Director or, in the case of executive support units, to the office head/bureau chief. There shall be no unreasonable delays of transmission of proposed policy statements up to the Deputy Director or office head level. Unless otherwise defined by the Deputy Director level or higher, an unreasonable delay is defined as more than 10 working days at any one level of submission in the normal chain of command.

0009.3 LEAD STAFF

When the Deputy Director or executive office head decides to continue the development of a proposed policy item, the Deputy Director or office head will appoint a lead staff person who shall be responsible for coordinating subsequent development and clearance of the proposed policy item.

0009.4 CLEARANCE AND IMPACT STATEMENTS

After approval by the Deputy Director or office head, the lead staff person will present the draft item for review with respect to legal issues, fiscal impact, personnel considerations, and national standards of child care and juvenile corrections. The lead person will distribute copies to:

- DFY Legal Services
- DFY Budget Unit
- DFY Human Resources Management Unit
- DFY Quality Assurance Office

In normal practice, these units will prepare clearance and/or impact statements within two working weeks, unless instructed otherwise from the Office of the Director.

0009.5 POLICY DEVELOPMENT GROUP

After clearance for matters relating to the law, finances, personnel practices and national standards, draft policies will be reviewed by a staff group which represents the interests and viewpoints of each of the major program offices of the Agency. This group, to be known as the Policy Development Group, will be regularly convened through the leadership of the Office of Quality Assurance. The Group will review draft policies from the perspectives of the various program and support service offices. These reviews will be conducted in an atmosphere of open and constructive discussion. The lead staff person responsible for development of the policy item will participate in these discussions.

Form DFY-1202 (Rev. 4/83)

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

Title:	Date:	Page:	Item No.:
Policy Development and Issuance	4/13/83	3 of 4	0009

The Policy Development Group may recommend changes and revisions to the lead staff person. These recommendations will be transmitted to the Deputy Director under whose auspices the draft item was originally developed. That Deputy Director may arrange to have a revised draft policy version prepared for reconsideration by the Policy Development Group. Any revised draft will require additional clearance for legal, financial, personnel and standards implications as in Section 0009.4 above.

Final recommendations of the Policy Development Group will be made after no more than one major revision cycle. All recommendations, including initial and interim ones, will provide the opportunity for minority reports and alternative suggestions by members of the Group. The final recommendations will be forwarded to the various Deputy Directors and to the Executive Deputy Director. The assigned lead staff person will be responsible for the distribution of the draft item and its accompanying recommendations.

0009.6 REVIEW BY DEPUTY DIRECTORS

Under the coordination of the Executive Deputy Director, the Deputy Directors will constitute a board of final review for policy items.

To guide their discussions, the assembled Deputy Directors will consider the recommendations of the Policy Development Group and any other sources which they may call for comment.

Prior to final determination, the Deputy Directors may return a draft policy item to the Policy Development Group or to the initiating Deputy with suggestions for revision or further analysis. After discussion of recommendations and impact analyses, the Deputy Directors will issue their joint recommendation to the Director. Opportunities will be made available for minority reports and alternative suggestions.

0009.7 DIRECTOR'S APPROVAL

Final authority for matters of policy resides with the Director of the Agency. Upon approval by the Director, the item will be signed by the Director and forwarded to the Agency policy distribution process. Once disseminated, the item will have full force of policy and will be binding on all Agency staff to whom the item pertains.

0009.8 EXCLUSIVITY OF THESE PROCEDURES IN POLICY DEVELOPMENT

Policies and their operative procedures represent the will and intent of the Agency in its mission to carry out mandated services and functions. As such, Agency policies are binding on all Agency staff to whom they pertain. Consequently, there shall be no other mode or process of policy development or promulgation that is at variance with the intentions and procedures outlined in the sections above. Any exceptions to the process outlined here must be approved by the Director for good cause shown. Any operations or procedures that are implemented to carry out this item must adhere to the spirit and intention of this item as described above. Exceptions in operations or implementation may be granted only upon approval from the Director of the Agency.

## New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

Title:	Date:	Page:	Item No.:
Policy Development and Issuance	4/13/83	4 of 4	0009

0009.9 ANNUAL POLICY REVIEW

Policies are intended to operationalize the Agency's mission and its mandates. To insure that policies are, in fact, furthering the mission, the Director shall cause all Agency policies to be reviewed at least on an annual basis. This review, conducted by and for the Director, will assess the degree to which policies address and guide matters of Agency mission, and the degree to which aspects of the Agency mission are or are not assisted by policy.

Results of this annual review shall constitute guidelines for the development of subsequent policies and policy revisions.

NEW YORK STATE DIVISION FOR YOUTH  
POLICY MANUAL

SUBJECT:	System of Written Documentation of Agency Policies and Procedures	DATE:	2/15/82	PAGE:	1 of 4	ITEM NUMBER:	0002
AUTHORITY:		APPROVED BY: <i>[Signature]</i> Director					
SUPERSEDES:	PPM Item 1751						
AGENCY CONTACT:	Office of the Director						

## POLICY

0002.1 PURPOSE AND SCOPE

The Division for Youth is committed to an orderly and effective process for setting agency policies and priorities in order to be consistent with and to implement the Constitution and laws of the United States, The Constitution and laws of the State of New York, and applicable court decisions.

To carry out these constitutional and legislative mandates, the Division will establish rules and regulations pursuant to law and will create a body of policies and procedures that will direct and execute the mission of the agency.

0002.2 FUNCTION OF POLICY MANUAL

A comprehensive policy manual, implemented through procedures manuals in each segment of the agency, serves the following important functions:

- A. It is a management tool which promotes professionalism, efficiency and consistency by serving as:
  1. a communications vehicle for introducing new ideas and better practices among staff;
  2. a source for the development of staff training programs;
  3. a guide to the overall philosophy established by the agency leadership;
- B. It delineates the purpose of the agency, and its responsibilities to the people it serves, as well as to its funding sources, the community and other agencies and organizations with which it has legal or professional relationship;
- C. It presents the short-term, intermediate and long-range goals toward which the agency will strive; and
- D. It facilitates the coordination of program responsibilities and functions between segments of the agency to prevent overlap and duplication of activities;
- E. It is a public document which enables the taxpaying public to know what the agency stands for and how it operates; and
- F. It is a safeguard against illegal, unprofessional, inefficient or ineffectual practices and against charges, especially law suits, to this effect.

## NYS DIVISION FOR YOUTH POLICY MANUAL

SUBJECT	DATE	PAGE	ITEM NUMBER
System of Written Documentation of Agency Policies and Procedures	2/15/82	2 of 4	0002

0002.3 DEFINITION OF TERMS

Significant terms used throughout this item and the Manual include: mission, goal, policy, objective, procedure, task, and standard. These terms are used, for the most part, in their generally accepted sense, but some aspects of their use are more specific and focused than might be found in common usage. The specific use of these terms with respect to this Manual is outlined below.

- A. Mission Statement: Purpose, duties and powers as derived from Article 19-G of the NYS Executive Law, supported by Executive Chamber directives and interpretations of case law. An overview of the agency mission, derived from law and other mandates states that the agency is committed and empowered to:
- 1) rehabilitate youth placed with the agency for criminal or status offenses.
  - 2) protect the citizenry of New York State from youthful crime, and
  - 3) provide prevention services to youth and communities.
- B. Goal: A desired state or accomplishment, consistent with aspects of the agency mission, that may be arrived at as a result of planned and concerted action on the part of the agency or one of its units. Goal statements should be general in scope, but refer specifically to given areas of desired accomplishment.
- C. Policy: A basic course or method of action in pursuit of a desired goal, including statements concerning the assignment of resources and the setting of priorities with respect to a goal. Policy statements are general in scope, but specify the subject matter and priorities explicitly.
- D. Objective: A statement of desired program outcome in realization of policy. Objectives should be specific as to desired outcomes, levels of such outcomes, and means by which such objectives may be observed and measured.
- E. Procedures: A planned series of actions intended to meet program objectives. Procedural statements describe each stage of a process related to program objectives, including an overview of all tasks associated with the execution of the procedure.
- F. Task: Specific assignments of staff responsibility under designated procedures. A task must be assignable to a particular individual(s) as part of a duty statement. This task will constitute an area of evaluation in that staff member's periodic performance evaluation.
- G. Standard: Specific criteria by which a supervisor will evaluate a subordinate's task performance in the accomplishment of assigned tasks. The task and its standard will constitute part of the employee's Performance Evaluation to be conducted on a semiannual basis. A standard must reflect an outcome indicator which is observable and measurable. With increasing rank and responsibility, employee will be held proportionately more responsible for the realization of group objectives, as well as task standards. For example, senior unit heads will be evaluated on group accomplishments as well as on their individual task performance.

## NYS DIVISION FOR YOUTH POLICY MANUAL

SUBJECT	DATE	PAGE	ITEM NUMBER
System of Written Documentation of Agency Policy and Procedures	2/15/82	3 of 4	0002

0002.4 DESCRIPTION OF THE DFY SYSTEM OF WRITTEN POLICY

- A. The DFY system of written policy consists of the following components:
1. Federal and State Law, including court decisions and interpretations thereof;
  2. N.Y.S. Regulations (pertaining to the Division);
  3. DFY (agency) Policy Manual;
  4. Facility, YST, Field Office and major administrative unit Procedural Manuals;
  5. Handbooks of various sorts;
- B. To ensure internal consistency, the components above are listed in descending order of priority: For example, facility manuals must be made consistent with the agency manual; the agency manual must be made consistent with DFY regulations and the law.
- C. N.Y.S. Regulations (Pertaining to the Division for Youth):
1. The DFY Legal Unit shall be responsible for the development of regulations as appropriate and necessary, pursuant to law.
  2. Laws related to the Division for Youth should be carried forward into regulations as appropriate and necessary.
  3. Each DFY regulation shall be reviewed at least annually by the DFY Legal Unit and updated as needed.
- D. The DFY Policy Manual (Agency Manual):
1. The DFY Policy Manual consists of four major sections:
    - I - Administration and Management
    - II - Employee Relations:
    - III - Rehabilitative Operations
    - IV - Local Services
  2. Each item in the DFY Policy Manual is reviewed at least annually and updated as needed.
  3. Each DFY organizational unit, facility, and youth service team and field office shall maintain and keep current at least one complete set of the DFY Policy Manual.
  4. The DFY Policy Manual shall be accessible to all DFY employees and the general public. All DFY employees shall be familiarized with its existence and its general use.

## NYS DIVISION FOR YOUTH POLICY MANUAL

SUBJECT	DATE	PAGE	ITEM NUMBER
System of Written Documentation of Agency Policy and Procedures	2/15/82	4 of 4	0002

E. Facility Manuals/YST Manuals/Field Office Manuals/Selected Administrative Unit Manuals:

1. Each DFY facility, youth service team, field office, and selected administrative units within Central Office (as determined by the appropriate Deputy or Executive Deputy Director) shall develop and maintain a policy, procedures and operations manual which specifies its purpose or function, program and services offered and operating procedures.
2. Such manuals shall be developed and maintained in accordance with a format approved by the appropriate Deputy Director or Executive Deputy Director.
3. Such manuals shall be explained and made available to all employees within the unit, facility and field office. Each administrative unit, facility and field office shall incorporate training in the use of DFY manuals especially as part of the orientation of new employees.
4. Each item in such manuals shall be reviewed at least annually and updated as necessary.
5. Each Manual shall address subjects included on the agency Policy and Procedures Manual Table of Content as appropriate and necessary. Repetition of the Policy and Procedure Manual items should not, in most cases, be necessary but appropriate references to it should be made and facility/office/unit specific supplemental procedures developed, if necessary.
6. Purpose of Administrative Unit/Facility/YST Field Office Manuals:
  - a. translation and integration, as needed of agency-wide policies and procedures into specific operational guidelines.
  - b. the communication of policies and procedures on issues not addressed in the agency manual as approved by the appropriate district supervisor or regional director as applicable.
  - c. a description of the function, philosophy, goals, objectives, programs and services offered.

0002.5 PURPOSE AND USE OF THE DFY MANUAL SYSTEMS

- A. Communication of mission and philosophy, goals, objectives, regulations, standards, policies and procedures to all DFY employees and the general public.
- B. New employees orientation.
- C. On-going staff training.
- D. Employee Performance Evaluation.
- E. Staff accountability.
- F. Use by YST's in placement decisions.
- G. Internal and external program reviews.
- H. Provides a mechanism for planned, rational change.
- I. Assist DFY supervisory/management personnel in functional decision.
- J. Facilitate coordination of program responsibilities and functions between units to prevent duplication and overlap.

SHIFT RESPONSIBILITIES  
SWITCHBOARDPOLICY

Besides serving as the communication center for MCF-RW, the switchboard provides a variety of other services for the institution. The switchboard personnel are responsible for knowing these responsibilities and for carrying them out during the course of their shift. The switchboard personnel are also responsible for knowing and implementing the MCF-RW policies and procedures that are relevant to the operation of the switchboard.

PROCEDURE

The switchboard personnel are responsible for carrying out the duties and responsibilities of their shift. These responsibilities include, but are not limited to:

1. Staff Relief: The switchboard personnel are responsible for relieving the previous staff member at the designated shift change time. The switchboard personnel will not leave their assigned position until the relieving staff member has arrived. In addition, prior to leaving the shift, the switchboard personnel will share any relevant and significant information with the staff member coming on duty.
2. Shift Reports: Switchboard personnel are responsible for reading "Daily Log Sheet" entries from previous shifts and for making entries regarding their shift. Entries should include resident movement, the general atmosphere and temperament of the campus, and any emergencies and other significant events.
3. Incident Reports: The switchboard personnel will submit "Incident Reports" when necessary in accordance with the established policy and procedure.
4. Manuals and Directories: The switchboard will maintain the following up-to-date manuals and directories:
  - A. MCF-RW Policy and Procedure Manual
  - B. Program Management Manuals
    1. Cottage Operations
    2. Classification/Case Management
    3. Security
    4. Resident
  - C. Security Unit Manual
  - D. DOC Management Memos
  - E. Telephone Directories
  - F. Central Office Directories
  - G. Call Up Lists
    1. Emergency Notification List
    2. Staff Names, Telephone Numbers, and Cottage Assignment
  - H. Duty Officer Schedule
5. Equipment: The switchboard personnel will maintain and monitor the distribution and return of the following equipment.
  - A. Mechanical Restraints (Handcuffs, Leg Irons, Belt, Key)
  - B. Flashlights
  - C. Binoculars
  - D. Pagers
  - E. 2-Way Radios
  - F. Maps



6. Keys: The switchboard personnel will maintain and monitor the distribution and return of the following keys assigned to the switchboard.
  - A. State Vehicles
  - B. Cottages
  - C. School
  - D. Volunteer Center
  - E. Administration Building
  - F. Cottage Mailboxes
  - G. Fire Panel
  - H. Fan Room
  - I. Display Cabinet
  - J. Chapel
7. Weapon Storage: The switchboard will inform law enforcement officials of the policy regarding the storage of weapons while they are on the campus of the institution. If the officials store their weapons at the switchboard, the switchboard personnel will lock the weapon(s) in the storage lockers and issue them a key.
8. State Vehicles: The switchboard will coordinate the use and assignment of state vehicles and they will maintain the "Vehicle Check Out Form".
9. Maintenance: The switchboard will be responsible for coordinating the maintenance of the state vehicles and the communication systems. In addition, if repairs are needed for equipment that is under the supervision of the switchboard, the switchboard personnel will complete and submit a "Work Order Form".
10. Telephone Communications: The switchboard will receive, transfer, and place telephone calls. When necessary, the switchboard will take and relay messages.
11. Monitor Telephone Calls: When the switchboard is requested to monitor a telephone call, they will monitor it, inform the cottage staff of the conversation, and complete a "Telephone Monitoring Form".
12. 2-Way Radio Transmissions: The switchboard will receive and transmit 2-way radio communications. The staff will be responsible for following the F.C.C. regulations and using the Basic 10 Code.
13. Pager/Intercom Systems: The switchboard personnel will relay messages via pagers and the intercom system when necessary.
14. CMIS: If residents are admitted or released during the hours the General Office is closed, the switchboard personnel will record this information via CMIS.
15. Apprehension and Detention Orders: If apprehension and detention orders are needed during the hours the General Office is closed, the switchboard personnel will complete the forms and have them available for staff.
16. Emergency Communications: The switchboard personnel will use the emergency telephone (ext. 200) to receive incoming calls and to place local calls when the other telephones are not operating.
17. Escapes: The switchboard will implement the established "Switchboard Procedures for Escapes" as outlined in the Security Manual section of the Program Management Manuals and they will complete the "Switchboard Escape Log".
18. Fires: When the fire alarm rings, the switchboard personnel will note the source and silence the alarm; contact the Fire Department, the On Duty Administrator, the Unit Supervisor, the Cottage Manager, and the Engine Room to inform them of the situation. When the fire is out, the switchboard will remind the cottage to restore their fire alarm and exhaust system and they will return the Fire Department switch to the "Off" position.

19. Tornados, Severe Thunderstorms, and Nuclear Emergencies: The switchboard will call the cottages, the Engine Room, all other buildings on campus (during the weekdays), and the individuals and the businesses on the Emergency Notification List to inform them of the conditions.
20. Medical Emergencies: In the event of a medical emergency the switchboard will contact either the MCF-RW medical personnel or the ambulance, if determined necessary.
21. Death of a Resident: In the event of a resident's death, the switchboard will notify the Goodhue County Sheriff requesting that he have the on-call detective come to the scene and that the Coroner be notified. In addition, the switchboard will contact the Superintendent, the On-Call Administrator, the Program Director, the Unit Supervisor, the Cottage Manager, the MCF-RW Medical Services, the Chaplain, and the Group Leader of the deceased.
22. Resident Movement: The switchboard personnel will record the following resident movement:
  - A. Resident Intake
  - B. Resident Parole
  - C. Transfers to and from the Security Unit
  - D. Resident Activities Off-Campus (departure time, return time, escort)
23. Visitors: When visitors register at the switchboard, the staff member will:
  - A. check the visitor's identification
  - B. have the visitor complete a "Request to Visit Form"
  - C. complete the Visitor Registration Log
  - D. call the cottage and inform them of the visit
24. Parole Check Out: The switchboard will issue the resident the money from his account. After the resident receives his money and signs the "Parole Check Out Form", the switchboard personnel will date and sign the form and forward it to the General Office.

## SAMPLE POLICIES

### 2. PERSONNEL

MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY / PROCEDURE STATEMENT	
	ACA Standard: 9103-9105	Page No. 1 of 2
	Policy No. 0401	
<u>Subject:</u> Training and Staff Development		
<u>Title:</u> Staff Training Responsibilities		

Purpose:

To establish responsibility for pre-service and in-service training of facility staff.

Policy:

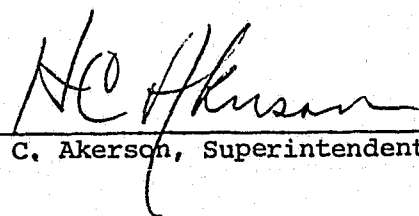
The Superintendent will have overall responsibility for both pre-service and in-service training of facility staff. The Assistant Superintendent will be the designated Training Coordinator and in that capacity will be responsible for the development, coordination and supervision of staff training. The Training and Development Division, Department of Employee Relations, and the Training Director of the Department of Corrections (DOC) will provide training opportunities for facility staff which would normally be beyond facility resources. The DOC Training Director will prepare an annual training plan for the entire department. The facility Training Officer will annually prepare a supplemental plan to meet requirements unique to the facility.

Procedures:

1. The facility Training Coordinator will coordinate all training activities for staff other than training pursued by staff, at their own expense, on their own time, for promotional, licensure or salary increase purposes.
  - a. Unit supervisors will advise department heads of needed training, well in advance of required completion.
  - b. Department heads will notify the facility Training Coordinator of such requests. They will also advise the Training Coordinator of any training arranged for independent of the Training Coordinator, prior to committing staff or funds to the training activity.
  - c. The Training Coordinator will make arrangements for meeting training needs within budgetary and resource restraints.
2. Employees will report all participation in training activities to the Training Officer on the facility form CR-00738-01, titled: Training Report. All supervisors will maintain a supply of these forms, obtainable from the Training Coordinator.
3. The Training Coordinator will maintain records of all training on forms provided by the Department of Employee Relations (DOER). Copies of such reports will be forwarded monthly to DOER. The Training Coordinator will also maintain training logs for individual employees.
4. DOER will enter all training reports into computerized records. DOER will periodically provide the Training Coordinator with a cumulative printout of training participated in by individual employees. These printouts will be maintained in staff personnel records.

MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY / PROCEDURE STATEMENT		
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	Subject: Training and Staff Development		
Title: Staff Training Responsibilities			

5. The Training Coordinator will submit a quarterly report of all staff training to the Superintendent. Training activities will be summarized in the facility Quarterly Report.
6. The facility Training Coordinator will represent the facility on the DOC Training Advisory Committee.

  
 H. C. Akers, Superintendent (CEO)

Issued: 5/22/81  
 Revised: 3/15/82  
 Revised: 3/15/83

MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY / PROCEDURE STATEMENT		
	ACA Standard: 9074, 9107-9109, 9112, 9299, 9310, 9311, 9318	Page No. 1 of 2	Policy No. 0402
	Subject: Training and Staff Development		
Title: Training Requirements and Time: Staff			

Purpose:

To ensure that all staff receive the amount of training required to efficiently perform the duties of their position.

Policy:

All staff will receive a minimum of 40 hours of pre-service training and 40 hours of in-service training during each year of employment. Volunteers will receive training appropriate to their needs.

Procedures:

1. All new employees will receive a minimum of 40 hours orientation training prior to assuming the duties of their position. This training will include orientation to the policies, organizational structure, programs, and regulations of the facility and Department of Corrections.
2. All new Correctional Counselors, in addition to the 40 hours of orientation, will receive 40 additional hours working with and under the supervision of experienced Correctional Counselors prior to assuming the duties of their position.
  - a. Newly hired Correctional Counselors with a minimum of 45 college credits, 30 of which are in the behavioral sciences, will be assigned to their position upon completion of the 80 hours required training.
  - b. Newly hired Correctional Counselors not meeting the educational requirements in 2, a, will be required to complete an additional 80 hours of training before being assigned to their position.
  - c. All new Correctional Counselors will be required to attend the two-week Department of Corrections Training Academy during their initial 6 month probation period.
3. All employees will receive a minimum of 40 hours training each year of their employment. During the first year this will be in addition to orientation training received prior to position assignment and will include Basic First Aid Training. First year training for Correctional Counselors will also include Cardio Pulmonary Resuscitation, Receiving Health Screening, and Administration of Medications.
4. Responsibility for training the volunteers will belong to the Institution/Community Relations Coordinator who will insure that they receive the training required or necessary to perform the activities they are involved in. Training requirements for fulltime volunteers will be identical to fulltime paid staff.


MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY/PROCEDURE STATEMENT		
	ACA Standard: 9074, 9107-9109, 9112, 9299, 9310, 9311, 9318	Page No. 2 of 2	Policy No. 0402
	Subject: Training and Staff Development		
Title: Training Requirements and Time: Staff			

5. Required training will be included by employees and supervisors as part of the Individual Development and Planning Worksheet.
6. The facility Training Officer (Assistant Superintendent) will be responsible for monitoring training activities to insure that procedures 1 through 4 are complied with.
7. When possible and practical, employees will be given the opportunity to voluntarily participate in and attend training sessions, seminars, conferences, conventions, etc. considered by Administration to be of appropriate subject matter and of benefit to both staff and the facility. Attendance and participation will be within an eight hour working day, with no overtime involved.
8. Mandatory attendance at activities that are scheduled to be excessively lengthy, timewise, will be dealt with on an individual basis. However, any attendance at training activities where it appears overtime is justified must have prior approval of the Superintendent.
9. Training required for purposes of promotion, licensure, certification, etc., will be taken by staff on their own time, at their own expense.

Revised: 11/5/81

REVIEWED MAR 15 1982 NCA

Revised: 3/15/83

  
 H. C. Akerson, Superintendent (CEO)

MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY/PROCEDURE STATEMENT		
	ACA Standard: 9074, 9102, 9119, 9120	Page No. 1 of 2	Policy No. 0403
	Subject: Training and Staff Development		
Title: Conference Participation and Reimbursement for Expenses			

Purpose:

To clarify employee attendance at conferences either as a direct part of their job or as an aid to improving their work performance. Confusion often arises regarding when conference participation is appropriate and when employees are eligible for reimbursement of expenses (such as registration fees, hotel accommodations or meals). Criteria for determining when conference participation will be approved and reimbursement granted is per policy statement below. This policy implements Department of Corrections Management Memo, Volume 4 - Number 5, revised January 30, 1981.

Policy:

Employees may be authorized to attend conferences on State time and be reimbursed for approved expenses if a conference is clearly related to their work responsibilities. This is determined by an employee's supervisor.

"Work relatedness" may exist under two conditions, Direct and Indirect:

1. Direct work relatedness - exists when the program content of the conference relates to the present work responsibilities of the employee. An employee may attend on State time and be reimbursed for all expenses except membership fees. If an employee is required by his or her supervisor to attend the conference, attendance is automatically construed as Direct work relatedness.
2. Indirect work relatedness - exists when the interaction and exchange of information among those in attendance at the conference relates to the employee's work responsibilities in a manner that can be expected to contribute to his or her performance. An employee may attend on State time but is not eligible for reimbursement of expenses.

In the absence of a determination as to whether attendance is Direct or Indirect work related, employees may be allowed vacation leave to attend on their own time without reimbursement.

Procedures:

1. Conferences involving Special Expenses.

Special Expenses are involved if : 1) the conference registration fee exceeds \$15.00, 2) a meal which is part of the conference exceeds the State meal allowance, or 3) total conference expenses will exceed \$50.00 and the employee desires an advance.

Responsibility

Employee

Action

1. Submits written request to supervisor, at least 14 working days in advance, indicating conference title, date, location, purpose and itemization of expenses.

MINNESOTA CORRECTIONAL FACILITY - SAUK CENTRE	POLICY/PROCEDURE STATEMENT		
	ACA Standard: 9074, 9102, 9119, 9120	Page No. <u>2</u> of <u>2</u>	Policy No. 0403
	Subject: Training and Staff Development		
Title: Conference Participation and Reimbursement for Expenses			

**POST/SHIFT ANALYSIS**

**M COTTAGE**

7 days/week post

A secured program cottage for up to 24 boys who need a more secured setting. The cottage is staffed with triple coverage on the 7-3 shift, double coverage on the 3-11 shift, and single coverage on the 11-7 shift. It is BFOQ'd so that there is one male staff member on each shift.

	11-7	7-3	3-11		
YC3	-	½	½		
YC1 or 2.	1	2½	1½		
	No. of Posts	Days/Year	Total Work Days	Ave. Days Worked	Positions Needed
YC3	1	365	365	223.7	1.63
YC1 or 2	5	365	1825	223.7	8.15
	Hours of Work		Incumbent	Position No.	
YC3	½ 7-3	½ 3-11	Sam Hightower	032894	

This is very responsible work involving planning, establishing and directing a cottage group living situation in a juvenile institution. This includes directing the activities of students. Assumes total responsibility on an assigned shift for a cottage program. Work involves training of new employees when necessary, discussing on a day-to-day basis the more difficult problems experienced by students, and providing training for students in the skills of group living such as etiquette, behavior, and housekeeping. Operates as a member of treatment team in direct work with students.

	Hours of Work		Incumbent	Position No.
YC1 or 2	½ 7-3	½ 3-11	Jim Ackley	031699
YC1 or 2	½ 7-3	½ 3-11	Maynard Krueger	031985
YC1 or 2	½ 7-3	½ 3-11	Kirby Stoelting	074861
YC1 or 2	½ 7-3	½ 3-11	Jay Millenbah	083822
YC1 or 2	½ 7-3	½ 3-11	Bruce LaMere	063821
YC1 or 2	7-3		Marci Williams	033315
YC1 or 2	11-7		Robert Aderman	079791

Responsible for cottage operation on a shift in accordance with established juvenile correctional procedures with emphasis placed on exerting a positive influence in the counseling and rehabilitation of youth in all types of activities. In addition to duties as prescribed at the YC1 level, work includes providing direction, guidance, leadership and training to staff and students in a residential living unit.

**STAFFING NEEDS SUMMARY FOR M COTTAGE**

Total No. of YC3 Work Days Required	365
Total No. of YC3 Work Days Posted (1 Position)	223.7
Total No. of YC3 Work Days Covered by Utility	141.3
Total No. of YC1 or 2 Work Days Required	1825
Total No. of YC1 or 2 Work Days Posted (7 Positions)	1565.9
Total No. of YC1 or 2 Work Days Covered by Utility	259.1

- | <u>Responsibility</u> | <u>Action</u>   |
|-----------------------|---|
| Supervisor            | 2. Based on direct or indirect work relatedness and budgetary constraints, approves or disapproves request and forwards to department head at least 13 working days in advance of conference.                                       |
| Department Head       | 3. Approves or disapproves within 12 working days of conference and forwards to Superintendent.   |
| Superintendent        | 4. Approves or disapproves. If approved, has Business Office prepare Request for Reimbursement of Special Expense form (FI-00023-01), signs, and forwards to Deputy Commissioner at least 10 working days in advance of conference. |
| Deputy Commissioner   | 5. Approves or disapproves. If approved signs and forwards to Department of Corrections Controller at least 4 working days in advance of conference.  |
| Controller            | 6. Approves or disapproves. If approved, signs and forwards to Department of Finance Quality Control Unit. An approved copy is returned to the MCF-SCR Business Office who notifies the employee.                                   |
| Employee              | 7. After conference submits Employee Expense Report (FI-00010-02), with supervisor's approval, to Business Office.  |

**2. Conferences not involving Special Expenses.**

- | <u>Responsibility</u> | <u>Action</u>  |
|-----------------------|--|
| Employee              | 1. Makes verbal or written request to supervisor at least 14 working days in advance of conference.  |
| Supervisor            | 2. Gives verbal or written approval, based on direct or indirect work relatedness and budget constraints, at least 12 working days in advance of conference. |
| Employee              | 3. After conference submits Employee Expense Report (FI-00010-02) with supervisor's approval, to Business Office.  |

REVIEWED MAR 15 1983 *NCA*  
APR 15 1982 *NCA*

*H. C. Akerson*  
H. C. Akerson (Superintendent (CEO))

Issued: 3/13/81  
Effective: 1/20/81

**SAMPLE POLICIES**

**3. PROGRAM**

Title: Visits to Residents At DFY Facilities	Date: 8/3/83	Page: 1 of 5	Item Number: 3455
Enabling Law(s): Executive Law, Section 500	Contact Unit: Program Utilization & Control, Eugene P. Blake		
Supporting Regulation(s): N.Y.C.R.R. Section 171.9	Supersedes: New Item		
Compliance Standard(s): CAC Standards 2-9325, through 2-9329	Approved By: <i>Deborah A. Quint</i> Director		
DFY Policy(ies) Affected: 3420 - Youth Rights and Responsibilities 3447 - Contraband and Searches			
Key Words: (1) Visitation (2) Visitors			
(3) Youth Rights (4) Family (5) (6)			

SUMMARY: (No more than 25 words)

This item establishes the circumstances under which visits to a resident at a D.F.Y. facility are made.

TABLE OF CONTENTS

- A. GENERAL D.F.Y. POLICY ON VISITATION
- B. SPECIFICATIONS OF VISITING PROCEDURES
- C. GROUND UPON WHICH VISITORS MAY BE REMOVED
- D. SPECIAL VISITS
- E. INFORMATION ABOUT VISIT POLICY
- F. FACILITY PROCEDURES AND GUIDELINES FOR VISITATION ;  
THE VISITATION COORDINATOR

## New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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A. GENERAL DFY POLICY ON VISITATION1. Maintenance of Family Ties.

DFY is committed to the maintenance and strengthening of family ties. It is sometimes difficult to maintain such ties when youth must be temporarily placed in residential facilities for extended periods, often at considerable distance from their homes. To overcome some of these difficulties, DFY encourages regular family visits to youth in DFY facilities.

Other means to preserve family ties include DFY's controlled program of home visits for youth who meet the legal and programmatic standards for leaves and furloughs. These types of visits will not be discussed in this item; they are covered extensively in DFY Policy 3453 ("Home Visits") and Policy 3452 (DFY Temporary Release Policy for Juvenile Offenders").

2. Limits to Visitation.

Consistent with its policy of encouraging family visits to youth in facilities, DFY will limit visits only for reasonable considerations of security, safety or orderly operation of program. Various limitations outlined below are presented as instances of security, safety or orderly program operation. Note: limitation of visiting privileges cannot be used as a disciplinary device against youth in facilities.

B. SPECIFICATIONS OF VISITING PROCEDURES1. Visitation Site.

The facility director may specify a site or area to be used for family visits. This site shall be chosen to insure the greatest degree of privacy and comfort on the part of the visitors as well as maintaining adequate program security and orderly operation. The site shall allow for private, informal communication and opportunity for physical contact between resident and visitors in pleasant surroundings.

2. Number of Visitors.

The number of visitors that a youth may receive at any given time may be limited based upon staffing coverage, adequacy of available space, and orderly program operation. These would be the only feasible reasons for limiting larger numbers of visitors.

## New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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3. Prior Notices.

The facility director may request prior notice in order to insure that the youth will be available and that the proper visitation site can be prepared. It would not be necessary for a facility director to disrupt on-going programs or to weaken necessary security in the event of unannounced visitors.

4. Length of Visits.

The length of family visits may be limited in a reasonable manner based upon the facility's schedule and the personnel available for supervision. The facility director is expected to take into consideration the traveling time on the part of the visitors to make a visit period proportionate to the travel effort.

5. Time of Visits.

In accordance with New York State regulations (NYS CR&R, Section 171.9), the facility director may establish fixed times for visitation. The time established must be reasonable and convenient for most visitors, especially parents. The visiting time schedule must be sufficiently flexible to allow for visits by special arrangements, especially for family members and other interested parties who cannot visit at the regularly established times.

6. Registration of Visitors.

Visitors must register upon arrival at the facility and sign out at departure. Registration for each visitor must include the visitor's name, the youth to be visited, the visitor's relation to the youth, the date and time of the visit, with the additional entry of time upon departure. Adult visitors may be asked for additional identification if they are not known to facility staff.

7. Search of Visitors.

At Secure Centers, all visitors must be subjected to electronic search pursuant to DFY Policy 3447 - Contraband and Searches. At all other facilities, the facility director may require electronic body searches as a condition of visitation. Visitors who refuse to be searched electronically may be denied permission to visit at that time.

8. Search of Packages.

The facility director has the right to store or search all packages brought in by visitors. Facility staff will open packages upon instructions from the facility director and will carefully inspect packages designated for opening. Staff will attempt to conduct such searches with the least disturbance to the package and its contents. Upon inspection, the package will be restored as close as possible to its original condition. Packages and items that cannot be opened or dismantled without doing irreparable damage to the contents may be set aside and stored until the visitor leaves the facility premises, at which time the packages or items will be returned to the visitor. (For details, see DFY Policy 3447 - Contraband and Searches.)



New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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C. GROUND UPON WHICH VISITORS MAY BE REMOVED

The facility director may remove visitors who demonstrably constitute a threat to security and orderly operation of programs by falling under one of the following conditions:

1. Unaccompanied Visitor.

A facility director may remove any visitor who is not suitably accompanied and supervised by the resident's parents, guardian or other responsible adult.

2. Under the Influence of Drugs or Alcohol.

A facility director may remove any person under the influence of drugs or alcohol.

3. Abusive or Disorderly.

After reasonable attempts asking that such behavior be stopped, a facility director may remove any visitor who is abusive or disorderly.

4. Interference with Facility Programs or Operations.

After reasonable attempts asking that such behavior be stopped, a facility director may remove any visitor who interferes or tries to interfere with the orderly operation of the facility and its programs, or with the rights of other visitors or residents.

5. Refuse Search of Person or Packages.

A facility director may remove any visitor who refuses to submit to personal electronic search or package search if, in the opinion of the facility director, such refusal presents a reasonable threat of introducing contraband to the facility. (For definition of contraband, see Policy 3447.)

6. Possession of Contraband.

A facility director may remove any visitor found to be in possession of contraband on facility premises. (See Policy 3447.)

7. Solicitation of Crime.

A facility director may remove any visitor who solicits or attempts to solicit a resident's involvement in present or future criminal activity.

8. Subsequent Visits.

Removal of visitors shall be only for reasons cited above, and only for the specific visit in which the behavior occurred. Subsequent visits are not affected or limited by such removal, provided the behavior in question does not arise again.

A major violation or continued violation of facility visiting procedures may result in the suspension of visiting privileges and may require special permission from the facility director who would have to be satisfied that the behavior is not likely to recur.

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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D. SPECIAL VISITS

Facility procedures will allow for special visits. These include: visits from persons who have travelled long distances, visits to hospitalized residents, and visits between residents and their attorneys. In the interests of expediting such visits, the facility director may request that prior notice be made as far in advance as possible so that the resident will be available and a suitable site for visitation can be arranged.

E. INFORMATION ABOUT VISIT POLICY

Each facility shall provide essential information to the residents' families concerning visit policies, transportation availability and travel instructions to the facility. The visitation rules and limitations described in this item shall be made available in clear and concise terms including but not limited to: visiting days and hours, rules of entrance and comportment, provision for special and emergency visits, rules on packages, and travel and transportation directions. This information shall be made available in the language spoken by the residents' families to the greatest degree possible.

This information shall be made available to the families during the youth orientation period following admission to the facility.

F. FACILITY PROCEDURES AND GUIDELINES FOR VISITATION:  
THE VISITATION COORDINATOR

Each facility shall issue Facility Operational Guidelines (FOG) which shall describe the local implementation of these policies specific to the facility. Such Guidelines shall be reviewed annually and updated as needed. The facility director or designee will serve as Visitation Coordinator on scheduled visiting days.

The Visitation Coordinator will be available to consult with visitors and supply necessary information and advice. The Coordinator will make final decisions on matters relating to access to residents, use of visitation area and conduct of visitors.

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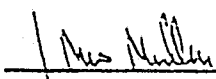
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	 J. Thomas Mullen Deputy Director Rehabilitative Services		

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3426-1 THE USE OF ROOM CONFINEMENT

Room confinement is to be considered an interim measure designed to control dangerous behavior. As required by PENA v. LUGER federal court order and Section 168.2 of the Division for Youth regulations, room confinement is never to be used as punishment in the sense of the application of unpleasant consequences to deter the repetition of the act by the same youth or others. It shall be used only in cases where a youth constitutes a serious and evident danger to himself or others. It is not to be considered, in itself, as a method of technique of treatment.

3426-2 DEFINITION

For the purpose of this item, the term "room confinement" shall mean confinement of a youth in a room, including the youth's own room, when locked or when authoritatively told not to leave.

NOTE: Where staff is present inside the room (excluding confinement rooms) with the youth, for the purpose of counseling or otherwise assisting the youth in resolving his or her problem, or when the youth is engaged in program activities, this shall not be considered room confinement within the context of this item.

3426-3 PLACE OF CONFINEMENT - ENVIRONMENTAL NEEDS

- A. All facilities which have determined the need to use room confinement must obtain written approval from the Deputy Director for Rehabilitative Services.
- B. Places of confinement within the institution shall be designated by the institution superintendent or facility director and approved in writing by the Deputy Director for Rehabilitative Services or his designee. The place of confinement shall be lighted, heated and ventilated the same as other comparable living areas in the facility. Where possible, the confinement room should have carpeted walls.

3426-4 REQUIRED FURNITURE AND FURNISHINGS WITHIN THE PLACE OF CONFINEMENT

- A. The place of confinement shall be furnished with the items necessary for the health and comfort of the occupant, including, but not limited to, a bed, chair, desk or chest, mattress, pillow, sheet and blanket. If the possession of any of these items would be detrimental to the safety of the occupant or others, they may be removed during that period upon authorization by the superintendent or facility director or the acting superintendent, or facility director. The reasons why furnishings are removed must be recorded on the room confinement report form.
- B. When the child is first placed in room confinement, the superintendent or facility director or acting superintendent or acting facility director or officer of the day shall make an initial determination of the youth's ability to handle the full or a partial complement of furnishings as listed in A above. A new determination on furnishings shall be made at each hourly review by the facility director or his designee and shall be recorded on the room confinement report form.

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- 3426-4 C. The place of confinement shall be furnished with a mattress and/or a chair at all times.

3426-5 AUTHORIZATION OF ROOM CONFINEMENT

Room confinement shall be authorized only by the superintendent or facility director or the acting superintendent or acting facility director or the unit administrator or acting unit administrator. Authorization should be obtained prior to actual placement in room confinement. In instances where immediate physical restraint is clearly necessary, authorization must be obtained within 15 minutes of lock-up.

3426-6 MAXIMUM PERIOD OF CONFINEMENT

- A. The maximum period of confinement for PINS youth shall not exceed three consecutive hours or a total of more than four hours within any 24 hour period without the approval of the Deputy Director for Rehabilitative Services or his designee. (See McRedmond Stipulation)
- B. The maximum period of confinement for a J.D. youth shall not exceed 24 consecutive hours without the approval of the Deputy Director for Rehabilitative Services or his designee. However, per PENA order, room confinement should not exceed six hours unless there exists a situation of "serious necessity" which is documented in writing and recorded on the room confinement form.
- C. The Deputy Director for Rehabilitative Services or his designee shall maintain a written record of any and all approvals of requests to extend the maximum periods of confinement.

3426-7 VISITATION

- A. For the purposes of this part, a visit shall mean actual entry into the room of confinement with the youth or removal of the child from the room of confinement for the purpose of discussion or counseling. A visit shall not include routine visual checks or discussion through the door or window of the confinement room. Youth in room confinement shall be visited at least once each day by the following institutional personnel:
  1. Administrative staff - Superintendent or Facility Director or Unit Administrator or Assistant Superintendent, Assistant Facility Director or Assistant Unit Administrator.
  2. Counseling staff - The youth's counselor if he is a different person from the above.
  3. Medical staff - A nurse or physician, shall examine the youth in room confinement on a daily basis.
  4. Child Care staff - A member of the youth's wing or cottage child care staff shall visit at least once during each 8-hour shift (except during sleeping hours).

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3426-7 B. A record of visits shall be maintained by the facility on forms designated by the Division and may be posted on the door of the confinement room during the entire period of confinement, or be kept in a readily available but safe place; i.e., nurse's desk, head desk or wing office..

3426-8 VISUAL OBSERVATION

A visual observation check shall be made at a minimum of every 15 minutes unless circumstances indicates a more frequent check is required. The time of visual observation and the initials of the observer shall be recorded on Form DY-760.3 (Visitors to Child in Room Confinement).

3426-9 READING MATERIALS

Educational and recreational reading materials shall be provided within the first 24 hours unless the superintendent or facility director or acting superintendent or acting facility director shall determine that such material shall be detrimental to the youth's rehabilitation. These materials shall be provided on a daily basis thereafter. The basis for this determination shall be recorded on the room confinement reports form.

3426-10 RECREATION AND EXERCISE

For the purpose of this Part, recreation and exercise shall be defined as an activity taking place outside the room of confinement and shall mean to include: sports, athletics, games, light physical exercise and like activities. It shall not include hard labor, unduly arduous exercise and other activities of a generally unpleasant or punishing nature. Recreation and exercise shall be provided on a daily basis for at least one prescribed period of not less than 30 minutes unless the superintendent or facility director or acting superintendent or acting facility director shall authorize, in writing, its deletion upon determination that such a liberty would present serious and evident danger to the child or others.

3426-11 REPORTS OF ROOM CONFINEMENT

Whenever room confinement is utilized, beyond one hour, the facility director or his designee must report each instance on forms designated by the Division. Every instance where mechanical or medical restraints are used shall be reported on these forms, regardless of the length of time of the subsequent confinement. Reports are to be submitted on a weekly basis to a person designated by the Director of Rehabilitative Services. For the purpose of this part, a week begins on a Monday and ends on a Sunday. Reports are to be submitted on or before Tuesday of the following week. A copy of each report shall be made available to the Ombudsman assigned to that facility.

3426-12 CONSECUTIVE PERIODS OF ROOM CONFINEMENT

A. Any youth who is returned to room confinement within six hours of his release shall be considered to have been in continuous room confinement for purposes of reporting and seeking Central Office approval; however, a notation as to unsuccessful efforts to return the youth to program should be made so that an accurate description of the confinement is available.

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3426-12 B. Return to room confinement after a lapse of six hours from the time of release shall be considered as commencing a new period of room confinement for the purpose of reporting and seeking Central Office approval.

C. Manipulation of consecutive periods of room confinement to evade reporting and approval requirements, or to evade the spirit of the Division's regulations, is prohibited.

3426-13 REVIEW AND REQUEST FOR EXTENSION OF ROOM CONFINEMENT

A. The behavior which resulted in placement in room confinement must be evaluated by an appropriate staff member at least once each hour. The results of this hourly evaluation should be recorded on the room confinement report form. The youth should be released as soon as his behavior ceases to be a danger or threat of danger. The release from room confinement should be accompanied by counseling by appropriate staff.

B. A review of the necessity for continued room confinement shall be made in writing prior to the beginning of each new 24 hour period by the superintendent or facility director or acting superintendent or acting facility director. The reasons explaining the necessity for continued room confinement shall be recorded on the official room confinement report. Room confinement may be extended beyond the 24 hour period only with the approval of the Deputy Director of Rehabilitative Services or designee. Approval shall be obtained prior to the beginning of each 24 hour period. Initially, such requests may be made orally (by telephone). The request must then be submitted in writing on forms designated by the Division. This written request must be forwarded to the Deputy Director of Rehabilitative Services or his designee within 24 hours of the oral request.

C. Every effort shall be made to return the youth to the regular program of care as quickly as possible.

**SAMPLE POLICIES**

**4. OPERATIONS / SECURITY**

Title: CONTRABAND AND SEARCHES WITHIN D.F.Y. FACILITIES	Date:	Page:	Item Number:
Enabling Law(s): Executive Law, Section 500	4/1/83	1 of 12	3447
Supporting Regulation(s):	Contact Unit: P. U. & C. Unit Eugene Blake (518)473-5325		
Compliance Standard(s): American Correctional Association CAC Standard 2-9184	Supersedes: 3447 - Contraband & Searches Within DFY Facilities		
DFY Policy(ies) Affected: Items 3445, 3446	Approved By: (11/4/81) <i>L. J. V. V. V.</i> Director		
Key Words: (1) Contraband (2) Searches			
(3) Body Searches (4) Facility Searches (5) Frisk Search (6) Strip Search			

SUMMARY: (No more than 25 words)

This item defines and sets guidelines for "contraband", three types of "body searches" and three types of "facility searches."

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3447-1

INTRODUCTION

The purpose of this item is to define "contraband" and to describe the various types of searches (for contraband) and the circumstances under which they may be conducted.

Contraband may be discovered in various ways--through a search, an inspection or even accidentally. The difference between a search and an inspection is that a search, as we use that term in this item, is conducted specifically to look for contraband. An inspection is conducted for other purposes, generally to check that things are up to a certain level of expectation (cleanliness, orderliness, safety, etc...). While this item focuses on the search as an active and conscious method of seeking out contraband, the discovery of contraband in other ways will not affect the way it is handled. Staff and resident responsibilities will be the same and the same procedures described in this item will be followed.

3447-2

DEFINITIONS

A. "Contraband" means those articles:

1. The possession of which is prohibited under any law applicable to the general public.
2. Which are readily capable of being used to cause death or serious physical injury including, but not limited to, handguns, shoulder guns, cartridges, knives, explosives, or dangerous drugs.
3. Which are prohibited by the regulations (and policies) of the Division or the rules of the facility.
4. Which are possessed by a resident without authorization when such authorization is required by regulations (and policies) of the Division and rules of the facility.

B. Body Search. There are basically three kinds of "body searches":

1. The "frisk search" which is done over clothing. The resident may be asked to empty his/her pockets and such pockets and personal effects such as wallets and purses may also be searched. The youth may be required to remove his/her outer clothing such as coat, hat and shoes. Garments and articles may be searched carefully including pant cuffs, sleeve cuffs and waist bands. The mouth, nose and ears may also be visually inspected.

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2. The "strip search" in which the youth is asked to remove all his/her clothing. The removed clothing is carefully inspected. The body is visually inspected without probing into any of the body cavities. The youth may be asked to open his mouth, move his tongue and assume postures which facilitate visual inspection.

3. The "internal body search" is defined as the close manual or tactile examination of any body cavity into which objects may be placed for the purpose of concealment. Such body cavities include the mouth, nostrils, ears, navel, vagina and rectum.

C. Facility Searches:

1. "Overall search" is the search of the complete facility.
2. "Area search" is the search of a large specified area of a facility (i.e., wing, entire shop area, kitchen or mess hall).
3. "Room or living quarters search" is the search of residents' room or living quarters.

3447-3

ITEMS TO BE CONSIDERED AS CONTRABAND AT ALL D.F.Y. FACILITIES

A. Contraband at all facilities shall include, but shall not be limited to the following items:

- firearms (hand guns, shoulder guns, modified firearms, etc.)
- ammunition
- knives
- weapons of any sort
- explosives or any article which can cause death or serious injury
- drugs, drug paraphernalia (pipes, cigarette papers, syringes, hypodermic needles, etc.)
- unauthorized medicines
- alcoholic beverages
- fireworks
- starting pistol
- marijuana
- large sums of cash, credit cards

B. Each facility shall develop a list of contraband items for that facility. Such list shall include the above items as well as other items the facility considers to be contraband. This list cannot be nor is it intended to be exhaustive. This fact should be made clear to both residents and staff.

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The facility contraband list shall be submitted for approval to the Secure Facilities Management Unit (SFMU) in the case of secure facilities or the appropriate District Supervisor and Regional Director for non-secure facilities. This shall then be submitted for approval to the Deputy Director for Program Operations. Upon approval, the list shall be included in the facility manual and shall be given and explained to all staff and residents.

3447-4

BODY SEARCHES

- A. Purpose of Body Searches. The purpose of the body search is to determine whether a youth has concealed contraband on or in the body.
- B. Body Searches - General Guidelines
  1. Body searches shall be conducted only to search for contraband. They shall not be conducted to punish, harass, or embarrass a resident.
  2. Body searches shall be conducted by appropriate staff of the same sex as the resident being searched, (with the possible exception of a physician in the case of internal body searches).
  3. Facility staff shall avoid the use of excessive force in conducting body searches and shall preserve the comfort and dignity of the resident being searched.
  4. A record of all body searches must be duly entered in the facility or unit log book. The information must include:
    - a. Type of search
    - b. The date and time of search
    - c. The name of the resident subjected to the search
    - d. The name of the person conducting the search
    - e. The name of the supervisor authorizing the search
    - f. The specific facts and reasons underlying the authorization for the search
    - g. An itemization of any article of contraband confiscated during the search
    - h. Any other information related to the search
  5. Where a particular body search required approval above the facility director level, a report containing the above information shall be sent to the approving authority.

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C. The Frisk Search - Guidelines

The frisk search may be conducted at any D.F.Y. facility by appropriate staff based upon either security precautions (to prohibit the introduction of contraband) or whenever there is a reasonable cause to believe that a particular resident is concealing an article of contraband.

D. The Strip Search - Guidelines

1. The strip search may be conducted as a security precaution at all D.F.Y. facilities in Levels I through IV at the discretion of the director of such facility, whenever a resident has had reasonable opportunity to obtain and conceal contraband articles and there is a reasonable cause to believe that the resident is concealing contraband. Such times could include, but are not necessarily limited to, initial admission (could be part of the initial medical exam) and upon return from home visit, AWOL, or the visiting area at the facility. The director of the facility shall describe in writing the particulars of this type of strip search including: the circumstance of the search (i.e., upon return from home visit); location; description and number of staff conducting the search; how the search is conducted; and general facility guidelines. These guidelines shall be submitted for approval (on a one time basis, unless circumstances change substantially) to the Deputy Director for Program Operations, the SFMU in the case of secure facilities, or the appropriate Regional Director and District Supervisor in the case of non-secure facilities.
2. A strip search may also be conducted at facility Levels I through IV on an individual basis where there is a reasonable cause to believe that a particular youth has a contraband article on his/her person and after a determination that a frisk search will not reveal the article. Such a strip search must have the prior approval of the facility director or acting facility director.
3. Strip searches at facility Levels V and VI can be conducted only with the prior approval of the appropriate district supervisor and regional director. Such approval can be granted only on an individual basis upon reasonable cause to believe that a particular youth has contraband on his/her person and after a determination that a frisk search will not reveal the article.
4. Strip searches must be conducted in an area or location which provides privacy and reasonable comfort and does not permit other residents and persons not involved in the search to observe the undressed resident. If the youth shall be undressed, a full length type garment such as a robe, gown or sheet shall be provided.

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E. Internal Body Searches - Guidelines

1. An internal body search shall be used only as a last resort after it has been determined that the frisk search and the strip search will not reveal the contraband article(s). Prior to such utilization, other methods of search should be explored to determine whether or not the youth has, in fact, concealed the contraband article(s) in a body cavity. The alternatives include (but may not be limited to) the metal detector and the X-ray. If these alternatives are determined to be safe, feasible and effective by appropriate medical personnel, the youth should be offered a choice.
2. An internal body search can be conducted only with the prior approval of the Deputy Director for Program Operations or his designee (after consultation with the D.F.Y. Office of Counsel), except where there is a clear medical emergency in which the resident's life or health is imminently threatened.
3. Before an internal body search is conducted a full explanation of the necessity of the search should be given to the resident.
4. An internal body search must be conducted only by licensed medical personnel including only a registered nurse, physician's assistant or physician. However, with the exception of the physician, female residents may be examined only by female medical personnel.
5. Internal body searches must be conducted in an area or location which provides privacy and reasonable comfort and does not permit other residents and persons not involved in the search to observe the undressed resident. If the youth shall be undressed, a full length type garment such as a robe, gown or sheet shall be provided.

3447-5

FACILITY SEARCHES

A. Overall Search

1. An overall search of a facility may be undertaken only after the facility director consults with the Director of the Secure Facilities Management Unit (SFMU) for secure facilities or the appropriate District Supervisor and Regional Director in the case of non-secure facilities and receives his authorization. The reason for this search must be clearly delineated by the facility director and should be directly related to the facility's safety, security, and operations.
2. When the overall search has been authorized, the facility director must ensure that it is carried out by designated personnel and under close supervision. It should be scheduled to minimize disruption of regular operations and accomplished in the shortest time possible.

Form OFY-1222 (Rev. 2/83)

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3. The findings of the overall search are to be documented and forwarded by the facility director to the Director of the SFMU in the case of secure facilities or the appropriate District Supervisor and Regional Director for non-secure facilities, and the Deputy Director for Program Operations within 72 hours.
- B. Area Search
1. An area search may be authorized by the facility director or acting director.
  2. Any search shall be conducted by designated personnel under close supervision, scheduled so as to minimize disruption of regular operations and completed within a reasonable time period.
  3. The findings and results of area searches shall be documented and reported to the director of the facility as soon as practicable, but certainly by the end of the shift.
- C. Room or Living Quarters Search. The room or living quarters of a resident may be searched by designated personnel in accordance with a directive issued by the facility director or designee. A search at any other time shall be made only when there are reasonable grounds to believe that contraband is contained in the living quarters; such search must be authorized by the facility director or his designee except when there are reasonable grounds to believe that a search is immediately necessary to prevent death, injury, or the destruction of contraband, the employee may conduct the search immediately, then notify the facility director or designee, and submit a written report explaining the urgency of the search and its results. Such written reports will be submitted as soon as practicable but no later than 24 hours after the search. The following guidelines must be observed:
1. (From 171.8, D.F.Y. Regulations): Whenever possible, a resident must be present during a search of his or her room, locker, and/or possessions. Whenever it is impossible for a resident to be present, the facility shall notify him or her in writing as soon as possible thereafter;
    - a. That a search has been made.
    - b. Of any article taken. (A receipt must be given to the resident --see 3447-6(A3))
  2. Prior to the search of living quarters, the resident may be given a "frisk" search. However, if there are reasonable grounds to believe the resident is in possession of drugs, money, or other contraband which is easily concealed in his person and may not be detected by a "frisk" the employee conducting the search, at the discretion of the facility director or acting director, shall "strip search" the resident.



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3. The search of a resident's living quarters shall be thorough and orderly. All State and personal property shall be examined carefully. Care is to be taken to avoid damage or destruction to property. Every effort shall be made to leave the living quarters in the same condition it was prior to inspection. If possible, items are to be returned to the approximate position in which they were found.
  4. If a resident's property is damaged, the employee conducting the search shall report the damage to his supervisor and the facility director as soon as practicable in writing, but not later than 24 hours from such occurrence.
- D. 1. Each facility search (overall, area, and room or living quarters) shall be recorded in the facility log. The record shall include:
- a. Name of the resident whose living quarters is searched.
  - b. Date and time of the search.
  - c. Names of staff conducting the search.
  - d. List of contraband found.
  - e. Name of supervisor authorizing the search.
  - f. List of any State or resident property damaged.
2. It is the duty of the unit or shift supervisor to periodically review these logs to determine that they are current and that searches are made in a timely and reasonable manner.

3447-6

GUIDELINES FOR THE HANDLING, SAFEGUARDING AND DISPOSITION OF CONTRABAND

## A. General Guidelines

1. All contraband articles found in the possession of residents shall be immediately confiscated.
2. All contraband articles discovered in the facility shall be properly identified and recorded as provided below.
3. All contraband articles discovered in the facility shall be listed on a report to the facility director. In those cases of contraband confiscated from a resident, the resident shall be given a copy of the report containing the list of confiscated contraband items or a receipt of the articles. It shall be clearly indicated in the report to whom the articles were given for safekeeping.

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4. All contraband articles discovered in the facility shall be turned over to the facility director or a designee specifically placed in charge of such articles.
5. If the contraband discovered in the facility is serious enough to warrant disciplinary action against a resident, specific mention must be made of the contraband in the behavior report.
6. Penal Law, Sections 205.20 and 205.25, makes illegal the promotion of contraband including the introduction, making, obtaining or possession of contraband.  
If the contraband (situation) is such that criminal charges may be brought against the resident or other persons, it is important that the evidence be carefully preserved (see "8" below). The facility's manager and the D.F.Y. Legal Unit must be immediately notified. A written report shall follow as soon as possible.

## 3. Preservation of Evidence

In the event that the Division desires to press criminal charges against a resident or other person for the promotion of contraband, it is essential that this contraband be preserved for possible use at a subsequent criminal proceeding. In order to introduce an item of contraband at a trial, the district attorney must be able to establish a chain of custody of that piece of contraband from its acquisition to the time it is introduced at the trial. This is necessary to establish that a particular item of contraband that is being introduced at a trial is the same one that was seized initially.

The following general guidelines should be utilized in safeguarding contraband acquired from a resident or other person charged with illegal promotion of contraband:

1. The number of people handling contraband must be restricted to as few as possible.
2. Once an item considered to be contraband is seized, the party seizing it must put an identification mark on the item, if possible, or place it in a sealed container and tag it with a description as to the time, manner and location surrounding the seizure.
3. The item of contraband should be physically carried to a central location within the facility, which location should be a locked area, or any other place where substitution and tampering with the item of contraband are unlikely.
4. A record must be kept of all transfers of custody of the item of contraband in question and any person to whom the property is transferred should initial and place the time of transfer and date of his or her reception on the container in which the item of contraband is being transmitted.

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5. A procedure should be developed with the local law enforcement agencies for the turning over of items of contraband seized by Division staff.
6. In appropriate cases involving situations in which a particular item of contraband is not seized in a place associated with only one resident or visitor, it is essential to safeguard the item of contraband for the purpose of preserving fingerprints or some other identifying data. With this in mind, staff should not touch or move an item of suspected contraband without taking into consideration the preservation of fingerprints or other identifying material. Use of surgical gloves, tweezers, pencils, etc..., should be considered in moving this type of contraband. In addition, some situations may warrant the taking of still photographs of a scene without moving or disturbing any articles present. It is suggested that each facility have a camera for this purpose.

## C. Disposition of Contraband

1. Articles, the possession of which is prohibited under any law applicable to the general public, shall be turned over to the police or district attorney in accordance with guidelines for safeguarding contraband. The facility shall obtain a receipt for all such articles.
2. Articles which eventually may be returned to the resident may either be sent or given to the appropriate relatives or returned to the resident at the appropriate time (i.e., release or discharge). When returned, the resident shall sign for them.
3. Articles which cannot be returned to the resident (i.e., hand-crafted weapons) shall be disposed of at the discretion of the facility director or designee. The disposition of such articles shall be duly recorded and witnessed.
4. In consultation with local law enforcement authorities, each facility shall develop procedures for the disposition of contraband in accordance with these guidelines. These procedures shall be included in the facility manual.

3447-7

PACKAGES AND MAIL

- A. All packages for the residents are subject to inspection. A staff member may open the package in the presence of the resident and carefully inspect it. Items may be dismantled if contraband is suspected. Suspicious packages which cannot be dismantled without doing damage to the item may be withheld from the resident.

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8. If the delivery of contraband is suspected, the facility may require the resident to open mail in the presence of a staff member.
- C. If it is suspected that contraband may be hidden underneath postage stamps or packaging, such stamps or packaging may be reasonably removed in an effort to locate the contraband.

3447-8

VISITORS AND CONTRABAND

All visits within secure facilities shall be under the strict supervision of staff. Visitors are subject to the following procedures:

1. An electronic detection search.
2. The visual examination of visitor's personal belongings including, but not limited to, that contained in packets, handbags or brief cases. A record of gifts, food, packages, envelopes and like items will be maintained. Items may be required to be opened in front of staff to permit visual inspection and, if necessary, manual inspection. For reasonable cause, and with consent, such items may be disassembled or probed in front of the resident without damaging or destroying the item.
3. Any visitor suspected of having contraband may be ordered to leave the facility. Visitors discovered with contraband in their possession or exchanging contraband with residents may be denied future visitation privileges.
4. Any visitor found to have contraband and who refuses to surrender it to staff should not be permitted to enter or remain in the facility. However, no attempt should be made to forcibly confiscate the contraband.
5. Although staff should not attempt to detain or arrest a visitor for possessing illegal contraband, the appropriate police agency should be promptly notified. It would be advisable to discuss this issue in advance with the police agency having jurisdiction over the facility so that proper channels of communication can be agreed upon. In all such instances where the police are notified, the facility shall immediately notify the SFMU for secure facilities or the appropriate District Supervisor and Regional Director for non-secure facilities and submit a report of the incident to the SFMU or the appropriate District Supervisor and Regional Director.

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3447-9

STAFF AND CONTRABAND

Under the following circumstances staff may be subject to disciplinary procedures and possible prosecution:

1. Providing (selling or giving) contraband to residents.
2. Receiving contraband articles from residents and failing to report such.
3. Knowledge of contraband in the possession of residents and failure to report such.

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3424-1 DEFINITION

As used in this section, the term "mechanical restraint" shall mean handcuffs, footcuffs and transfer belts. (No other type of mechanical restraint is authorized for use by Division personnel.)

3424-2 CIRCUMSTANCES UNDER WHICH THE USE OF MECHANICAL RESTRAINTS MAY BE NECESSARY

- A. The youth is uncontrollable, to the extent that he constitutes a serious and evident danger to himself or others and, in the judgment of staff, there will be a sustained need for control. (up to 30 minutes except in the case of vehicular transportation)
- B. The youth is damaging or destroying property, will not desist when asked to do so, and in the judgment of staff, there will be a sustained need for control. (up to 30 minutes except in the case of vehicular transportation)
- C. The youth is absconding and refuses to desist when ordered to do so or he has absconded and upon confrontation refuses to return and in the judgment of staff there is a sustained need for control. (up to 30 minutes except in the case of vehicular transportation)
- D. A youth adjudicated a juvenile delinquent is being transported to or from a facility, and in the judgment of staff mechanical restraints are necessary for public safety.

3424-3 STEPS TO BE TAKEN WHEN FACED WITH THE POSSIBLE NEED FOR MECHANICAL RESTRAINTS

- A. Get prior approval whenever possible. DFY staff must exercise judgment on the immediacy of the need to use a mechanical restraint. It is recognized that prior approval cannot always be obtained. However, whenever possible, staff should consult with their supervisor before using a mechanical restraint.

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- B. DFY staff must report the use of mechanical restraint to their supervisor or facility director as soon as possible after the youth is secured and under control. The report may initially be verbal but must be followed up as soon as possible with a written "Incident Report" which includes details on the use of the restraint.
- C. The facility director, upon review of the "Incident Report", shall determine the need for any further followup action, including the possibility of a report to the program manager.
- D. In any event, a record shall be maintained by the facility of each instance in which a mechanical restraint was used. The record shall include the following information: name of youth, date, type of mechanical restraint used, names of staff authorizing and/or applying the restraint and length of time the restraint was used. A copy of the "Incident Report" described in B. above should be attached.

## 3424-4

PROHIBITIONS AND LIMITATIONS

- A. Handcuffs, footcuffs and transfer belts are the only types of mechanical restraints authorized for use by Division personnel. The use of straight jackets or any other type of mechanical restraint not specifically authorized above is prohibited.
- B. Per DFY policy and McRedmond Stipulation, the use of mechanical restraints on youth adjudicated as Persons-In-Need-of-Supervision is prohibited.
- C. Except in the case of vehicular transportation, mechanical restraints should be removed as soon as the youth is controllable but shall be removed after 30 minutes.
- D. Mechanical restraints may be used beyond one-half hour only in the case of vehicular transportation where such utilization of mechanical restraints is necessary for public safety. These should be removed promptly upon arrival unless there is a demonstrable need for continued use up to 30 minutes after arrival.
- E. If restraints are placed on a youth's hands and feet, the hand and foot restraints are not to be joined.
- F. When in restraints, a youth may not be attached to another youth or to any furniture or fixture in the room.

G.4.12 Control of and Search for Contraband; Guidelines  
for Conducting Body Searches and Special Searches

G.4.12.1 Introduction and Statement of Department Policy

It is the Department's objective and responsibility to maintain a balance between its mission to provide child care services and to provide a safe and secure facility.

No staff member shall enter into any transaction with, nor convey, carry or make accessible to any juvenile within Spofford Juvenile Center any narcotic, intoxicant or other contraband article, nor engage in traffic with a juvenile, visitor or other staff person in any manner.

The search of a dormitory and a resident's person is an accepted and sound correctional practice in a secure facility. It is also a necessary element in contraband control. The most effective method of controlling contraband is through systematic, effective, and proper search procedures.

Residents of Spofford Juvenile Center must be searched and examined when they are admitted to the facility since each new admission is a potential carrier of contraband. Searches shall also be conducted periodically when there is reasonable cause to believe that a resident has concealed contraband on or in the body. The conducting of body and dormitory searches is to be assessed in light of the institutional needs of security, order, contraband control, and the recovery of missing or stolen property. The security of the facility and the safety and welfare of residents and staff can only be assured when this occurs.

Uniform guidelines must be followed and adhered to by all staff in the conducting of body searches on residents and searches of dormitories. The Department has a responsibility to protect the safety of its residents and staff as well as to assure the resident's right to be treated in a humane and dignified manner. Every effort must be made to avoid undue or unnecessary force, embarrassment or indignity to the individual in conducting searches. In the process, the Department must safeguard and respect a resident's rights in property owned or under his/her control and not violate the resident's constitutional rights.

In all instances in which contraband is discovered, a Critical Incident Report must be completed. (See section G.11).

G.4.12.2 Definition - Contraband

Any item that is not issued or not authorized in the facility is contraband. Contraband includes those articles:

- The possession of which is prohibited under any law applicable to the general public

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- Which are readily capable of being used to cause death or serious physical injury, including but not limited to, hand guns, shoulder guns, cartridges, knives, explosives, dangerous drugs, fingernail files, wire, razor blades.
- Which are prohibited by the regulations of the Department or the rules of the facility. (i.e. money, jewelry, pornographic material).

Control of contraband is necessary for several reasons:

- To control the introduction of articles that can be used for trading, gambling or power control
- To control the collecting of articles and the accumulation of items that make housekeeping difficult
- To identify medication and drugs and items that can be used as weapons and escape implements.

Controlling contraband requires a clear understanding of what constitutes contraband, the regulations that are designed to limit its entry into the facility and the effective search procedures for the detection of contraband. In addition, the possession of contraband by residents poses a problem to the safety, security and good order of the facility because contraband may be used as a source of power to manipulate other residents. The limitation of contraband facilitates maintenance of control and safety since some contraband is inherently dangerous to institutional security (e.g. weapons).

The Department believes that this broad and clear definition, followed by the use of common sense by trained staff, will result in better control and less conflict over what is or is not contraband.

#### G.4.12.3 Body Searches

The purpose of a body search is to determine whether a resident has concealed contraband on or in the body. There are three types of body searches:

- a "pat frisk search"
- a "strip search"
- -an "internal body cavity search"

All body searches shall be conducted only to search for contraband. They shall not be conducted to punish, harass, or embarrass the resident. In all instances, staff shall avoid the use of excessive force in conducting body searches and shall strive to preserve the comfort and dignity of the resident being searched.

In general, the following rules should be observed by juvenile counselors in searching residents:

- Be systematic. Begin in one place and proceed in an orderly manner.
- Conduct a good search each time. A poorly conducted search can be worse than none at all.
- Do not conduct the search where it can be observed. Take the resident aside, at least out of the traffic pattern, and if at all possible, do not conduct the search in front of other residents and staff.

#### G.4.12.4 Pat Frisk Search Definition

A pat frisk search consists of physically searching a resident by patting down his clothing. The resident may be required to remove his/her outer clothing such as a coat, hat and shoes. A pat frisk does not require the actual search of a body cavity.

A pat frisk shall be conducted on residents under the following circumstances:

- Prior to and return from visits
- Return from the dining room
- Return from a recreation area
- Any other time when there is reasonable cause to believe that a resident may be in possession of contraband.

#### Guidelines for Conducting a "Pat Frisk" Search

The following method shall be followed for conducting the pat frisk search:

- The resident shall be asked to empty his/her pockets and place the items on a table at some distance from the spot where the frisk is to be conducted.
- The resident shall stand with his/her feet apart and arms extended from his/her sides.
- The counselor shall begin the search by running his/her fingers along the outside and inside of the resident's collar and feeling for any hidden items such as wire, small hacksaw blades, paper, etc.
- The counselor shall then proceed downward, running his/her hands over the shoulders and down the arms to the shirt cuffs, up under the arms

and under the armpits, and down the shirt front, checking the pocket and ending up at the front of the resident's beltline.

- The belt shall be loose and the counselor shall check the belt and trousers by running his or her hands around the residents' waist.
- The counselor will then proceed down the buttocks to one leg using both hands to check each leg. Particular attention should be paid to the cuffs of the pants.
- The counselor will then proceed to the other leg and the abdomen.
- The crotch shall also be checked at the time the legs and upper thighs are being searched.
- The mouth, nose, and ears shall also be visually inspected.

Staff often are reluctant to search the genital area of a resident. It is very easy for items of contraband to be concealed in this area by taping them to the abdomen or suspending them from the waist down around the crotch. In some instances, it is easy to conceal weapons such as a knife in a shoe. Shoes do not need to be searched during a frisk unless the counselor feels that a resident is acting suspiciously. After the pat frisk is completed, the personal items from the resident's pockets shall be examined and then returned if nothing unusual is noted.

#### G.4.12.5 Strip Search Definition

A strip search consists of having a resident remove all of his/her clothing. The removed clothing is carefully inspected and the body is visually inspected without probing any of the body cavities.

A strip search of residents shall be conducted in, but not limited to, the following circumstances:

- For all new admissions to Spofford
- For any resident returning to Spofford after having left the confines of the facility and/or the jurisdiction of the Department
- For any residents going to and returning from visits, court, a hospital, and outside medical care or consultation
- Whenever there is reasonable cause to believe the resident is in possession of contraband that may not be detected by a pat frisk

#### Guidelines for Conducting a Strip Search

A strip search shall be performed in a manner that is least degrading to all parties concerned. Strip searches shall be made in an area or location which provides privacy and does not permit other persons, including residents, not involved in the search to observe the undressed resident.

Except in the above mentioned circumstances warranting a strip search, a juvenile counselor may conduct a strip search only with the authorization of a supervisor. If this is not possible, due to the urgency of the situation, the juvenile counselor may examine the resident and then submit a report to the supervisor detailing the search. This report shall state the reason for the search, the findings of the search and justifications for conducting the search without first obtaining authorization from a supervisor.

The following thorough and systematic method for conducting a strip search shall be followed:

- The counselor should begin with the resident's head, running his/her fingers through the resident's hair or using a large-toothed comb.
- The ears, mouth and nose shall then be examined.
- The counselor shall examine the torso for any tape or bandages that may conceal contraband or injuries.
- The pubic area shall then be examined.
- The resident shall next be ordered to turn around, bend over, and spread his or her buttocks so that the rectum can be visually examined.

The above search procedure is a basic strip search that can be used for males and females. All such searches shall be conducted by members of the same sex as the residents being searched.

#### G.4.12.6 Internal Body Cavity Search

##### Definition

An internal body cavity search is defined as the close manual or tactile examination of any body cavity into which objects may be placed for the purpose of concealment. Such body cavities include the mouth, nostrils, ears, navel, vagina and anus.

An internal body cavity search shall be conducted only as a last resort whenever there is reasonable cause to believe that a resident is concealing contraband and a frisk search and strip search will not reveal the contraband articles.

### Guidelines for Conducting Internal Body Cavity Search

Prior to conducting an internal body cavity search, other methods of detecting contraband articles shall be explored to determine whether the resident has concealed contraband. This shall include, but not be limited to, the use of a metal detector and x-ray. If these alternatives are determined to be safe, feasible and effective by appropriate medical personnel, the resident shall be offered a choice.

An internal body cavity search for contraband must be authorized by the Executive Director or Associate Executive Director for Programs or designee (e.g. Administrative Person on Call) after consultation with the Officer of the Day. Before such a search is conducted, the Officer of the Day shall give the resident a full explanation of the necessity of the search.

An internal body cavity search shall be conducted only by licensed medical personnel which includes a physician, physician's assistant or registered nurse. They shall be of the same gender as the resident whenever possible. However, an appropriate female staff member (juvenile counselor) must be present when a female resident is being searched by a male medical person. In addition, no other personnel shall be allowed at this examination except a juvenile counselor and/or supervisor for security purposes. The counselor and/or supervisor shall be of the same gender as the resident.

Internal body cavity searches shall be conducted in absolute privacy in the most dignified and least obtrusive manner. Residents and staff not involved in the search shall not be permitted in the area to observe the undressed resident.

Whenever it is necessary to conduct an internal body cavity search, a Body Cavity Search Report must be completed by the Officer of the Day. The report, (attached at the end of this section), shall include:

- The date and time of the search
- The name of the resident subjected to the search
- The specific reasons and circumstances for authorizing and conducting the search
- The name of the person authorizing the search
- The location of the search
- The names of staff conducting the search
- A record of the findings of the search (including itemization of contraband)
- Any other information related to the search.

The Officer of the Day and the medical personnel involved shall sign the form to verify the entries. A copy of the completed report shall be given to the Unit Director and the resident. The original shall be sent to the Executive Director and kept on file in his or her office. If contraband is found, a copy of the report shall be sent to the Director of Security.

### G.4.12.7 Special Search Teams

#### Introduction

The purpose and role of the Special Search Team is to conduct immediate random searches at a minimum of once a week at randomly selected times and if there is a suspicion of contraband in any of the dormitories and any other areas which affect the safety, security and operation of the institution. Special searches shall be conducted on both the AM and PM tours, scheduled to minimize disruption of regular operations and accomplished in the shortest time possible. Special searches will not typically occur on the night tour due to the skeleton staff on duty at night. In certain situations, however, special searches may be conducted during the night tour if there is reasonable cause to believe that such a search is warranted. Searches shall be initiated only at the request of the Commissioner, Deputy Commissioner for Operations, Inspector General, Executive Director, Associate Executive Directors, Director of Security and Officer of the Day.

The Special Search Team shall operate under the direction of the Director of Security. Special Search Teams will be composed of juvenile counselors and Special Officers. While each group shall work separately, they shall be considered as one team, working in conjunction with one another under close supervision.

#### Supervision of Searches

During each search, a supervisor (senior juvenile counselor) from the unit is to be present to insure that supervisory staff are aware of what contraband and security breaches have been found on the dorm.

#### Institutional Search Log Book

An Institutional Search Log Book shall be kept by the Director of Security as a permanent record of all search team inspections. This record will show the following information.

- Date and time of search
- Person requesting the search
- Area searched



- Supervisor of the search
- Special Officers and juvenile counselors assigned and areas searched by these people
- Contraband found, where and by whom
- Action taken
- Date report was forwarded to Executive Director

#### Dormitory Searches

Prior to special searches, the supervisor of the Special Officers must be notified at least fifteen (15) minutes in advance in order to provide adequate security coverage of all security posts. Juvenile counselors assigned to the dormitories being searched shall be instructed (no more than five (5) minutes before the search begins) to move residents from the area to which they are currently assigned to a designated searching area. Once the residents have been moved to the designated areas, they are to be placed individually in rooms and strip-searched by the juvenile counselors. Simultaneously, the Special Officers will conduct a complete search of the vacated dormitory, log all contraband, and identify on the Special Search Report the areas in which contraband is found. A copy of this form is attached at the end of this section.

In addition to the log entries, the Special Search Report shall be prepared in quadruplicate and signed by the lead Special Officer and the senior juvenile counselor. Copies are to be sent to the Executive Director, the Director of Security, Officer of the Day and Unit Director.

#### Guidelines for Conducting Room Searches

Proper security procedures and well-conducted searches of residents will reduce the amount of contraband in the facility. However, dormitory rooms must be searched for contraband that has been missed or brought into the facility.

The following procedure shall be adhered to in searching a dormitory room and surrounding area:

- Strip the bed of blankets, covers and sheets and examine them for small pockets sewed on them or for items pinned to them.
- Examine the seams of the mattress to see if they have been ripped open and re sewed.
- Look for cuts that have been made in any part of the mattress and run hands over both sides of the mattress to feel for hard objects.

- Look under chairs, stools, and tables for things that have been stuck there and also at the bottom of chair and table legs for holes that have been carved.
- Examine all books and boxes carefully for false bottoms and compartments.
- Personal letters and papers should be taken out of envelopes, examined for contraband then replaced.
- Check toilet bowls, floor drains and faucets in the bathroom for concealed contraband.

See Contraband Search Checklist at the end of this section for additional information.

In general, when searching rooms, there are several rules to follow:

- Be systematic. Search in an orderly manner. There are many potential hiding places in a room, and if the search is not orderly, it will not be thorough. Begin in one spot in the room and work around and back to it.
- Leave the room in its original condition. If the resident has left his/her room neat, he or she should expect to find it in the same condition after the search.
- Always move residents out of the area to be searched.
- List all contraband items discovered on the Special Search Report and state where they were found.

The senior juvenile counselor shall remain on the dorm to make certain that the search of the dormitory and residents' room are conducted in an orderly and thorough manner. All resident's personal property and all Department property shall be examined carefully and objectively. Special Officers shall take care to avoid damage or destruction to the property. The resident's property shall be moved only to the extent necessary to facilitate the search.

At the end of the search, every effort shall be made to leave the area in the same condition as it was prior to the search. Whenever possible, items shall be returned to the same position. All bedding that has been stripped from an already made-up bed shall be neatly folded and placed at the foot of the bed.

At the conclusion of the Special Search, the lead Special Officer shall sign in the dormitory log book indicating that the dorm has been completely searched. Senior juvenile counselors shall also sign the log book attesting that all residents were strip-searched all contraband was logged, bagged and tagged and turned over to the Officer of the Day for disposition. In addition, the senior juvenile counselor shall enter the following information in the dormitory log book:

- Date and time of search
- Names of counselors and Special Officers conducting the search
- List of contraband found and the location
- List of resident and/or Department property damaged.

#### G.4.12.8 Disposition of Contraband Found

Money and/or jewelry shall be turned over to Admissions to be placed in the safe. A receipt shall be given to the resident for retrieval of his/her belongings upon release from Spofford

Drugs, weapons and instruments of any kind (fingernail files, wire, knives, blades, etc.) shall be turned over to the Director of Security (or Officer of the Day if the Director of security is not available) with the Special Search Report and/or the Body Cavity Search Report for appropriate action. The Officer of the Day will make certain that the Director of Security receives all contraband found. A copy of these reports shall be placed in the resident's file.

If the contraband is drugs, depending upon the amount and type of drug, it is destroyed or turned over to the Police Department.

Weapons are kept in a safe by the Director of Security for a certain amount of time according to the circumstances and then either destroyed or, in the case of a gun, turned over to the Police Department.

Pornographic material shall be turned over to the Director of Social Service for appropriate action.

## HYCF POLICY AND PROCEDURE

### CONTROL OF DANGEROUS SUBSTANCES

1. All drugs, poisons, and dangerous or toxic liquid and materials including paint and gasoline shall be kept under lock and key in a safe place; and keys to these locks shall be entrusted to designated employees only. The following employees are designated as keyholders and shall dispense the dangerous substances and keep a running inventory:
  - a. Nurse - Dispensary.
  - b. Maintenance Foreman - Maintenance Storeroom and Shop.
  - c. Auto Mechanic - Auto Shop Gas Pump.
  - d. Dentist - Dental Office.
  - e. Principal - Olomana School.
  - f. Horticulture Teacher - Nursery.
  - g. Livestock Foreman - Barn.
  - h. Sewing Instructor - Arts and Craft Room.
  - i. Storekeeper - Property and Supply Storeroom.
  - j. Secretary - Administration Office Supply Room.
  - k. Cottages - All Correctional Workers.
2. All dangerous substances will be issued only upon receipt of Form A-2-A, "Requisition for Stores," in duplicate. One copy will be returned to the requisitioner when the order is filled and the other will be kept for inventory control.
3. A perpetual inventory of all dangerous substances will be kept by the designated employee.
4. No dangerous substance will be stored in the Commissary or in any kitchen.
5. All dangerous substances issued will be used immediately. Unused substances will be returned to the issuing employee for storage. Gasoline in containers used for power mowers shall be closely checked and stored.

6. The wards will be given only that quantity sufficient for the immediate purpose, and the dangerous substance shall be used only under the careful supervision of employees. At no time shall a ward be permitted to handle them from the storage area.
7. Control of Drugs and Medications:
  - a. All drugs and medications shall be securely controlled under lock at the dispensary. The nurse shall maintain control of the key. Only the ward being treated will be allowed in the dispensary.
  - b. The dentist shall store all drugs and hypodermic needles in a locked cabinet. Large quantities of needles and novocaine shall be kept away from his office. Quantities sufficient for immediate purposes only shall be taken into the dental office. Used needles shall be removed by the dentist for disposal outside the Facility.
  - c. All cottages will keep medication and drugs, plainly labeled by the nurse, in a securely locked cabinet in their office cupboard. Cottage correctional workers will make sure that the ward to whom the drug or medication is issued uses it in their presence.
8. Wards' Movements:
  - a. Wards will be admitted one at a time into the dentist's office, the dispensary and the cottage office for treatment.
  - b. Wards awaiting treatment will remain outside under supervision.
9. Notification:

Whenever a dangerous substance is found missing, all personnel shall be alerted and such information be made known to the Superintendent immediately.

Whenever a dangerous substance is found, the Superintendent shall be notified immediately.

# MINNESOTA CORRECTIONAL FACILITY - RED WING

## POLICY & PROCEDURE

Part 2  
Program and Educational Services

2-209.1  
July, 1983

### USE OF RESTRAINT

#### POLICY

2-209.1

Situations may occur at the MCF-RW where it is determined that an individual(s) is "out of control" and the "use of force" is necessary to restore order. For these purposes "out of control" is defined as behavior that is exhibited with utter disregard for one's own safety, or for the safety of others, indiscriminate destruction of property and/or unreasoned acts which may harm one's self or another, and "use of force" is limited to that needed to move or restrain a resident in order to restore control when verbal persuasion has been unsuccessful.

Except as a routine security precaution for transportation purposes, instruments of restraint will be applied only with the approval of the On-Duty Administrator.

Whenever it is necessary to use physical and/or mechanical restraints, a staff member will visually observe the resident until the restraints is no longer necessary.

When it has been determined that it is necessary to overpower and physically restrain an individual, the staff and/or residents will do so only with the minimum amount of force necessary. Once a person has been subdued, all aggressive action on the part of the staff and/or residents must cease and no more restraining action than needed is to be used. Weapons, mace, or other chemicals will not be used, and physical actions such as kicking, slapping, and hitting will not be allowed. In addition, mechanical restraints, such as handcuffs, leg irons, and belts will never be applied as punishment.

If residents are used to assist in the restraining of another individual, they will do so only if there is constant staff supervision to prevent accidental or intentional injury, and then only to the extent necessary to control the individual. At no time will excessive force be allowed.

Every effort should be made to prevent situations which would result in the use of restraint by staff and/or residents. Staff efforts should be directed toward the use of preventive techniques as opposed to "crisis intervention." In order to do this, it is important for the staff to know the individuals and their behavior patterns, to be familiar with the group, to be aware of a variety of alternatives that are available, and to have a knowledge of techniques which have proven

Use of Restraint  
continued

2-209.1 effective in the past.

When situations do arise that require the use of either physical or mechanical restraint, it is important for the staff to maintain their professionalism at all times and to avoid acting on impulse and emotions. It is necessary for the staff to remain calm and objective, to deal with issues based on facts, and to make no promises or threats.

Physical and/or mechanical restraints will be used only when necessary to:

1. prevent a resident from injuring himself
2. prevent a resident from injuring others
3. prevent a resident from destroying property
4. prevent an escape

PROCEDURE

2-209.1 When it becomes necessary to control an individual through the use of restraint, the staff have three options available to them:

1. the use of physical restraint by individuals
2. the use of mechanical restraints (handcuffs, leg irons, security belt)
3. the use of the security unit

Physical Restraint - The staff and/or residents will physically hold an individual until such time as he will control his actions and not hurt himself or anyone else. Physical restraint should be used initially as the method of gaining control and should be used only in situations where control can be gained within a short period of time.

When physical restraint is used, the following guidelines will be followed:

1. physical restraint will be used only to reestablish control and will not be used as punishment.
2. physical restraint will be used only for the minimum amount of time needed to control the individual
3. at no time will excessive force be allowed when restraining an individual

Use of Restraint  
continued

2-209.1 4. if residents are involved in restraining another individual, they will be constantly supervised by staff

5. the staff will submit an incident report to the Program Director prior to the end of the shift. The incident report will include the facts and circumstances surrounding the incident.

Mechanical Restraints - Mechanical restraints (handcuffs, leg irons, and security belts) will be used when control of an individual cannot be obtained through the use of physical restraint, and when it is determined by staff, that control can be gained within a short period of time without placement in the security unit.

When mechanical restraints are used, the following procedure will be used:

1. except as a routine security precaution for transportation purposes, the staff member will contact the On-Duty Administrator for approval prior to the use of mechanical restraints. In emergency situations, the staff member will contact the On-Duty Administrator for approval coincidental to the use of mechanical restraints.
2. the staff will apply the restraints to the individual using the minimum amount of force necessary. Residents of MCF-RW will not apply the instruments of restraint. This will be done only by staff trained in the correct usage of them.
3. If the restraints are used over one hour, the cottage staff will again contact the On-Duty Administrator to discuss the situation and determine what action, if any, should be taken.
4. restraints will be used only for the amount of time needed to gain control and as soon as it is determined that the restraints are no longer necessary, they will be removed from the individual.
5. The staff placing the resident in restraints will submit an incident report to the Program Director. The report will include the resident's name, the circumstances surrounding the incident, the time the restraints were placed on and taken off, and any other action taken.

Placement of a Resident in the Security Unit - When the staff determines that a resident cannot be controlled by the use of physical and/or mechanical restraints within a short period of time, and without injury to himself or others, the individual will be placed in the security unit.

Use of Restraint  
continued

2-209.1 When it has been determined that a resident will be placed in the security unit, the following procedure will be used:

1. if a resident is out of control and is to be placed in the security unit, a staff member must be present during the transporting.
2. mechanical restraints may be applied when necessary to prevent any injury during the transfer to the security unit.
3. staff will place the resident in the security unit in accordance with the established "Detention and Security Services" procedure.

7/12/93  
Date

James W. Rosten  
Chief Executive Officer

**SAMPLE POLICIES**

**5. SPECIAL INCIDENTS / EMERGENCIES**

New York State - Division For Youth  
POLICY MANUAL

Title: Emergency Services	Date: 9/1/83	Page: 1 of 5	Item Number: 3243.26
Enabling Law(s):	Contact Unit: Office of Health Services		
Supporting Regulation(s):	Supersedes:		
Compliance Standard(s): 2-9253	Approved By: <i>Gerard J. Runtz</i> Director		
DFY Policy(ies) Affected: Critical Incident			
Key Words: (1) Health (2) Critical Incidents			
(3) Management (4) (5) (6)			

## SUMMARY: (No more than 25 words)

This item describes written plans, staff training, reporting requirements and general procedural guidelines for handling health emergencies.

TABLE OF CONTENTS

- A. Introduction
- B. Definitions
- C. Examples of Medical Emergencies
- D. Emergency Services
- E. Emergency Phone Numbers
- F. Emergency Training
- G. Emergency Reporting
- H. Responsibilities of administrator on call

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

Title:	Date:	Page:	Item No.:
Emergency Services	9/1/83	2 of 5	3243.26

A. INTRODUCTION

The need for emergency medical, dentist and psychological services cannot be predicted so it is essential that staff react quickly and appropriately during an emergency situation. Procedures shall be developed and emphasized at the facility that respond to various emergency situations and specify steps to be taken to secure necessary emergency services.

B. DEFINITIONS

A medical emergency is defined as any condition that creates severe discomfort or may result in loss of life, or serious or permanent injury.

This term shall include dental and psychiatric problems as well as the more common physical ones.

C. EXAMPLES OF MEDICAL EMERGENCIES

No list will be all-inclusive, but following are some examples of the type of occurrence which would be defined as a medical emergency:

- Anytime a person is apparently unconscious.
- An airway obstruction.
- Any injury that results in bleeding that first aid measures (pressure, elevation, etc.) cannot stop promptly.
- The ingestion of an unknown substance.
- Apparent or suspected broken bone(s), possible torn muscle/ligament, or severe sprain causing extreme pain and marked difficulty of movement.

When in doubt whether an emergency is a life threatening situation, staff should err on the side of caution and act as if it is.

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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D. EMERGENCY SERVICES

Each facility shall have written emergency back-up plans which will be communicated to all employees. Such plans will include:

- (1) Arrangements for the emergency evacuation of the resident from the facility.
- (2) Arrangements for the use of one or more designated hospital emergency rooms or other appropriate health facilities.
- (3) Arrangements for the use of an emergency medical vehicle.
- (4) Arrangements for on-call by facility nurses and physician's.
- (5) Arrangements for emergency on-call physician and dental services when the emergency health facility is not located in a nearby community.

E. EMERGENCY PHONE NUMBERS

All personnel shall be instructed and provided with numbers to call for emergency assistance. Staff should also know the location of and establish contact with the local hospital for emergency treatment. Phone numbers to be provided include:

- (1) Community ambulance, Fire Department or local Rescue Squad
- (2) Hospital Emergency Room
- (3) Poison Control Center
- (4) Medical assistance
- (5) Dental assistance
- (6) Mental Health assistance

F. EMERGENCY TRAINING

Facility personnel shall be trained in the implementation of emergency procedures. Written procedures and training of staff will incorporate the following steps:

- (1) Awareness of potential emergency situations.
- (2) Notification of observation--determination that an emergency is in progress.
- (3) Call for help, and
- (4) Transfer to appropriate medical provider.

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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G. EMERGENCY REPORTING

A medical emergency shall be treated as a critical incident, and the procedures outlined in PPM 3429 shall be followed.

In addition to these procedures, a copy of the critical incident report (Form DFY-2004) shall be sent the following working day to the Office of Health Services. This report shall specify the name of the youngster, the time, place and circumstances of the emergency, what treatment was received, and the name and telephone number of the health care provider.

H. RESPONSIBILITIES OF ADMINISTRATOR ON CALL

When notified of a medical emergency, the administrator on call shall determine whether he/she should return to the facility; if superiors should be notified; whether the situation is serious enough to notify the parent(s)/guardian(s), and whether sufficient staff are on hand at the facility, to ensure its safe operation while the youth is being transported to the hospital, if such is required.

PROCEDURAL GUIDELINES

If medical personnel are not on duty, the senior person at the facility shall make the determination that a medical/dental emergency exists. Upon determining that such a emergency exists, the staff involved shall do the following:

(1) Life Threatening Emergencies.

- (a) **REMAIN CALM.** The first action is to determine if this is a life threatening emergency or not. A life threatening emergency is one where the absence or delay of treatment may result in death or permanent disability. Examples include: youth apparently unconscious, with difficult or no breathing, severe or continuous blood loss, symptoms of shock (pale for caucasians, yellow-brown color for brown-skinned youth, ashen-grey for dark-skinned youth), ingestion of poisons or harmful chemicals. Move victims immediately ONLY in instances where failure to rescue would lead to loss of life- i.e., remove from water, from fire, from smoke or noxious fumes, etc. Fractures are not routinely life-threatening (though painful), but may lead to shock, or blood loss or infection if there are open wounds.
- (b) If first on the scene and first-aid qualified, administer first-aid while yelling loudly for someone to help who can phone to activate the Emergency Medical System (EMS) - i.e., getting an ambulance or other medical help on the way.

New York State Division For Youth-POLICY MANUAL CONTINUATION SHEET

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- (c) If first on the scene and NOT first-aid trained, yell loudly for help in case a first-aid qualified person might respond, and then quickly phone for an ambulance or other medical help. Then, call for immediate medical advice from the designated hospital emergency room.
- (d) In all instances, callers should NEVER HANG UP FIRST in case the medical personnel have further questions or advice. Describe the injury in as much detail as possible and ask for instructions, being sure to give the location of the injured or sick.
- (e) When it is possible, a call should be placed to the medical staff on call and to the administrator on call to apprise them of the situation. Instructions from either are to be adhered to unless to do so would, in the opinion of the senior staff on the scene, cause imminent danger to the safety or security of staff or residents.

(2) Non-Life Threatening Emergencies

- (a) First Aid should be given, as appropriate.
- (b) If the situation is NOT life threatening, the senior staff shall make a determination whether it is possible to contact a medical person prior to calling an ambulance or transporting the injured person in the facility station wagon to an emergency room. As a matter of guidance try to contact medical assistance before moving the individual.
- (c) The injured person should be made as comfortable as medically advisable until a determination is made whether he or she needs emergency medical care or not. If facility medical staff or senior staff on duty (if there are no medical staff in the facility) feel the injured person should be taken to the hospital, he/she shall be transported in the facility vehicle.

(3) In All Emergency Cases

- (a) Take appropriate security measures. Appropriate staff must stay with the youth at all times in the ambulance and in the hospital emergency room. If a decision is made to admit the youth to the hospital, and the youngster is from secure program, a staff person will remain with him or her at all times. For youth from other program levels the need for staff supervision will be evaluated on a case-by-case basis.
- (b) As soon as possible, a critical incident report must be filled out, a summary of the details reported in the facility log, and the youth's parent(s)/guardian(s) contacted appropriately.



**CONTINUED**

**1 OF 2**

## G.6 FIRE EMERGENCIES

### G.6.1 Introduction

The major considerations in the case of fire are:

- To ensure the safety of all persons within the facility
- To maintain security within the facility
- To minimize damage to property

All City agencies must establish a fire safety plan which must include: an evacuation plan that is posted on each floor of the location, the installation of a fire alarm system, and designation of specific personnel to administer the plan.

The City Fire Commissioner is empowered to require and compel the regular and periodic performance of fire drills. This includes instruction and practice in the use and means of evacuation alarm systems, and fire prevention or extinguishing methods and equipment.

A fire drill is the method and practice of the systematic, safe and orderly evacuation of an area or building by its occupants in the least possible time to a safe area by the nearest means of egress. It also involves the use of such available fire appliances (including sounding of alarms) as may have been provided for controlling or extinguishing fire and safeguarding human life.

The purpose of fire drills is to instruct in the prompt reporting of fires and the immediate initiation of fire safety procedures.

The Executive Director or his designee shall be responsible for the development and maintenance of a written Fire Safety Plan outlining authority, responsibilities, supervision, rules, procedures and training. Such plan shall include emergency instruction charts which outline duties to be performed on specific floors. It shall be updated periodically.

The Officer of the Day (O.D.) shall designate personnel on each working tour to provide continuous coverage and perform the duties concerned with fire drills and evacuation procedures, as outlined in the Plan.

Such personnel shall receive continuing fire safety training.

#### G.6.2 Reporting a Fire

Any staff member having knowledge of a fire, or an excessive smoke condition in progress within the building or its perimeter (including the three (3) yards and parking lot), is to immediately notify the Officer of the Day (O.D.) via Operations.

The person must be given as much information about the fire as is known, (e.g., exact location, how it started (if known), when first observed, and the apparent extent of the fire -- whether localized to one area or involving several sites).

The O.D. will notify the Security staff, restating the information reported about the fire. An immediate on-site assessment of the fire is to be made by the O.D. and representative of Security to determine whether additional help from the Fire Department should be elicited, and whether local evacuation (of the area) or general evacuation (of the building) is indicated.

If the situation warrants, the O.D. places a call to the Fire Department requesting its assistance and notifies the Executive Director and other appropriate staff in order to prepare for the Fire Department's entrance into the facility.

Note: All occurrences of fires within Spofford, whether major or minor, must be telephoned to the Fire Department by the O.D. This includes fires which are extinguished without the Fire Department's assistance. A Critical Incident Report must be completed by the staff member.

#### G.6.3 Responsibilities of Designated Fire Prevention Personnel

Employees designated as fire prevention personnel are to be trained in the following areas:

- Transmitting alarms and interpreting code signals
- Locating all fire alarm boxes; fire exits; fire and smoke doors; fire extinguishers and all posted fire charts
- Operating interior fire alarm boxes and fire extinguishers
- Confining and controlling fires
- Evacuating procedures
- Observing housekeeping practices that will directly affect safety and life in the event of a fire or emergency
- Pinpointing fire hazards.

#### G.6.4 Emergency Evacuation Procedures

Unit Directors will see that supervisors instruct their respective staff on fire drills and emergency evacuation procedures, as well as other relevant data.

Primary evacuation assembly areas are:

- Parking Lot
- Yard #2
- Yard #3

The signal for evacuation is three (3) bells rung three (3) times in succession. Staff must be aware that the I.F.A. (Internal Fire Alarm) may also signal an emergency or fire drill. At the signal for the drill or emergency, dormitory counselors will line up their charges (assuring all are accounted for) and evacuate according to the plan, as directed by the Officer of the Day.

Evacuation is to be carried out in the following manner:

- In E-F-G-D Wings, all staff must go to Parking Lot (via front E Wing stairs) If they are with residents, staff and residents must go to Yard #3 (via F Wing stairs).
- In A-B-C Wings, all staff and residents are to go to Yard #2 (via C Wing stairs).

When leaving the dormitory, counselors will count each resident as he or she leaves the area (to assure a correct count). On arrival at the evacuation areas, counselors will exercise maximum control over their charges. They will again count their residents and verify the count before reporting all residents present and accounted for.

The ALL-CLEAR signal will be one (1) bell. At the sound of the ALL-CLEAR signal, staff and residents will proceed back to their dormitories via the routes from which they came. Upon return, the residents must be counted, and Operations must be called to report the number of residents counted.

When staff and residents are not located in their respective dormitories or offices, they will proceed to the areas indicated in drill procedures for that section of the building where they are at the time of the fire drill or emergency.

Elevators are not to be used in the course of fire emergency evacuation. The only permissible exception to this rule, under specific circumstances, is granted to the Infirmary in the case of non-ambulatory patients.

#### G.6.3 Fire Drills

Practice fire and evacuation drills shall be held once a month. The Executive Director will determine the day and time, and from which floor location the alarm shall be transmitted. The Fire Drill Conductor (the qualified individual designated by the Executive Director will be notified, and he/she will notify the Central Supervisor Station, i. Control Room. A schedule will be arranged for a simulated fire emergency (fire drill) to occur on a different floor or area each month.

Doors, windows, and transoms throughout the institution must be closed when a fire alarm is sounded and all personnel shall report to their assigned stations and follow the instructions of the person in charge.

The person in charge of conducting the drill, possessing a Certificate of Fitness as a Conductor, shall be present at each drill and require that all personnel participate in the drill as assigned on the emergency fire brigade chart and specified in the Fire Safety Plan.

Complete records of all drills shall be maintained by the Executive Director or his designee for three (3) years, subject to inspection by the Fire Department. The records shall include the date and time of the drill; fire alarm signal sounded for the drill; and the floor or area designated as the simulated fire emergency area.

The Fire Drill Conductor must sign each record and indicate his or her current Certificate of Fitness number. He/she must also state in writing that all personnel participated in the drill as required by the Fire Safety Plan, and comment as to effectiveness or ineffectiveness of the drill.

Sample forms of the schedule for Fire Drills are included at the end of this section.

#### G.6.6 Location of Fire Extinguishers.

Fires are classified according to Type: "A", "B" or "C". Class "A" fires involve wood, paper, textiles. Class "B" fires involve oils, grease, paints. Class "C" fires involve live electrical equipment. For Class "A" Fires, the following extinguishers are used: Pressurized Water, Water Pump. Other types of extinguishers may also help on this type of fire. For Class "B" Fires, Dry Chemical Carbon Dioxide and Foam fire extinguishers are used. For Class "C" Fires, Dry Chemical and Carbon Dioxide fire extinguishers are used.

A floor to floor breakdown of the location and type of fire extinguishers available, as well as enclosed fire hoses and standpipe hoses follows:

##### 8th Level:

Near elevator - Pressurized Water Extinguisher

~~E-Wing stairwell - Enclosed Fire Hose~~

Back area stairwell - Pressurized Water Extinguisher and Standpipe

##### 7th Level:

E-Wing stairwell - Enclosed Fire Hose

Supervisor's room (E-7) - Pressurized Water Extinguisher

Back area stairwell - Pressurized Water Extinguisher and Standpipe Hose

##### 6th Level:

E-Wing Stairwell - Enclosed Fire Hose

Supervisor's room (E-6) - Pressurized Water Extinguisher

Back area stairwell - Pressurized Water Extinguisher and Standpipe Hose

F-Wing stairwell - Enclosed Fire Hose

Infirmary waiting area - Pressurized Water Extinguisher

Infirmary - Girl's and Boy's sleeping area - Pressurized Water Extinguisher (two-Tone each side)

5th Level:

E-Wing stairwell - Enclosed Fire Hose

Back area stairwell - Pressurized Water Extinguisher and Standpipe Hose

Dormitory Lounge - Pressurized Water Extinguisher

Back area stairwell - Pressurized Water Extinguisher and Standpipe

F-Wing stairwell - Enclosed Fire Hose

Principal's Office - Pressurized Water Extinguisher

4th Level:

E-Wing stairwell - Enclosed Fire Hose

Dormitory Lounge - Pressurized Water Extinguisher

Back area stairwell - Enclosed Fire Hose

3rd Level:

E-Wing stairwell - Enclosed Fire Hose

Dormitory Lounge (D-3) - Pressurized Water Extinguisher

Back area stairwell - Enclosed Fire Hose

Kitchen - Two (2) CO Extinguishers

C-Wing stairwell - Enclosed Fire Hose

Front Entrance stairwell - Standpipe Hose and Pressurized Water Extinguisher

Dormitory Lounge (B-3) - Pressurized Water Extinguisher

Dormitory Lounge (A-3) - Pressurized Water Extinguisher

A-Wing stairwell - Enclosed Fire Hose

2nd Level:

A-2, B-2 - Pressurized Water Extinguisher

Back area stairwell - Enclosed Fire Hose

1st Level:

B-1 - Pressurized Water Extinguisher

In addition to the fire equipment listed here, there is a sprinkler system in the storage rooms on the first level and sprinkler system in the linen closets of the A, B and D Wings.

## G.11 THE USE OF CRITICAL INCIDENT REPORTS

### G.11.1 Introduction

The reporting of critical incidents in a timely manner is important to the operation of the Department of Juvenile Justice. The Department's response shall be one of effective, rapid and informed reporting of such incidents that may affect the safety and security of juveniles and personnel in the custody of the Department.

The Department shall strive to provide the City of New York, the public, the news media and other governmental agencies, when it is necessary and where it is appropriate, with up-to-date, accurate information and assistance concerning critical incidents.

The following guidelines and procedures shall be adhered to in the reporting of critical incidents. They involve a definition of critical incidents, what is reportable, the time factors involved, the information to be transmitted and the personnel to be notified, when appropriate.

### G.11.2 Responsibilities of the Officer of the Day and Staff Preparing the Report

Whenever a critical incident (as defined below) occurs, it is the duty and responsibility of the Officer of the Day to ensure that a Critical Incident Report is immediately and fully prepared by staff who observed or were involved in the critical incident. (The Critical Incident Report form is attached at the end of this section.) The Critical Incident Report provides an accurate and concise account of all critical incidents. The person preparing the Critical Incident Report shall question the incident in terms of WHO, WHAT, WHERE, WHEN, WHY, and HOW.

The Officer of the Day and all supervisors shall have the responsibility for insuring that all reports written by staff are completed in a detailed and legible manner. Incidents must be described fully and, if necessary, additional pages should be attached to the report. The Critical Incident Report should also include the corrective action taken, the persons notified, and the writer's perceptions concerning the cause of the incident. The quick, complete and accurate collection of this information is important for making notifications to Department Executive staff and outside agencies. In addition, any other relevant reports or statements from persons involved in the incident should be attached to the report. Under no circumstances shall a staff member involved in any incident be relieved from duty until all relevant reports have been completed in the above manner.

Whenever the Infirmary is involved in treating a juvenile as a result of an injury or allegations of abuse that are reported as critical incidents, an Infirmary Incident Report shall be completed by the Infirmary. This report shall be prepared for the Officer of the Day and will include a diagnosis of findings and treatment rendered. (See section G.2.8)

The Officer of the Day shall also investigate the incident and gather data, information and statements from other departments (Medical, Group Services) and services that may be relevant to the preparation of his/her report of the critical incident. When all reports have been completed and submitted by the staff involved, the Officer of the Day shall prepare the Critical Incident Report package for the Executive Director. This includes a summation of the incident, the actions taken, the recommendations of the Officer of the Day and the notifications made to appropriate staff. The Critical Incident Report and the copies of all other reports shall be attached together and forwarded to the Executive Director.

#### G.11.3 Critical Incident Log Book

In addition to the foregoing, the Operations office shall maintain a Critical Incident Log Book. This log book shall be a bound volume which lists in numbered sequence all critical incidents that occur in the facility. The Officer of the Day or designee shall enter the control number of the incident, the date of the incident, the category of the incident, and the personnel involved.

#### G.11.4 Notification of Appropriate Staff

The Officer of the Day shall make immediate notification, via telephone or beeper page, to the particular persons listed below according to type of incident. In all cases, unless otherwise specified, notification shall be made regardless of the time of day or the day of the week.

The Control Room shall have the responsibility for initiating all pages that are requested by the Officer of the Day or other staff. In responding to a beeper page, staff shall call the Control Room to determine who is paging them and then call that person.

#### G.11.5 Reporting Requirements and Distribution

Within 24 hours of the occurrence of all critical incidents, a copy of the Critical Incident Report must be distributed according to the distribution instructions on the form. In addition, an Evaluative Report shall be written by the Executive Director or designee. This report will outline all critical incidents involving Escape or Attempted Escape;

Major Disorder; Suicide/Death of a Juvenile; Death or Serious Injury to Employee on Duty, or to a Visitor or Volunteer who is on Department Property; or Assault on Juvenile (resulting in admission to a hospital). This Evaluative Report must be submitted with attached Critical Incident Reports to the Deputy Commissioner for Operations and the Inspector General within 24 hours following the critical incident.

#### G.11.6 Notification to Division for Youth (DFY)

Consistent with DFY regulations, all critical incidents shall be reported verbally to DFY within 24 hours of their occurrence by the Executive Director or designee. Within 5 days of the occurrence of the incident, a Critical Incident Report shall be submitted to DFY by the Office of the Associate Executive Director for Programs.

#### G.11.7 Court Services

If a critical incident occurs during transportation to and from court, in a court detention room or at any other time when Court Services staff are responsible for the custody of residents, then the Court Services Unit Coordinator shall be notified immediately. The Court Services Unit Coordinator shall notify the Director of Court Services of the critical incident. The coordinator will assume the responsibility for notifying all appropriate staff as outlined for the Officer of the Day in this procedure. The Operations office shall be notified of all critical incidents in Court Services so that the incident may be logged and given a control number.

#### G.11.8 Critical Incidents - Definition and Notification

##### A. Escape or Attempted Escape

**Definition:** When a juvenile, while in the custody of DJJ attempts to escape or successfully escapes from a secure detention facility, medical facility, court detention room or the physical custody of staff.

Information to be given to persons notified includes, but is not limited to:

- Date and time of escape or attempted escape
- Specific location within facility or areas where act took place
- How the escape was accomplished
- Whether the count has been verified for the entire institution
- Whether the escape procedure is in effect
- Name and number of juveniles who escaped (specific status J.D. or J.O.) and charges
- Notification to 41st Police Precinct
- Other information deemed important

Notify the following:

Business Hours

Executive Director  
Associate Executive Directors  
Director of Security  
Deputy Commissioner for  
Operations  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs

Nights, Weekends & Holidays

Executive Director  
Administrator or Call  
(if weekend)  
Associate Executive Directors  
Commissioner  
Deputy Commissioner for  
Operations  
Inspector General  
Director of Security  
Special Assistant to  
Associate Executive  
Director for Programs

B. Major Disorder

Definition: Any major disturbance occurring in a secure detention facility including, but not limited to, riot, hostage situation, etc., which substantially disrupts regular operating procedures and/or programming.

Information to be given to persons notified includes, but is not limited to:

- Date and time disturbance began
- Description of disturbance
- Specific location within facility or area where disturbance took place
- Cause of disturbance
- Name and number of juveniles involved, if known (status JO or JD) and charges
- Whether facility is secure. Whether the incident is under control. Whether the facility is in need of assistance, water, food, medical, manpower, chaplain, riot equipment, firefighting equipment.
- Hostages; if any, names. Whether all employees are accounted for. Whether the count is clear.
- Weapons used
- Whether any employees or juveniles are injured
- Whether medical staff have been alerted
- Police, fire or other agencies notified.

Notify the following:

Business Hours

Executive Director  
Associate Executive Directors  
Director of Security  
Deputy Commissioner for  
Operations  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs

Nights, Weekends & Holidays

Executive Director  
Administrator on Call (if weekend)  
Associate Executive Directors  
Commissioner  
Deputy Commissioner for Operations  
Inspector General  
Director of Security  
Special Assistant to Associate  
Executive Director for Programs

C. Suicide/Death of Juvenile

Definition: The act by which a juvenile takes his/her own life while in the custody of DJJ or dies as a result of accident, natural causes, or intentional acts of others.

Information to be given to persons notified includes, but is not limited to:

- Date and approximate time of suicide/death, if known
- Name of juvenile (status JO or JD), charges, age
- Specific location where death occurred; name of employees on whose post death occurred
- Description of apparent cause of death. Whether attempts were made to revive
- Name and title of person who examined and pronounced juvenile dead
- Name and time Medical Examiner was notified
- Name and time Attorney of record was notified
- Notification to family (to be made in person by Department representative)

Notify the following:

Business Hours

Executive Director  
Associate Executive Directors  
Commissioner  
Deputy Commissioner for  
Operations  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs

Nights, Weekends & Holidays

Executive Director  
Administrator on Call  
(if weekends)  
Associate Executive Directors  
Commissioner  
Deputy Commissioner for  
Operations  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs



D. Death or Serious Injury to Employee on Duty, or to A Visitor or Volunteer Who is On Department Property

Definition: When a Department staff person, while on duty, or a visitor or volunteer who is on Department property dies or is seriously injured as a result of an accident, natural causes, or intentional acts of others. Serious injury means a physical injury which creates a substantial risk of death or disfigurement or loss or impairment of a bodily organ.

Information to be given to persons notified includes, but is not limited to:

- Date and time of death and/or injury
- Name, title & I.D. # of the employee, or if visitor, the name and address of the dead or injured person
- Specific location where death or injury occurred; name and title of employee in whose area or post the death or injury occurred
- Description and cause of injury or apparent cause of death
- If death, name and title of medical person who examined and pronounced person dead
- Name of medical examiner notified and time of notification
- Notification to - 41st Police Precinct, family, manner of notification, who was notified, who made notification and the time notified
- If injury, action taken by medical staff. If hospitalization, name of hospital, time, prognosis, if known
- Person involved in causing death or injury. If visitor is dead or injured, name of employee or resident being visited.

Notify the following:

Business Hours

Executive Director  
Associate Executive Director  
for Programs  
Commissioner  
Deputy Commissioner for  
Operations  
Inspector General  
Coordinator of Community  
Services (if volunteer)  
  
Special Assistant to Associate  
Executive Director for Programs

Nights, Weekends & Holidays

Executive Director  
Administrator on Call  
(if weekends)  
Associate Executive Director  
for Programs  
Commissioner  
Deputy Commissioner for  
Operations  
Inspector General  
Coordinator of Community  
Services (if volunteer)  
Special Assistant to Associate  
Executive Director for Programs

G.11-6

E. Serious or Aggravated Assault on Juvenile, Employee or Volunteer

Definition: When a juvenile, while in the custody of the Department, commits an assault against another juvenile also in the custody of the Department or a Department staff person or volunteer, and the assault results in serious bodily injury requiring hospitalization and/or the filing of criminal charges.

Information to be given to persons notified includes, but is not limited to:

- Date and time of assault
- Specific location of assault and description of incident
- Name and title of person(s) involved
- Names and charges of juvenile(s) involved
- Names and titles of medical staff called to the scene
- Description of injuries; prognosis, if available. If hospitalization is required, names of those involved and time of transfer.
- Notification to 41st police Precinct. Alleged charges. Names of Police Department personnel on scene.

Notify the following:

Business Hours

Executive Director  
Associate Executive  
Director for Programs  
Inspector General  
Coordinator of Community  
Services (if volunteer)  
Special Assistant to  
Associate to Executive  
Director for Programs

Nights, Weekends & Holidays

(only in the event of  
hospitalization)  
Administrator on Call  
(if weekends)  
Associate Executive  
Director for Programs  
Inspector General  
Coordinator of Community  
Services (if volunteer)  
Special Assistant to  
Associate Executive  
Director for Programs  
(for all incidents)

F. Serious Suicide Attempt

Definition: A serious suicide attempt is an act by which a juvenile attempts to take his/her own life while in the custody of the Department and such act, although not

G.11-7

successful, comes substantially close to being successful. A serious suicide attempt does not include suicidal gestures of a manipulative nature that are used to gain an advantage in a particular manner nor does it include self-inflicted wounds of a superficial nature. A serious suicide attempt is one which requires extensive physical and/or mental examination following the event and one which may require hospitalization or some form of vigilant observation and/or care.

Information to be given to persons notified includes, but is not limited to:

- Date and time of incident
- Specific location of incident. Name of employee on whose post or in whose area the attempted suicide took place
- Name of employee or other person who discovered suicide attempt
- Name and charges of juvenile who attempted suicide
- Notification to family; name of person notified; name of person who made notification and time of notification.
- Reason for attempted suicide, if known. Explanation of method used.
- Whether injuries were sustained as a result of attempt. Prognosis for recovery, if known. Name of medical personnel on scene.
- If hospitalization is required, who ordered it, name of hospital, time of transfer, name of escorting personnel.
- Notification to attorney of record and/or court. Time and who made notification.

Notify the following:

Business Hours

Executive Director  
Associate Executive Director for Programs  
Inspector General  
Deputy Commissioner for Operations  
Special Assistant to Associate Executive Director for Programs

Nights, Weekends & Holidays

Executive Director  
Administrator on Call (if weekends)  
Associate Executive Director for Programs  
Inspector General  
Special Assistant to Associate Executive Director for Programs

G. Suicidal Gesture

Definition: A suicidal gesture is one of a manipulative nature that is used to gain advantage in a particular matter (e.g. to obtain a transfer to another dormitory). If also includes self inflicted wounds of a superficial nature.

Information to be given to persons notified includes, but is not limited to:

- Date and time of incident
- Specific location of incident
- Name of employee or other person who discovered suicidal gesture
- Name and charges of juvenile who committed suicidal gesture
- Notification to family; name of person notified; name of person who made notification and time of notification
- Reason for suicidal gesture, if known. Explanation of method used
- Whether juvenile was seen by medical and psychiatric staff. Diagnosis, if known.

Notify the following:

Business Hours

Executive Director  
Associate Executive Director for Programs  
Special Assistant to Associate Executive Director for Programs

Nights, Weekends, & Holidays

Special Assistant to Associate Executive Director for Programs

H. Fire

Definition: This category is defined as any internal or external damage to a detention facility as a result of fire, smoke and/or substantial water damage. All fires at Spofford, whether major or minor, must be telephoned to the Fire Department. This includes fires which are extinguished without the Fire Department's assistance.

Information to be given to persons notified includes, but is not limited to:

- Time incident began

- Cause of incident, if known.
- Property damage, if any
- Specific location where incident took place
- Name of employees and juveniles injured
- Whether the fire emergency plan was followed
- Whether the facility is secure. Whether all staff and juveniles are accounted for; whether the count is clear
- Police, Fire Department notified. Time and person notified. Response to institution.
- Names of medical staff on scene.

Notify the following depending on the severity of the fire:

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays</u>
Executive Director	Executive Director
Associate Executive Directors	Administrator on Call (if weekends)
Director of Security	Associate Executive Director for Support Services
Special Assistant to Associate Executive Director for Programs	Special Assistant to Associate Executive Director for Programs

I. Child Abuse Resulting in Serious Injury

Definition: Child abuse resulting in serious injury occurs when those responsible for a juvenile's care inflict injury which places the juvenile at substantial risk of death, serious disfigurement or long term impairment, or when a juvenile has received serious physical injury that was not accidental in nature. (See also section J.1 Reporting/Processing Child Abuse Allegations.)

For reporting purposes, "serious" means:

- Any injury which clearly or obviously appears significant (mere physical contact or a trivial slap, shove, or kick will not in most cases, result in such injury). Examples of serious injuries include, but are not limited to:
  - Injuries which cannot properly be treated with simple first aid
  - Injuries requiring stitches

- Injuries in which there are numerous marks, bruises or areas of discoloration extending over areas of the body
- Injuries requiring hospitalization
- A broken bone or bones
- The involvement of a weapon (e.g., knife, gun, stick, strap, etc.)

Information to be given to persons notified includes, but is not limited to:

- Date and time of alleged abuse
- Specific location within facility
- Names and titles of staff allegedly involved in abuse
- Name of juvenile receiving injuries
- Name of medical staff who examined juvenile immediately upon notification
- Extent of injuries, if known.
- Whether resident was hospitalized and prognosis, if known. Name of staff escorting to hospital.
- Name of witnesses and titles
- Notification to Special Services for Children (SSC) Central Registry. Time and person notified.

Notify the following:

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays (for serious incidents only)</u>
Executive Director	Executive Director
Associate Executive Director for Programs	Associate Executive Director for Programs
Inspector General	Administrator on Call (if weekends)
Special Assistant to Associate Executive Director for Programs	Deputy Commissioner for Operations
	Inspector General
	Special Assistant to Associate Executive Director for Programs (for all incidents)

J. Sexual Abuse

Definition: Sexual abuse consists of acts legally defined as sexual misconduct, rape, sodomy, sexual abuse and aggravated sexual abuse which are committed against a juvenile in Department custody by another juvenile or adult?

Information to be given to persons notified includes, but is not limited to:

- Date and time of alleged abuse
- Specific location within facility
- Names and charges of juveniles allegedly involved in inflicting abuse
- Names of juvenile(s) sustaining injuries
- Names of staff involved
- Names of medical staff who examined juvenile immediately upon notification
- Extent of injuries, if known.
- Whether juvenile was hospitalized and prognosis, if known. Name of staff escorting to hospital.
- Name of witnesses and titles.

Notify the following:

Business Hours

Executive Director  
Associate Executive  
Director for Programs  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs

Nights, Weekends & Holidays  
(for serious incidents only)

Executive Director  
Administrator on Call (if weekends)  
Deputy Commissioner for Operations  
Inspector General  
Special Assistant to Associate Executive  
Director for Programs  
(for all incidents)

K. Major Physical Plant Breakdown or Other Incident Affecting Normal Operations

Definition: Any major breakdown to the physical operation of a detention facility, such as power failure, weather conditions, steam/water leaks, breaks and/or

losses, plumbing and/or heating failure, excessive interior temperatures, overflow census, food shortages, spoilage, transit strike etc.

Information to be given to persons notified includes, but is not limited to:

- Date and time of incident
- Cause of incident
- Description of incident
- Number of people involved or affected
- Whether outside agency is involved and explanation
- What, if any, attempts were made to remedy problem.

Notify the following:

Business Hours

Executive Director  
Associate Executive  
Directors  
Director of Security  
Deputy Commissioner for Operations  
Special Assistant to Associate Executive  
Director for Programs

Nights, Weekends & Holidays

Administration on Call  
(if weekends)  
Executive Director  
Associate Executive Directors  
Director of Security  
Deputy Commissioner for Operations  
Special Assistant to Associate Executive  
Director for Programs

L. Use of Physical Force

Definition: The use of physical force refers to striking a juvenile, physically restraining a juvenile whose actions are judged harmful, and physically moving a juvenile against his/her will from one place to another. (see also Section I.1 The Use of Physical Force Against Juveniles.)

Staff shall use only the minimum amount of force necessary to bring a resident under control. Physical force shall not be used as a punishment. Staff must maintain sufficient control over themselves so that they do not respond with physical force to insults or other verbal provocation.

A Critical Incident Report is to be prepared whenever the use of force appears to have injured a juvenile in any way, the juvenile complains of injury or,

in the best judgement of the staff member, such a report would be appropriate. (see also Child Abuse Resulting in Serious Injury in this section for definition of "serious injury.") In addition, a Critical Incident Report is to be prepared when the emergency use of mechanical restraints occurs. (see also Section I.2 The Use of Mechanical Restraints on Juveniles.)

Information to be included in the report shall include, but not be limited to:

- Date and time of use of force
- Specific location where force was used
- Staff involved in the use of force
- The reason why force was used or was necessary to be used. Whether supervisor was notified prior to its use.
- Type of force used
- Amount of force used
- Injuries, if any, and description. Names of injured and medical personnel on the scene; prognosis.
- If hospitalization is required, names of individuals transferred, time, escorting staff. Prognosis, if available.

If the use of force results in serious injury, the following notifications shall be made immediately:

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays</u>
Executive Director	Executive Director
Inspector General	Administrator on Call
Special Assistant to Associate Executive Director for Programs	(if weekends)
	Inspector General
	Special Assistant to Associate Executive Director for Programs

M. Gross Security Breach

Definition: Any act which constitutes a violation of standard operating procedure and jeopardizes institutional security or physical custody of juveniles, and/or endangers the safety of staff and/or juveniles.

Information to be given to persons notified includes, but is not limited to:

- Date and time of discovery of security breach
- Description of security breach
- Cause of security breach, if known
- Name of persons responsible, if known
- Actions taken to remedy problem
- Whether outside assistance is needed.

Notify the following:

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays</u>
Executive Director	Executive Director
Associate Executive Director for Support Services	Associate Executive Directors
Director of Security	Director of Security
Deputy Commissioner for Operations	Deputy Commissioner for Operations
Inspector General	Inspector General
Special Assistant to Associate Executive Director for Programs	Special Assistant to Associate Executive Director for Programs

N. Unauthorized Walk-Out/Job Action or Demonstration by One or More Staff Persons

Definition: When a staff person(s) leaves his/her post, assignment, or tour of duty without justification and appropriate authorization.

Information to be given to persons notified includes, but is not limited to:

- Time and date when incident began
- Specific location where incident is taking place, the number of employees involved, the names, and titles, if known.
- Reason for the strike, job action, demonstration, or threat, if this information is known.

- Whether the group is represented by anyone.
- Whether there are leaders, if known. Whether the source of information is reliable.
- Whether incident is interfering with the security and/or normal operations of the facility? If it continues, will it interfere?
- Proposed action to be taken.

Notify the following:

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays</u>
Executive Director	Executive Director
Associate Executive Director for Programs	Associate Executive Director for Programs
Director of Security	Director of Security
Commissioner (only if job action)	Commissioner (only if job action)
Deputy Commissioner for Operations (only if job action)	Deputy Commissioner for Operations (only if job action)
Special Assistant to Associate Executive Director for Programs	Special Assistant to Associate Executive Director for Programs

O. Room Confinement

Definition: The confinement of a juvenile to a room by means of locking the door or instructing the juvenile not to leave the room is considered a critical incident. It is both DJJ and DFY policy never to confine juveniles to their rooms except when safety or security concerns require such action. Room confinement may not be used as a punitive measure. It is used solely as a means of controlling a juvenile when his/her behavior constitutes a serious and evident danger to himself/herself or others.

Juvenile counselors may impose room confinement on a resident or group of residents under their care in response to a crisis situation, when other less restrictive measures have not been successful or are not appropriate.

When a juvenile counselor imposes room confinement, the approval of the senior juvenile counselor and the Unit Director must be obtained. The Unit Director must obtain the approval of the Executive Director or Associate Executive Director for Programs. The Unit Director shall also notify the Officer of the Day and the Operations office. Counselors shall not impose room confinement without following the above procedure and receiving approval from the Executive Director or Associate Executive Director for Programs. In addition, a resident may request to be locked in his or her room. In this case the senior juvenile counselor and the Unit Director must be notified. The Unit Director shall notify the Officer of the Day. All residents either placed in or requesting room confinement shall be checked every 15 minutes. (See Section I.3 The Use of Room Confinement)

Occasions may arise when it is necessary to impose room confinement for an entire dormitory. If this occurs, the same procedure used for approval for individual room confinement shall be followed.

A Critical Incident Report is to be prepared as soon as possible, and no later than the end of the tour of duty, by a juvenile counselor who places a resident or group of residents in room confinement or if a resident requests room confinement.

Information to be included in the report shall include, but not be limited to:

- Date and time of the confinement
- Name of the confined juvenile
- Specific location of the confinement
- Description of the incident leading to room confinement
- The reason for responding with room confinement and why it was necessary.
- Length of confinement
- Name of supervisor who approved action and name of Executive staff notified, including time, who authorized the continued confinement
- Conditions necessary to remove juvenile from confinement

Notifications shall only be made to the following for approval to impose room confinement.

<u>Business Hours</u>	<u>Nights, Weekends &amp; Holidays</u>
Executive Director or Associate Executive Director for Programs	Executive Director or Associate Executive Director for Programs
Special Assistant to Associate Executive Director for Programs	Special Assistant to Associate Executive Director for Programs

P. Altercation Involving More Than Four Juveniles

Definition: Any altercation involving four or more juveniles which requires the physical intervention of staff shall be reported as a critical incident. The supervisor responsible for investigating this incident shall prepare the Critical Incident Report. It shall include, but not be limited to the following information:

- Date and time of altercation
- Location of altercation
- Names and charges of juveniles involved in the altercation
- Names of staff involved in breaking up the altercation
- How the altercation was started whether there were any precipitating causes
- How it was broken up
- Whether residents were placed in another location. Whether any action was taken
- Whether there were any injuries. If yes, what are they?

Executive staff should not be notified outside of normal business hours unless the altercation resulted in serious injuries requiring hospitalization. In that case, notification procedures for Serious or Aggravated Assault on Juvenile, Employee or Volunteer should be followed.

Q. Discovery of Contraband

Definition: Any item that is not issued or not authorized in the facility is contraband. Contraband includes those articles which are readily capable of causing death or serious physical injury, including but not limited to handguns, shoulder guns, knives, dangerous drugs, razor blades etc. (See also Section G.4.12)

Information to be given to persons notified includes, but is not limited to:

- Description of the contraband found
- The location where the contraband was found
- The name of the resident on whom the contraband was found

Notify the following:

Business Hours

Executive Director  
Director of Security  
Inspector General  
Unit Director  
Special Assistant to  
Associate to Executive  
Director for Programs

Nights, Weekends & Holidays

(If serious only)  
Executive Director  
Director of Security  
Inspector General  
Special Assistant to  
Associate Executive  
Director for Programs

*Hawaii*

REPORT OF INCIDENTS

ORAL REPORTING

All Section Administrators shall report at the earliest possible time by telephone to the Superintendent giving all the known and pertinent facts of the incident.

In major instances, if unable to reach the Superintendent, every effort shall be made to reach the following persons in the following sequence.

1. CDA/CDA
2. Director
3. Deputy Director

The Section Administrator shall continue until the conclusion of the incident investigation to report by telephone to the Superintendent all pertinent happenings that occur pertaining to the incident.

INITIAL WRITTEN REPORT\*

The Section Administrator shall have prepared a continuous running chronological written diary of the incident from its beginning and until the investigation is concluded and the closing of the incident.

It shall be the responsibility of the Section Administrator to prepare and forward to the Superintendent within 24 hours of the incident an initial written report of the incident covering the essentials of what, when, where, how, who, why, and any other important matter that given a clear and factual accounting of the incident.

SUPPLEMENTAL AND FINAL WRITTEN REPORTS\*

The Section Administrator shall submit to the Superintendent supplemental written reports on the progress and/or important developments pertaining to the incident.

\*Follow the reporting technique and method found in the written report training guide dated July 1967.



Police reports, when applicable to the incident, shall be forwarded to the Superintendent.


At the conclusion or within 10 days, whichever is sooner of the incident, a detailed report including a summary of the entire incident accompanied with appropriate remedial recommendations shall be forwarded to the Superintendent.

INCIDENTS

1. Escapes and runaways.
2. Physical injury of wards, parolees or staff (staff on duty).
3. Disturbances resulting in physical injury to persons and the damaging or destruction of facilities or property.
4. Damage, destruction, or loss of any structure, vehicle, equipment and loss of materials or supplies because of flood, fire, storm, or theft.
5. Commitment of any offense chargeable as either a misdemeanor or felony by any persons in or at any correctional facility.
6. Commitment of any felony by a ward, juvenile parolee, or employee.

RESPONSIBILITY

It is the sole responsibility of the Section Administrator to comply with this and to report personally to the Superintendent in accordance herewith.

MINNESOTA CORRECTIONAL FACILITY - RED WING  
 **POLICY & PROCEDURE**

Part 3  
Support Services

3-603.2  
March, 1982

FIRE PROTECTION PROGRAM

POLICY

3-603.2 The Fire Protection Program shall consist of: Staff training, fire inspections, fire prevention, emergency evacuation, fire reporting, fire fighting and monthly fire drills. These monthly fire drills are to be executed with the same procedures as regular fire evacuation procedure and are logged, recorded and the results sent to the Fire and Safety Officer.

Staff Training: Correctional Counselors shall have fire protection and training at this institution.

See PROCEDURE 1-203.1.

Fire Inspection: The Fire and Safety Officer assisted by assigned staff shall make regular fire inspections to insure compliance with the National Fire Protection Association Standards, Minnesota Fire Code, Uniform Building Codes, as requested by outside agencies.

Fire Prevention: All supervisory staff shall be familiar with fire prevention principles and shall be responsible for insuring that they are properly implemented.

Fire Evacuation Plans: The Fire and Safety Officer shall establish adequate fire evacuation plans for all areas of the agency. These plans shall be prominently displayed at appropriate places. Persons responsible for each area shall be familiar with the Fire Evacuation Plans relating to that particular area and keep plans posted and carry out monthly fire drills, logging of them and results sent to the Fire Safety Officer

Fire Protection Program  
continued

3-603.2 For further information contact the Fire and  
Safety Officer

Red Wing Fire Department: When a fire occurs  
or the automatic fire alarm is sounded, the Red  
Wing Fire Department will respond in accordance  
with their pre-arranged plan.

PROCEDURE

3-603.2

1. Weekly and monthly inspection reports will include the inspection of fire extinguishers, check of fire alarm system, the provision of fire drills. The Building Foreman will re-charge agency's fire extinguishers as needed, and annually.
2. Monthly fire evacuation drills are held by the person in charge of each area. Records of the fire drills are maintained.
3. Training of staff in fire drills, fire prevention, reporting and fighting are held periodically throughout the year.
4. The Safety Officer will maintain active liaison with the Red Wing Fire Department.
5. Fire inspections are made annually by the Minnesota State Fire Marshall and the Red Wing Fire Department.
6. The Safety Officer is responsible for executing the implementation of the above procedure.
7. Fire evacuation plans: All calls regarding fires must be made to the Switchboard Operator who notifies appropriate authorities.

Fire Protection Program  
continued

3-603.2

8. Fire Inspection: Fire inspections are held for the purpose of inspecting areas for potential fire hazards and checking for faulty equipment. Potential fire hazards include materials stored in inappropriate areas or accumulations of materials in excess of normal amounts, i.e., oily rags, newspapers, paper, cloth, flammable liquids, etc.

Equipment must be checked for faulty couplings, access to on/off valves, leaking hoses, termination dates, etc.

Fire inspection reports shall be given to the person having responsibility for the area which shall serve as a directive to have the deficiency corrected. If the deficiency has not been corrected and is detected during a follow-up inspection, the Safety Officer shall submit a follow-up report through the proper channels.

9. Fire Prevention: Deficiencies reported as a result of a fire inspection shall be corrected as soon as possible either by area staff action, or by submitting a work order request to Safety Officer. The following fire prevention principles shall be observed by all.
  - a. Smoking shall be prohibited in any area that is conspicuously posted as to restrict such activity.
  - b. Approval must be obtained from the Institution Fire and Safety Officer before the following events can take place:
    - 1) Grass, picnic, trash or training fires.
    - 2) Any special event which involves open flames.

DATE 3/5/82

*Herold T. Rourke*

Chief Executive Officer

MINNESOTA CORRECTIONAL FACILITY -- RED WING



# POLICY & PROCEDURE

Part 2  
Program and Educational Services

2-207.4  
August, 1981

## NUCLEAR EMERGENCY

### POLICY

2-207.4 If there is an accident at the Prairie Island Nuclear Plant and evacuation is necessary; it is imperative that the health and safety of the residents and the staff are protected. Evacuation should be done as quickly as possible to avoid any unnecessary danger to anyone.

### PROCEDURE

2-207.4 If evacuation becomes necessary because of an accident at the Prairie Island Nuclear Plant, the following warning signal will be given:

There will be a steady blast on the civil defense sirens for a period of three (3) to five (5) minutes. This will be followed by a fifteen (15) minute waiting period, then repeated for three (3) to five (5) minutes.

When the civil defense warning signal goes off, the following procedure will be followed:

1. The switchboard will contact the following and inform them of the situation and direct them to move all residents and staff to the nearest designated shelter area.
  - a. all cottages
  - b. the Engine Room
  - c. all other buildings during the weekday
2. The designated shelter areas are:
  - a. All cottages - the basement of the cottage
  - b. Welding Shop - enter the tunnel at school
  - c. Vocational Building - lower level of the building
  - d. Kitchen - tunnel

Nuclear Emergency  
continued

2-207.4

- e. Volunteer Center - basement of the building
  - f. School - tunnel
  - g. Administration Building - basement of the building
  - h. Chapel - basement of the building
  - i. Greenhouse - enter the tunnel at school
3. The staff should take a group count to be sure all residents are accounted for once they reach the shelter area.
  4. Portable radios should be brought along and tuned to KCUE for emergency instructions. (1250 AM and 105.5 FM)
  5. Everyone is to remain in the sheltered area until the "All Clear" signal is given over KCUE radio.
  6. The State will notify the institution if there is a need to evacuate from the facility.
  7. The State and local community resources will coordinate the evacuation procedure.
  8. If further evacuation assistance is needed, call 388-8261.

*Gerold T. O'Rourke*

Chief Executive Officer

*6-21-82*

Date

EMPLOYEES GUIDELINES  
FOR  
EMERGENCY PROCEDURES  
AT  
MINNESOTA CORRECTIONAL FACILITY  
RED WING, MINNESOTA

## INTRODUCTION

It is imperative that residents, staff, and visiting public be protected in case of emergency, and that the health and care program of the institution be carried out with the least amount of disruption. Continuing and meaningful efforts to prevent incidents that lead to emergency situations should be the area of the greatest concern.

All situations CANNOT be neatly defined into a category for which hard and fast guidelines can be drawn for all emergency situations. Individual judgement will need to be exercised in given situations. Emergency procedures are designed to give guidelines to those having responsibility for the safety of residents, staff, and visiting public, and facilities.

The supervisors of individual buildings or facilities have the prime responsibility for dissemination of emergency procedures to their staff. In addition they must set up a designated chain of responsibility so the safety procedures are carried out in case of their absence from the building.

These procedures are basically general and applicable to all inhabited areas.

## FIRE PROCEDURES

Have a fire plan by periodically making mental notes as to what procedure you would follow if a fire broke out. It should be kept in mind that procedures may vary depending upon the location. Know at all times the location of fire alarms, extinguishers, exits and how to use them.

### If A Fire Should Start In Your Area

1. Keep calm -- THINK -- then act.
2. Protect persons in immediate danger, close doors and windows to confine fire if possible.
3. Sound alarm, then report fire.
4. Fight fire with available equipment. DO NOT take chances or allow anyone else to do so.

ALWAYS remember that the safety of the people is, by far, the most important consideration. Removing people from danger must be foremost in one's mind. This may require waking them up - make sure all are out of danger.

Smoke and/or toxic fumes (such as plastics) takes more lives than fire itself. Keep calm, low and move out of area as rapidly as possible. A wet cloth or towel will greatly minimize the danger of smoke inhalation.

FIRE SAFETY MANUAL

Pursuant to Institution  
Policy and Procedure #2-207.1

IN CASE OF FIRE:

- I. First staff on the scene:
  - A. If the fire is not of serious nature:
    - 1) clear immediate fire area
    - 2) put out fire with extinguisher or water
    - 3) submit a written incident report to the appropriate department head with copy to the Safety Officer.
  - B. If the fire is in any way a threat to human safety, the area must be quickly evacuated.
    - 1) Activate the fire alarm by pulling the nearest alarm box.
    - 2) All staff and residents should evacuate the building and move across the street, away from the building. In bad weather, everyone should go to an adjacent cottage or building.
    - 3) The staff will take a group count to be sure all residents are accounted for.
    - 4) After leaving the building, a staff member should call the switchboard to confirm the fire and to be sure the switchboard has called the Fire Department.
    - 5) When the Fire Department arrives, the staff will inform them of:
      - a. the location of anyone still in the building
      - b. the physical layout of the building and any recent changes or obstructions (this may include the number of beds in a room, etc.)
    - 6) No one should return to the building until directed to do so by the Fire Department officials.
    - 7) When the fire alarm is activated, the exhaust fans in Dayton, Yale, Princeton, Harvard and Stanford are automatically shut off. (There are no exhaust fans connected to the alarm system in Knox and Grinnell.) Therefore, after the fire is out, the smoke is cleared from the building, and all the fire alarm equipment is back in operational condition, the exhaust fans have to be reset. (The button to reset them is located in the back office of the cottage.)

II. Switchboard Operator's duties:

- A. If the alarm is from any of the cottages:
  - 1) The switchboard will slip the Fire Department switch to "on" to signal the Fire Department, and follow this with a telephone call (388-2801) to the department to inform them of the location of the fire. If the switchboard cannot reach the Fire Department by telephone, they will pull the alarm box #33 outside of the Administration Building.
  - 2) The switchboard will attempt to contact the cottage by telephone or intercom to verify the fire.
    - a. If there is no fire, call the Fire Department back and tell them to cancel the call.
    - b. If there is a fire, get as many immediately available staff to the cottage as soon as possible to assist in the supervision of the residents.
  - 3) The switchboard will notify the on-duty administrator, the unit supervisor, the cottage manager and the Engine Room.
  - 4) After the fire is out, the switchboard will call the cottage to confirm that the fire alarm has been restored to working order.
  - 5) The switchboard will return the Fire Department switch to the "Off" position.
  - 6) The fire alarm is silenced at the switchboard by the use of the key and at the electrical control panel located in the room marked "Steward" by pushing the acknowledge button (ACK).
  - 7) The signal light showing the location of the fire will remain on until the alarm system is cleared at the location of the fire and then reset in the following order:
    - a. at the location of the fire
    - b. on the electrical control panel in the room marked "Steward"
    - c. at the switchboard
  - 8) When the alarm to the Fire Department is tested, the switchboard will:
    - a. call 388-7142 and notify them of the test
    - b. record the information on the daily log sheet

III. Fires in sprinkler-equipped buildings:

- A. If the alarm is from the Administration Building:
  - 1) The switchboard will flip the Fire Department switch to "On" to signal the Fire Department, and follow this with a telephone call (388-2801) to the department to inform them of the location of the fire. If the switchboard cannot reach the Fire Department

by telephone, they will pull the alarm box #33 outside of the Administration Building.

- 2) The switchboard personnel or another available staff member should get the fire keys and check to see if there is a fire or just water running. The entire building should be checked, including the basement.
- 3) If the individual is absolutely sure there is no fire, he/she should shut off the sprinkler valve and open the drain. The sooner the sprinkler system is shut off and the drain opened, the less water damage there will be.
- 4) Under no circumstances is the sprinkler system to be shut off if there is a fire.
- 5) The individual who inspected the building should meet the Fire Department at the front door and tell them what has been found. The Fire Department will be at the institution within three to four minutes.
- 6) The switchboard will notify the on-duty administrator, the superintendent, and the Engine Room.
- 7) The switchboard will return the Fire Department switch to the "Off" position.

#### IV. General Fire Rules:

- A. The most important consideration when a fire occurs is the safety of the individuals. Therefore, removing people from danger as soon as possible is of utmost importance when a fire occurs.
- B. Smoke and/or toxic fumes take more lives than fire itself; and because of this, it is important to keep calm, stay low, and move out of the area as quickly as possible. A wet cloth or towel held over the mouth and nose will greatly minimize the danger of smoke inhalation.
- C. It is important for the staff to know at all times the location of the fire alarms and extinguishers and the correct procedure for using them. In addition, it is necessary to know the locations of all fire exits and to be sure they are properly marked. All buildings and rooms should have fire evacuation maps posted.
- D. All emergency communications will go through the switchboard. Do not handicap this process by making unnecessary telephone calls.
- E. During a fire emergency, the safety of staff and inmates is our first responsibility. Staff are responsible to remove the group to safety. The staff are also responsible for not allowing himself/herself or others to enter into a situation where health is endangered needlessly.

- F. During evacuation if there is heavy smoke or impaired visibility, stay close to the floor and have group form a chain of hands while proceeding to the exit.
- G. To cut down on drafts, all doors at the fire scene should be closed, if possible, but not locked.
- H. Do not attempt to enter an unsafe area if someone is missing. The Red Wing Fire Department will attempt to locate anyone missing and provide an escape route.
- I. All utilities, i.e., lights, gas, electricity, water shall be shut down as directed by the Fire Chief.
- J. After the fire, all unsafe areas will be appropriately roped off and secured.
- K. Incident reports must be submitted on all fires and any time any fire equipment is used.
- L. In the event of a bomb threat, basically the same procedures will be followed.
- M. Our Fire Safety Program is under the supervision of the institution Fire Marshal. It is the responsibility of all staff to be familiar with fire safety procedures. Every area of the institution will be having a fire drill each month. Your full cooperation during fire drills is expected.

3/18/82

Approved by: /s/ Gerald T. O'Rourke  
Superintendent

NATURAL DISASTERS (Tornadoes, Windstorms, etc.)

Be familiar with warning system and immediate safety action necessary for your particular area.

1. Tornado "WATCH" means weather conditions are such that a tornado may occur.
2. Tornado "WARNING" means that a tornado has struck in the area.



## EMERGENCY PLAN

- I. Tornado and Severe Thunderstorm:
- A. The Red Wing Fire Department will call the MCF-RW and inform the switchboard of the situation.
  - B. The switchboard will call:
    - 1) the cottages
    - 2) the Engine Room
    - 3) all other buildings, during the weekday
    - 4) all individuals and businesses on the Emergency Call List
  - C. If the weather report is for a TORNADO WATCH:
    - 1) Staff should watch the weather and monitor the local radio station for weather reports.
    - 2) Plans should be made to evacuate all residents and staff to the designated shelter areas if and when a tornado warning is received.
  - D. If the weather report is for a TORNADO WARNING:
    - 1) Staff and residents should move quickly to the designated shelter areas and remain there until notified that the emergency is over.
    - 2) If there is not enough time to get to the shelter, everyone should go to an interior hallway and make as small a target as possible. Everyone should keep their heads covered as much as possible to protect their faces, and everyone should keep away from windows, outside walls, and large rooms.
  - E. The designated shelter areas:
    - 1) All cottages - the basement of the cottage
    - 2) Welding Shop - enter the tunnel at school
    - 3) Vocational Building - lower level of the building
    - 4) Kitchen - tunnel
    - 5) Volunteer Center - basement of the building
    - 6) School - tunnel
    - 7) Administration Building - basement of the building
    - 8) Chapel - basement of the building
    - 9) Greenhouse - enter the tunnel at school
  - F. The "All Clear" signal will be given over KCUE radio, both AM and FM.

## NUCLEAR EMERGENCY

Be familiar with locations of fall out shelters and be prepared to move to the nearest one immediately. Remain until the "ALL CLEAR" signal is given.

## EMERGENCY PLAN

### I. Nuclear Emergency

- A. If evacuation becomes necessary because of an accident at the Prairie Island Nuclear Plant, the following warning signals will be given:

There will be a steady blast on the civil defense sirens for a period of three (3) to five (5) minutes. This will be followed by a fifteen (15) minutes waiting period, then repeated for three (3) to five (5) minutes.

When the civil defense warning signal goes off, the following procedure will be followed:

- 1) The switchboard will contact the following and inform them of the situation and direct them to move all residents and staff to the nearest designated sheltered area.
  - a. all cottages
  - b. the Engine Room
  - c. all other buildings during the weekday
- 2) The designated shelter areas are:
  - a. All cottages - the basement of the cottage
  - b. Welding Shop - enter the tunnel at school
  - c. Vocational Building - lower level of the building
  - d. Kitchen - tunnel
  - e. Volunteer Center - basement of the building
  - f. School - tunnel
  - g. Administration Building - basement of the building
  - h. Chapel - basement of the building
  - i. Greenhouse - enter the tunnel at school
- 3) The staff should take a group count to be sure all residents are accounted for once they reach the shelter area.
- 4) Portable radios should be brought along and tuned to KCUE for emergency instructions. (1250 AM and 105.5 FM)
- 5) Everyone is to remain in the shelter area until the "All Clear" signal is given. This will be announced over KCUE radio AM and FM.
- 6) The State will notify the institution if there is a need to evacuate from the facility. The City of Red Wing will supply buses or trucks with drivers to evacuate if it is needed.
- 7) The State and local community resources will coordinate the evacuation procedure.
- 8) If further evacuation assistance is needed, call 388-8261.

## MISCELLANEOUS SAFETY HAZARDS (Transportation, etc.)

1. Keep vehicles within posted speed limits at all times.
2. All passengers must be seated properly with feet on the floor.
3. Arms, legs and other parts of the body kept inside of the vehicle at all times.
4. Report all equipment, materials and other items, which are or may become a health and safety hazard \*unsafe tools, broken or chipped steps, broken sidewalks, gas fumes, etc.)

## FIRST AID

Rescue Breathing: All employees should familiarize themselves with the mouth-to-mouth resuscitation techniques. If you have questions concerning this procedure, direct them to your Health Service Department.

Lacerations: 1. Apply pressure directly to bleeding area. Use a dressing or open hand as a compress.  
2. Obtain medical assistance.

Seizures: 1. Protect individuals from injuring themselves.  
2. Position body on flat surface and tilt the head to provide open air passages.  
3. Obtain medical assistance.

Throat Obstruction: 1. Dislodge obstruction by an upward, glancing blow just below the shoulder blades. The individual should be bent in a forward position for maximum success.

Burns: 1. Flush or immerse burned area in cold water or wrap in a cold pack immediately.  
2. Cover area, as soon as possible, with a clean dressing. After initial attention move the patient to medical care without delay if burns are extensive.

Eye Emergency Care: 1. Remove foreign particles or substances by flushing the eye with cool water immediately. DO NOT RUB THE EYE.  
2. Obtain assistance.

Hyperventilation: (An emotional state which brings on excessive, rapid breathing)

1. Cover nose and mouth with a paper bag, keeping the patient calm until breathing returns to normal.

### EMERGENCY MEDICAL/DENTAL TELEPHONE NUMBERS

MCF-RW Medical Personnel (7 a.m. - 3 p.m., Mon. - Fri.) ..... Ext 233  
MCF-RW Medical Personnel (after hours or if no answer) .....0  
MCF-RW Dentist ..... Ext 231  
Dr. Friedrich - Interstate Medical Center .....388-3503  
Dr. Friedrich - Home .....388-4458  
St. John's Hospital .....388-6721  
Red Wing Ambulance .....388-7141  
Poison Center .....1-800-222-1222

## APPENDIX I

**Policies and procedures related to security and control issues have been received from several states. The following is a list of the policies on file at Arthur D. Little which are available for reference. State adult and juvenile correctional agencies also may be contacted directly for information.**

RESPONDANTS

PHYSICAL PLANT AND EQUIPMENT

NEW YORK  
(Adults)

- °Facility security level criteria (0040)
- °Off-duty firearms regulations (2020)
- °Firearms qualifications and re-qualification (2021)
- °Use of state-owned vehicles (2932)
- °Vehicle identification placards (2949)
- °Sanitary inspections, Department of Health (3009)
- °Maintenance scheduling/reporting (3054)
- °Scheduled maintenance/reports (3111)
- °Environmental Services Committee (3090)
- °Operators vehicle inspection (3151)
- °Facility safety committee (4003)
- °Facility fire prevention (4060)
- °Facility safety inspections (4061)
- °Annual health and safety audit (4066)
- °Flammable and combustible materials (4067)
- °Security in gate areas (4900)
- °Housing area fires (4902)
- °Approved Firearms and related equipment (4907)
- °Control of and search of contraband (4910)
- °Arsenal Inspection/inventory (4916)
- °Tool and equipment control (4930)

NEW HAMPSHIRE  
(Adults)

- °Control of contraband on prison grounds (80-8)
- °Pass system (78-15)
- °State-owned vehicles (83-31)
- °Key control (81-10)
- °Use of prison radio system (83-37)
- °Control of state property (81-86)
- °Hazardous materials (81-92)

PUERTO RICO  
(Adults)

- °Perimeter security (9.2)
- °Control center (9.3)
- °Institutional inspections and use of daily logs (9.7)
- °Key control (9.9)
- °Control of tools, equipment and hazardous materials (9.10)
- °Use of official and personal vehicles (9.11)

FLORIDA  
(Adults)

- °Perimeter security (Oper. manual 7.04)
- °Key and lock control (O. M. 6.00)
- °Tool control (O. M. 2.00)
- °Tool and sensitive item control (P&P 3.04.05)
- °Contraband (P&P 3.04.07)
- °Security inspections (O. M. 7.00)
- °Housing units-search (O. M. 7.03)

MISSOURI  
(Adults)

- °Security plans and control of inmates (20.110.010)
- °Inspections and searches (20.110.020)
- °Key, tool, and toxic material control (110.030)
- °Use of state vehicles (20.110.110)

KENTUCKY  
(Adults)

- °Key control (9.12)
- °Tool control (9.11)
- °Security inspections (9.10)
- °Search policy (9.8)
- °Control of flammable, hazardous, toxic, and caustic chemicals and materials (KSR 03-015)
- °Key control - Kentucky State Reformatory (KSR 03-014)
- °Security inspection plan - Kentucky State Reformatory (KSR 03-011)
- °Tool control - Kentucky State Reformatory (KSR 03-010)

OKLAHOMA  
(Adults)

- °Procedures for inspection and maintenance of security devices (OP-040104)
- °Key control (OP-040105)
- °Contraband control (OP-040106)
- °Standard for control and use of flammable; Toxic, and caustic materials (OP-040108)
- °Operational system control (P-130100)
- °Physical plant and operational inspections (OP-130102)
- °Inspection standards (OP-130107)
- °Equipment, supplies, and space for health services unit (OP-130102)

RESPONDANTS

PHYSICAL PLANT AND EQUIPMENT (2)

WASHINGTON (Juveniles) °NONE

LOUISIANA (Adults) °Institution/Agency program and operations inspections (#100-A7)  
°Distribution of weapons and other security equipment (#400-A3)  
°Control and use of keys (400-A4)  
°Control and use of tools (#400-A5)  
°Control and use of all flammable, toxic and caustic materials (#400-A6)

MISSISSIPPI (Adults) °Control of contraband (6.03.3)  
°Equipment material/tool control (6.11.3)  
°Key control (6.15.3)  
°Control and use of flammable materials (9.08.3)

ILLINOIS (Adults) °Key control (5.01.103)  
°Security searches and inspection (5.01.103)  
°Use and control of tools (5.02.101)

WASHINGTON (Adults) °Cell facilities, conditions (7.05-7.07)  
°Watchtowers (7.14)  
°Space (7.10-7.13)  
°Perimeter control (9.01)  
°Perimeter surveillance (9.02)  
°Control center (9.04)  
°Access to security devices (9.12)  
°Key control (9.20)  
°Tools, culinary, medical equipment (9.21)  
°Vehicles (9.22)  
°Inspection of security devices (9.26)  
°Searches for contraband (Policy #420.110)

SOUTH CAROLINA (Adults) °Vehicle decals (100.9)  
°Key control (1500.9)  
°Tool control (1500.10)  
°Utensil control and accountability (1500.10-1)  
°Institutional inspections (1500.16)  
°Fire prevention/protection and evacuation plans (1900.1-1)

MISSOURI (Adults) °Maintenance Man II (3)  
°Search procedure for control of contraband (18)  
°Central Control Center (19,20)

MINNESOTA (Adults) °Tool control (Sect. T-11)  
°Syringe/needle control (H-11)  
°Searches (S-1)

KENTUCKY (Adults) °Security (Chpt. 9)  
°Physical Plant (Chpt. 15)  
°Safety and emergency procedures (Chpt. 16)  
°Sanitation (Chpt. 28)

NEW HAMPSHIRE (Juveniles) °Silverware accountability (4200)  
°Handling of unknown substances (4501)  
°Use of state vehicles (7010)  
°Fire safety (8011)  
°Fire-alarm system (8012)

ARIZONA (Juveniles) °Facility inspections (103.4.1)  
°Securing and disposing of contraband (400.10)  
°Key control (400.12)  
°Key control (Sect. IV, A-22)  
°Security systems and equipment, inspection and maintenance (401.15)  
°Cottage security (Sect. IV, A-19)  
°Disposal of illegal substances (Sect. IV, A-23)  
°Security of maintenance tools (Sect. IV, A-43)  
°Substances of abuse (Sect. IV, A-51)

RESPONDANTS

PHYSICAL PLANT AND EQUIPMENT (3)

NEW YORK CITY (Juveniles) °Key control (G.4.9)  
°Yard control (G.4.11)  
°Control of and search for contraband (G.4.12)  
°Security responsibilities (G.2.1.4)

MINNESOTA (Sauk Centre Juveniles) °Institution perimeters (2-205.1)  
°Security state and personal vehicles (2-212.1)  
°Key control (2-203.1)  
°Control of tools and culinary equipment (2-203.2)  
°Medical equipment (CAC standard #9294)  
°Control and distribution of flammable, toxic and caustic substances (2-203.3)  
°Fire protection program (3-603.2)  
°Fire, safety, sanitation, and security inspection (2-204.1)  
°Searches (2-208.1)

DELAWARE (Juveniles) °Vehicle logbook/vehicle maintenance (C-05)  
°Vehicle usage log (C-29)  
°Shift supervisors responsibilities (C-22)  
°Control measures: Tools/equipment (B-12)  
°Flatware control (A-10)  
°Weapons (A-19)  
°Food service personnel responsibilities (C-30)  
°Employee response to fire alarm (A-17)  
°Fire safety (A-18)  
°Fire evacuation plan (B-01)  
°Bomb threat (B-22)  
°Supply inventory control (C-12)  
°Physical security inspections (A-05)  
°Inspections (A-04)  
°Handcuff control (A-11)  
°Searches (A-03)

MINNESOTA (Red Wing Juveniles) °Maintenance repair request (0802)  
°Vehicle use (0804)  
°Operations center: Security and communications (0907)  
°Contraband: Handling and disposition (0908)  
°Tools and culinary equipment (0917)  
°Flammable, toxic and caustic materials (0918)  
°Key control (0924)

VERMONT (Juveniles) °Doors (7e, 8e)  
°Keys (24e)  
°Control and use of medical equipment (12b)  
°Inspections and searches (17e)  
°Contraband (2e)  
°Security checks (42e, 43e)

ALABAMA (Juveniles) °Use of state authorities (6.3)  
°Storing and administering drugs (12.13)  
°Firearms policy (12.15)

TEXAS (Juveniles) °Surveillance system (50.89.505)  
°Radio procedure (Campus communication) (50.89.515)  
°Building, equipment and vehicle security (50.89.465)  
°Vehicle traffic (50.89.520)  
°Keys (Emp. Handbook, pg. 12)  
°Inspection and repair (63.30.070)  
°Student search (50.89.415)

ALASKA (Juveniles) °Key control (ADM-2)  
°Supply-security and accountability (ADM-14)  
°Tool and equipment control (ADM-15)  
°Food services-accountability and security (ADM-16)  
°Contraband (PRO-19)  
°Contraband (CTU-15)  
°Searches (CTU-7)  
°Security (CTU-12)

## RESPONDANTS

## PHYSICAL PLANT AND EQUIPMENT (4)

MARYLAND  
(Adults)

- °Key control and use (110-11)
- °Analysis and disposal of suspected controlled, dangerous substances (110-17)
- °Tool control and use (110-20)
- °Security inspections (110-21)
- °Handie Radio (110-27)

MARYLAND  
(Juveniles)

- °Standards for institutionalization of children (9)
- °Disposition of drugs (13)
- °Search for contraband (G.B. I)
- °Control of poisons-combustibles, etc. (G.B. I)
- °Control/use of culinary equipment (G.B. I)
- °Control/use of medical equipment (G.B. I)

NEW YORK  
(Juveniles)

- °Contraband searches (3447)

NEVADA  
(Caliente Juveniles)

- °Keys (exhibit #3)
- °Maintenance tools and equipment (Exhibit #4)

MICHIGAN  
(Juveniles)

- °Facility and premises maintenance (Y.B. 16)
- °Fire detection and equipment (Y.B. 25-27)

HAWAII  
(Juveniles)

- °Security procedures (Vol. 1, 3A)
- °Key control (Vol. 1, 3B)
- °Control of dangerous substances (Vol. 1, 3E)
- °Contraband (Vol. 1, 3F)
- °Search procedures (Vol. 1, 3G)

IDAHO  
(Juveniles)

- °On Campus parking (C-102)
- °Acquisition and disposition of contraband (C-105)
- °Policy governing student access to keys (D-103)
- °Use of state vehicles (F-100)

FLORIDA  
(Juveniles)

- °Health and medical services (HRS4-12-1)

MASSACHUSETTS  
(Juveniles)

- °Fires (17c)

NEVADA  
(Elko Juveniles)

- °Maintenance department (1)
- °Contraband (3)
- °Preventive maintenance and safety (4)
- °Key control (6)

UTAH  
(Juveniles)

- °Physical plant - construction materials, space requirements, and equipment (Chapter 24)

## RESPONDANTS

## STAFF

NEW YORK  
(Adults)

- °Employee identification material (2946)
- °Search of DOCS Employees (4936)

WASHINGTON  
(Adults)

- °Handicapped staff, public (7.18)
- °Staff/inmate communication (1.06)
- °Manual of Policies, procedures (1.07)
- °Selection, retention, promotion (3.01)
- °Employing ex-offenders (3.03)
- °New employees record check (3.04)

SOUTH CAROLINA  
(Adults)

- °Shift assignment for security personnel (200.1-6)
- °Original employment (200.1)
- °Incompatible activity (200.1-8)
- °Progressive employee discipline (200.2-1)
- °Contraband control, accountability and disposition (1500.5)
- °Issue, use, and security of firearms (1500.8)
- °Consolidated daily yard report (1500.44)
- °Correctional officer first aid training program (2100.3-41)

OKLAHOMA  
(Adults)

- °Employee/visitor identification cards (OP-040112)
- °Conduct of employees (OP-110115)

ILLINOIS  
(Adults)

- °Identification cards (1.02.104)
- °Employee background investigation (3.02.102)

NEVADA  
(Elko Juveniles)

- °Use of alcoholic beverages/illegal drugs (#NY53)
- °Firearms
- °Employee conduct (#NY33)
- °Logbooks (#NY23)
- °Hiring Ex-felons (#NY04)

MISSISSIPPI

- °NONE

ARIZONA  
(Juveniles)

- °Employee identification cards (103.2.2)
- °Shift responsibilities/post orders (401.2)
- °Logbook maintenance and use (401.18)
- °Shift change (Sect. IV, A-14)
- °Duty officer responsibilities (Sect. IV, A-45)

KENTUCKY  
(Juveniles)

- °Personnel (Chpt. 11)
- °Training and staff development (Chpt. 12)
- °Juvenile rights (searches, etc.) (Chpt. 3)

MISSOURI  
(Juveniles)

- °Employee conduct (2)

NEVADA  
(Caliente Juveniles)

- °Employee background check (Exhibit #12)
- °Alcoholic beverages (Exhibit #13)

VERMONT  
(Juveniles)

- °Records (1c)
- °Incident reports (14e, 15e)
- °Staffing need/ratios (47e)
- °Background checks before hiring (4f)
- °Expectations of staff (5f, 6f)

FLORIDA  
(Juveniles)

- °Post orders (10.00 O. M.)
- °Employee identification (O. M. 11.04)
- °General rules and procedures (O. M. 13.08)

ALABAMA  
(Juveniles)

- °Student abuse by staff (12.6)

MARYLAND  
(Juveniles)

- °Staffing need and/or staffing ratios (G.B. II)
- °Staff under the influence of alcohol or drugs (G.B. II)
- °Firearms and/or weapons (G.B. II)
- °Operational shift assignment or orders (G.B. II)

RESPONDANTS

STAFF (2)

MINNESOTA  
(Red Wing Juveniles)

- °Personnel policies and regulations (0301)
- °Personnel records (0303)
- °Code of conducts (0304)
- °Emergency and identification information (0311)
- °Pre-employment interviews (0314)
- °Hiring of persons with criminal convictions (0315)
- °Weapons/Firearms (0912)

DELAWARE  
(Juveniles)

- °Headcounts and bedchecks (A-07)
- °Intake (B-05)
- °Searches (A-03)
- °Use of residents outside the facility (A-26)
- °Escort duties (A-06)

PENNSYLVANIA  
(Juveniles)

- °Staff qualifications (3820.22)
- °Staff orientation and training (3820.23)
- °Juvenile to staff ratios (3820.33)

NEW YORK CITY  
(Juveniles)

- °Staff responsibilities (F.6.3.2)
- °Security responsibilities (G.2.1.4)
- °Use of identification cards (G.4.7)

WASHINGTON  
(Juveniles)

NONE

WISCONSIN  
(Juveniles)

- °Staffing needs (Staffing pattern, pg. 26)

ALASKA  
(Juveniles)

- °Processing new employees (ADM-9)
- °Personnel security checks (ADM-17)
- °Unit daily log (PRO-25)
- °Center duty officer (CIU-5)

NEW HAMPSHIRE  
(Juveniles)

- °Staff contact with residents (#2-80)
- °Employee regulations (1020)

LOUISIANA  
(Adults)

- °Cellblock areas-record keeping activities (#300-A2)
- °Placement of weapons (400-A8)
- °Employee personnel records (#500-C6)

NEW HAMPSHIRE  
(Adults)

- °Weapons qualification (90-64)

MARYLAND  
(Adults)

- °Sidearms (50-39)
- °Post Orders (110-1)

MINNESOTA  
(Adults)

- °Identification cards (I-11)

MISSOURI  
(Adults)

- °Personnel identification cards (20-103.080)
- °Employee discipline (20-103.140)

KENTUCKY  
(Adults)

- °Criminal history checks on all personnel (3.6)

PUERTO RICO  
(Adults)

- °Security manual and post orders (9.1)
- °Job description and requirements for institutional correctional personnel (1.4)

UTAH  
(Juveniles)

- °Administration (Chapter 1)
- °Personnel (Chapter 3)
- °Training and staff development (Chapter 4)
- °Volunteer involvement (Chapter 9)
- °Staff-child ratios (4-6, 2)

DELAWARE  
(Juveniles)

- °Shift-supervisors responsibilities (C-22)
- °Logbook (A-24)
- °Searches (A-03)

RESPONDANTS

STAFF (3)

MASSACHUSETTS  
(Juveniles)

- °Confidentiality (1)
- °Process for handling contraband (13)

IDAHO  
(Juveniles)

- °Acquisitions and dispositions of contraband (C-105)
- °Firearms policy (C-104)
- °Resident abuse policy (D-100)

FLORIDA  
(Juveniles)

- °Qualifications (HRSM 5-1)
- °Security (HRSM 5-2)
- °Volunteer services (HRSM 8-1)
- °Employee training (HRSM 11-1)

MICHIGAN  
(Juveniles)

- °Qualifications (Y.B. 4,5)
- °Staff to resident ratio (Y.B. 6)
- °Training (Y.B. 6)

TEXAS  
(Juveniles)

- °Daily log (Transfer information) (50.89.185)
- °Staff firearms (Emp. Handbook, pg. 11)
- °Staff intoxicants (E. H., pg. 12)

HAWAII  
(Juveniles)

- °Proper supervision of dorms (Vol. 1, 3K)
- °Security patrol guidelines (Vol. 1, 30)
- °Employee orientation (Vol. 11, 15A)

MINNESOTA  
(Sauk Centre Juveniles)

- °Staffing needs and ratio-report, vacancies, and complement
- °Shift responsibilities (2-201.2)
- °Shift reports (2-202.1)
- °Employee identification cards (4-200.2)
- °Checking criminal records on prospective staff (4-001.5)
- °Weapons control (2-212.2)
- °Searches (2-208.1)
- °Alcoholism-Minnesota employee assistance program (4-100.8)

NEW YORK  
(Juveniles)

- °Identification badges (3457)

RESPONDANTS

RESIDENTS

NEW YORK  
(Adults)

- °Inmate personal property calim (2733)
- °Reporting inmate movement (2830)
- °Transporting to NYC for court appearances (2935)
- °Inmate records for transfer (4011)
- °Forwarding inmate mail (4015)
- °Inmate records-Detainees on out count (4016)
- °Inmate transfer procedures (4017)
- °Initial security classification guidelines for males (4018)
- °Inmate information during transfer of custody (4019)
- °Transfers-special needs inmates (4302)
- °Notification of transfer/inmate mailgrams (4424)
- °Transporting prisoners (4901)
- °Transfer of inmates (4906)
- °Packages and articles sent or brought to institutions (4911)
- °Inmate personal property limits (4913)
- °Transferring inmate property (4917)
- °Inmate health care during transfer (4918)
- °Inmate radios, tape players, and radio/tapeplayer combo (4920)
- °Inmate property - temporary storage of personal belongings (4934)
- °Guidelines for the selection of inmates for outside assignment (4950)

SOUTH CAROLINA  
(Adults)

- °Searches and shakedowns (1500.11)
- °Inmate personal property (1500.30)
- °Transportation operations (1800.4-2)

NEW HAMPSHIRE  
(Juveniles)

- °Monthly census (2600)
- °Transfer hearing (5610B)

LOUISIANA  
(Adults)

- °Approved movement procedures (#400-B2)
- °Initial classification procedures (#400-B4)
- °Inmate/student classification procedures (600-C2)
- °Recreation-interaction with the community (#600-F2)
- °Transfer of inmates/students (Reg. 30-4)
- °Strip and body searches (Reg. 30-25)

PENNSYLVANIA  
(Adults)

- °Searches of inmates and cells (BC-ADM 203)
- °Strip searches (BC-ADM 203)
- °Frisk searches (BC-ADM 203)

WASHINGTON  
(Adults)

- °Inmate movement (9.05)
- °Inmate counts (9.06)
- °Transportation of inmates (9.07)
- °Facility, inmate searches (9.16)
- °Strip searches (9.18)
- °Searches (14.11)
- °Inmate personal property (Policy #450.030)

MASSACHUSETTS  
(Juveniles)

- °Transportation of youth to and from court (11)
- °Transportation of secure facility youth (12)
- °Transportation policy (18)
- °Special placement policy (28)
- °Classification (green book)

UTAH  
(Juveniles)

- °Protective services to residents (Chapter 8)
- °Sanitation, safety, clothing, personal hygiene and grooming (Chapter 10)
- °Resident rights (Chapter 15)
- °Release preparation, transfer and transfer procedures (Chap. 21)
- °Personal belongings (12-2,2)
- °Transportation (14-3,2)

ILLINOIS  
(Juveniles)

- °Reception classification overview (20.04.01)

IDAHO  
(Juveniles)

- °Student count and recording (C-103)
- °Off campus activities (D-106)
- °Transfer of students between staff (D-111)



RESPONDANTS

RESIDENTS (2)

- ILLINOIS (Adults)
  - °Correctional facility counts (5.01.102)
  - °Security searches and inspections (5.01.110A-J)
  - °Control of inmate movement (5.03.106A-J)
  - °Inmate personal property (5.03.111A)
  - °Reception and classification (5.06.105)
- FLORIDA (Juveniles)
  - °Classification (HRSM 4-6)
  - °Searches (HRSM 5-7)
- ALASKA (Juveniles)
  - °Off campus activities (PRO-1)
  - °I-level classification (PRO-31)
  - °Official population count (A&D-6)
  - °Detention searches (DET-15)
- MICHIGAN (Juveniles)
  - °Personal property (Y.B. 8)
  - °Abuse and neglect (Policy #43)
- ARIZONA (Juveniles)
  - °Searches of juveniles (400.21)
  - °Transporting of juveniles (400.24)
  - °Physical counting of juveniles (400.30)
  - °Supervision of residents outside perimeter fence (#201)
  - °Student movement on campus (#703)
  - °Personal property (Sect. IV, A-9)
  - °Counts (Sect. IV, C-22)
  - °Campus movement (Sect. IV, C-23)
- MISSISSIPPI (Adults)
  - °Inmate transportation (6.10.3)
- HAWAII (Juveniles)
  - °Search procedures (Vol. 1, 3G)
  - °Transportation of wards (Vol. 1, 3H)
  - °Personal property after death/escape (Vol. 1, 8C)
  - °Employee attendance recording procedure (Vol. II, 10C)
- TEXAS (Juveniles)
  - °Dormitory security (50.89.210)
  - °Searches (90.50.070)
  - °Student search (50.89.415)
  - °Room inspection and search (50.89.590)
  - °Student movement (50.89.225)
  - °Movement to cafeteria (50.89.230)
  - °Organized group activities off campus (50.89.235)
- KENTUCKY (Juveniles)
  - °Assessment and placement (Chpt. 2)
  - °Juvenile rights (Chpt. 3)
  - °Rules and discipline (Chpt. 8)
  - °Security and control (Chpt. 9)
  - °Furlough, release (Chpt. 10)
- WASHINGTON (Juveniles)
  - °Classification and movement (DJR #5)
  - °Personal Property (DJR #16)
  - °Transportation (DJR #18)
- NEW YORK CITY (Juveniles)
  - °Transportation (F.6)
  - °Movement within facility (G.4.10)
  - °Frisk search (4.12.4)
  - °Strip search (4.12.5)
  - °Room searches (4.12.7)
  - °Count verification (G.2.1.3)
  - °Property intake (F.4.2)
  - °Control and search for contraband (G.4.12)
- OKLAHOMA (Adults)
  - °Inmate counts and movement (OP-040101)
  - °Transfer of offenders (OP-040107)
  - °Correctional classification (P-060100)
  - °Inmate classification (OP-060101)
  - °Control of inmate personal and legal property (OP-070303)

RESPONDANTS

RESIDENTS (3)

- KENTUCKY (Adults)
  - °Guidelines for transfers between institutions (18.9)
  - °Transfers (18.7)
  - °Classification document (18.6)
  - °Classification of inmate (18.4)
  - °Inmate personal property (17.1)
  - °Counts (9.14)
  - °Transportation of inmates (9.9)
  - °Search policy (9.8)
  - °Inmate-personal property-Kentucky State Reformatory (KSR 06-007)
  - °Location count/inmate daily movement (KSR 03-013)
  - °Count procedures (KSR 03-001)
- MINNESOTA (Sank Centre Juveniles)
  - °Classification plan summary (2-301.0)
  - °Resident counts (2-205.6)
  - °Personal property (2-102.7)
  - °Searches (2-208.1)
  - °Resident movement on campus (2-205.3)
  - °Transportation and supervision of residents off-campus (2-205.4)
  - °Transporting residents (2-205.5)
- MINNESOTA (Red Wing Juveniles)
  - °Internal security (0905)
  - °Searches (0909)
  - °Living and activity area inspection (0922)
  - °Resident classification manual (1701)
- MISSOURI (Adults)
  - °Classification files (20-108.010)
  - °Transportation of inmates (20-110.120)
  - °Property control (20-120.010)
  - °Inmate classifications (20-121.010)
- FLORIDA (Adults)
  - °Counts (O.M. 8.00)
  - °Transportation of inmates (O.M. 13.00)
  - °Inmate personal property (P&P 3.01.04)
  - °Procedure for searching inmates (P&P 3.04.06)
  - °Contraband (P&P 3.04.07)
  - °Body cavity searches of inmates (P&P 3.04.08)
- ALABAMA (Juveniles)
  - °Off campus trips - ANOL risks (12.3.5)
- MARYLAND (Juveniles)
  - °Transportation and security policy (18)
  - °Juvenile classification (G.B. III)
  - °Physical count procedure (G.B. III)
  - °Control of personal property of residents (G.B. III)
  - °Frisk searches of residents (G.B. III)
  - °Searches of room and living areas (G.B. III)
  - °Individual and group movement (G.B. III)
  - °Juvenile activities outside perimeter (G.B. III)
  - °Transportation of juveniles from one jurisdiction to another (G.B. III)
- MARYLAND (Adults)
  - °Transporting residents (110-12)
  - °Searches of inmates (110-26)
- PUERTO RICO (Adults)
  - °Inmate movement (9.4)
  - °Count principles and procedures (9.5)
  - °Transportation of inmates outside of institution (9.6)
  - °Search of inmates and various locations (9.8)
- NEW HAMPSHIRE (Adults)
  - °Strip searches (84-133)
  - °Safeguarding of inmate property (78-9)
  - °Custody grades (81-82)
  - °Searches of people (81-93)
  - °Inmate counts (81-100)
- MINNESOTA (Adults)
  - °Searches (S-1)
  - °Control measures/handling inmates (C-18)

RESPONDANTSVERMONT  
(Juveniles)MISSOURI  
(Juveniles)NEVADA  
(Caliente Juveniles)NEVADA  
(Elko Juveniles)RESIDENTS (4)°Strip searches (41e)  
°Personal possessions (7b)°Restrictions on behavior (1)  
°Individual area search (4)  
°Reception (7)  
°Classification (7)  
°Juvenile activities outside the perimeter (9)

NONE

°Procedure for off grounds trips (#010)  
°Academic and vocational programming (#NY63)  
°Group movement (#NY55)  
°Searching (#NY54)  
°Off campus trips (#NY26)RESPONDANTSNEW YORK  
(Adults)DELAWARE  
(Adults)MASSACHUSETTS  
(Juveniles)SOUTH CAROLINA  
(Adults)UTAH  
(Juveniles)IDAHO  
(Juveniles)FLORIDA  
(Juveniles)MICHIGAN  
(Juveniles)WASHINGTON  
(Adults)WASHINGTON  
(Juveniles)ILLINOIS  
(Adults)

MISSISSIPPI

TEXAS  
(Juveniles)HAWAII  
(Juveniles)

LOUISIANA

KENTUCKY  
(Juveniles)NEW HAMPSHIRE  
(Juveniles)ARIZONA  
(Juveniles)ALASKA  
(Juveniles)NEW YORK CITY  
(Juveniles)VISITORS°Inmate visitor program (4403)  
°Inmate legal visits (4404)  
°Family reunion program (4500)  
°Outsiders visiting or applying to visit institution (4935)°Visitation (B-09)  
°Official visitors; lawyers, social workers, court  
counselors, police, etc. (B-14)

NONE

°Visiting privileges (1500.3)  
°Contraband control, accountability, and disposition (1500.5)  
°Searches and shakedown (1500.11)

°Communication: Mail, visiting, and telephone (Chapter 19)

°Serious juvenile offender/behavior unit visitors (C-106)  
°Visiting (D-106)

°Visiting (HRSM 7-16)

NONE

°Terms of visitation (16.10)  
°Visitor registration (16.11)

NONE

°Temporary and permanent restrictions of visitors (5.01.106)

°Inmate visitation' (8.15.2)

°Visitors (90.41.010 5A)  
°Visitation (50.89.425)  
°Visitor reception (50.89.525)  
°Visitor searches (90.41.010 5B)  
°Visitor contraband (90.41.010 5B)°Visitation rules and regulations (Vol. 1, 6D)  
°Policy on boyfriend/girlfriend visits (Vol. 1, 6H)°Adult visitation (30-19A)  
°Student visiting (30-20)

°Juvenile rights (Chpt. 3)

°Visiting policy (#3-83)  
°Visiting (3902B)°Visiting in juvenile institutions (401.7)  
°Visiting regulations (#801)  
°Inter-relation visits (Sect. 1V, A-47)  
°On-campus visiting (Sect. 1V, C-1)°Visitation (PRO-7)  
°Visiting (CIU-4)  
°Visiting (DET-8)

°Visiting (G.2.2.5)

RESPONDANTSVISITORS (2)

PENNSYLVANIA  
(Juveniles) °Visiting and communication (3810.39)

OKLAHOMA  
(Adults) °Visiting regulations (OP-070302)

KENTUCKY  
(Adults) °General inmate visiting procedure (16.1)  
°Visiting regulations (KSR 06-001)

MINNESOTA  
(Sauk Centre juveniles) °Visiting (2-104.1)

MINNESOTA  
(Red Wing juveniles) °Searches (0909)  
°Visitors, log (0910)  
°Resident visiting (1503)

MISSOURI  
(Adults) °Inmate visiting (20-118.020)

FLORIDA  
(Juveniles) °Visiting (3.04.12)

MARYLAND  
(Juveniles) -Institutions and home visits policy (5)  
-Visitor approval (G.B. IV)  
-Control of visitor contraband (G.B. IV)

MARYLAND  
(Adults) -Authorized visitors (195-1)  
-Search of visitors (195-4)

NEW YORK  
(Juveniles) -Visits to residents (3455)

MINNESOTA  
(Adults) -Visiting regulations (V-1)

VERMONT  
(Juveniles) -Visiting (63e-65e)

NEVADO-Elko  
(Juveniles) -Visitors policy (#NY65)  
-Passes-visitors (#NY60)

RESPONDANTSPROGRAM ISSUES

NEW YORK  
(Adults) °Central Monitoring cases and review procedures (0701)  
°Reporting inmate attitude and behavior (4006)  
°Watch commanders log (4008)  
°Chapter V, Title 7 (4932)  
°Chapter VI, Title 7 (4933)  
°Special housing reports (4947)

DELAWARE  
(Juveniles) °Use of restraints, ie; cuff and travel belt (B-16)

MASSACHUSETTS  
(Juveniles) °Policies on extended commitments (8)  
°Special passes (9 and 23)  
°Room confinement (21)  
°Protective security policy (25)

SOUTH CAROLINA  
(Adults) °Guidelines for personnel management of program service  
and administrative operations (100.7)  
°Administrative segregation (1500.13)  
°Confinement (1500.13-1)  
°Corporal punishment (1500.21)  
°Adjustment committees (1500.24)

UTAH  
(Juveniles) °Programs and services (Chapter 20)

IDAHO  
(Juveniles) °Use of isolation room (D-116)

FLORIDA  
(Juveniles) °Controlling the violent child (HRSM 5-11)  
°Discipline policy and procedures (HRSR 175-6)

MICHIGAN  
(Juveniles) °Deliberate damage and restitution (Policy #5)

WASHINGTON  
(Adults) °No total isolation (10.17)  
°Special management inmates (all of 10)  
°Freedom from abuse/corporal punishment (14.09)

WASHINGTON  
(Juveniles) °Isolation policy (DJR #22)

MISSISSIPPI °Inmate discipline procedures (8.07.3)

TEXAS  
(Juveniles) °Dorm restrictions 50.89.410  
°Serious behavior problems (90.42.100)  
°Confinement (90.42.100(6), (90.42.100 (3D))  
°Isolation (50.89.570)  
°Corporal punishment (90.41.010) (8A)

HAWAII  
(Juveniles) °Use of separation unit (Vol. 1, 3D)  
°Disciplinary procedure (Vol. 1, 3C)  
°Disciplinary action (Vol. 11, 15D)

LOUISIANA  
(Adults) °Confinement (#300-A4) (areas)  
°Cruel and unusual punishment (30-3)  
°Confinement (30-28)

KENTUCKY  
(Juveniles) °Administration, organization, and management (Chpt. 1)  
°Program services (Chpt. 6)  
°Rules and discipline (Chpt. 8)  
°Security and control (Chpt. 9)

NEW HAMPSHIRE  
(Juveniles) °Punishment and control measures (#5-83)  
°Disciplinary procedures (5615B)

SOUTH CAROLINA  
(Juveniles) °Disciplinary action (Sect. 1)

RESPONDANTSPROGRAM ISSUES (2)

ARIZONA  
(Juveniles) °Juvenile disciplinary lock-up (401.8)  
°Isolation procedure (Sect. IV, A-25)  
°Disciplinary guidelines (Sect. IV, A-34)  
°Confinement (Sect. IV, C-16)

PENNSYLVANIA  
(Adults) °Inmate disciplinary procedures (BC-ADM 801)

ALASKA  
(Juveniles) °Disciplinary actions (ADM-41)  
°Disciplinary placement (PRO-32)

NEW YORK CITY  
(Juveniles) °Confinement (I.3)

PENNSYLVANIA  
(Juveniles) °Child discipline (3810.38)  
°Use of isolation (3820.39)  
°Isolation (2-28-12)

OKLAHOMA  
(Adults) °Standards for disciplinary procedures (P-060400)  
°Disciplinary procedures (OP-60401)

KENTUCKY  
(Adults) °Offenses and penalties (15.2)  
°Special management inmates (10.2)  
°Inmate rules and discipline (KSR 05-012)

MINNESOTA  
(Sauk Centre juveniles) °Non-detention disciplinary action (2-303.1)  
°Programming for high-risk residents (2-206.1)  
°Placement in the security unit (2-303.3)  
°Resident rights (2-103.0)

MINNESOTA  
(Red Wing juveniles) NONE

FLORIDA  
(Juveniles) °Discipline (4.07.20)  
°Administrative confinement (4.07.11)  
°Protective confinement (4.07.28)  
°Disciplinary confinement (4.07.26)

ALABAMA  
(Juveniles) °Discipline (12.3.1)  
°Room confinement (12.3.3)

MARYLAND  
(Juveniles) -Corporal punishment (3)  
-Grievance procedures (4)  
-Policy on temporary seclusion (7)  
-Security management (G.B. V)  
-Discipline measures/Technology (G.B. V)

MARYLAND  
(Adults) -Isolation cells (110-4)  
-Segregation controls (110-6)

NEW YORK  
(Juveniles) -Room confinement (3426)  
-Disciplinary decisions (3445)

MINNESOTA  
(Adults) -Discipline plan (D-4)  
-Segregation unit (S-3)

VERMONT  
(Juveniles) -Discipline (5e, 6e)  
-Isolation (18e-23e)

MISSOURI  
(Juveniles) -Protective Custody problems-Shelter (14)

NEVADA-Caliente  
(Juveniles) -Room confinement (exhibit #17)  
-Use of lock-up (exhibit #18)  
-Physical/Corporal punishment (exhibit #19)

NEVADA-Elko  
(Juveniles) -Confinement/Lock-up (#NY19)  
-Youth discipline (#ny18)  
-Corporal punishment (#NY08)

RESPONDANTSSPECIAL INCIDENTS

NEW YORK  
(Adults) °Unusual incident report (4004)  
°Special Events program (4022)  
°Use of chemical agents (4903)  
°Escape pursuit (4905)  
°Arsenal Operation (4908)

DELAWARE  
(Juveniles) °Escape plan (B-02)  
°Press release-escape (C-09)  
°Internal investigations (C-21)  
°Use of restraints, ie; cuff and travel belt (B-16)  
°Medical examination and treatment (B-07)

MASSACHUSETTS  
(Juveniles) °Escape policies and procedures (7)  
°Incident reports (15)  
°Facility incident reports/Isolation reports (16)  
°Use of mechanical restraints (22)  
°Suicide prevention plan (19)

SOUTH CAROLINA  
(Adults) °Security measures for escapees (1500.7)  
°Issue, use, and security of firearms (1500.8)  
°Mechanical restraints (1500.12)  
°Procedural guidelines-escape (1500.14)  
°Chemical Munitions (1500.15)  
°Use of physical force (1500.40)

UTAH  
(Juveniles) °Security and control (Chapter 13)  
°Rules, discipline, secure observation, use of restraints (Chpt. 16)  
°Illness, accident. death (16-8,2)

IDAHO  
(Juveniles) °Runaway policy (C-101)  
°Firearms policy (C-104)  
°Management of disruptive and defiant youth (D-101)  
°Special report form policy (D-102)  
°Use of restraints (D-115)

FLORIDA  
(Juveniles) °Searching for an escapee (HRSM 5-7)  
°Escape (HRSM 5-22)  
°Standards for use of restraints (HRSM 5-26)  
°Mechanical restraints (HRSR 175-1)

MICHIGAN  
(Juveniles) °Unusual incident report (Policy #18)  
°Death or serious injury (Policy #15)  
°Truancy (Policy #24)  
°Return from truancy (Policy #28)

WASHINGTON  
(Adults) °Restraints (9.08)  
°Deadly force (9.09)  
°Physical force (9.29)  
°Escapes (9.32)  
°Use of restraints (13.41)  
°Use of firearms (Policy #420.200)

WASHINGTON  
(Juveniles) °Use of restraints (DJR #2)  
°Escapes (DJR #17)

ILLINOIS  
(Adults) °Report of unusual incidents (1.12.105)  
°Report of deaths (1.12.111)  
°Response of medical emergencies (4.03.108)  
°Use and control of chemical agents (5.01.124 A-J)  
°Security restraints (5.01.126)  
°Escape plan (5.01.130)  
°Use of firearms (5.01.119A-C)

MISSISSIPPI  
(Adults) °Control of firearms (6.04.3)

TEXAS  
(Juveniles) °Directive to apprehend (46.90.020)  
°Run team duty (50.89.019)  
°Escape (50.89.470)  
°Statewide apprehension of escapees (50.89.473)  
°Escape investigation (50.89.475)  
°Return from escape (50.89.480)  
°Incident reporting (90.52.010)  
°Physical force/use of restraints (90.50.060)  
°Incident report (50.89.300)

RESPONDANTS

SPECIAL INCIDENTS (2)

HAWAII  
(Juveniles)

- °Suicide alert procedure (Vol. 1, 5E)
- °Reporting incidents (Vol. 11,10D)
- °Use of restraints (Vol. 1, 3J)

LOUISIANA  
(Adults)

- °Discharging firearm/chemical agents (#400-A1)
- °Prompt and proper medical attention (#400-A10)
- °Inmate, student deaths (#600-A1)
- °Reporting escapes (Dir. 9)
- °Escapes, extraditions (Reg. #10-13)
- °Use of gas or mace on inmates and students (#30-24)
- °Use of mechanical restraints on students (#30-27)
- °Use of force (#30-29)

KENTUCKY  
(Juveniles)

- °Administration, organization, and management (Chpt. 9)

NEW HAMPSHIRE  
(Juveniles)

- °Procedures fro handling suicides, suicide attempts, or threats of suicide (4011B)
- °Physical restraints (5629)
- °Mechanical restraints (N5630)

SOUTH CAROLINA  
(Juveniles)

- °Runaways (Sect. 2)

ARIZONA  
(Juveniles)

- °Use of force (103.2.2)
- °Use of restraints (400.5)
- °A.W.O.L. Procedures (400.16)
- °Death of a committed juvenile (400.19)
- °4 pt. restraints, use (401.17)
- °Incident reports/force reports (Sect. IV, A-4)
- °Use of force (Sect. IV, A-11)
- °Escape procedure (Sect. IV, A-30)
- °A.W.O.L. Risks (Sect. IV, A-35)
- °Restraint of resident to a bed (Sect. IV, A-36)

PENNSYLVANIA  
(Adults)

- °Use of force (BC-ADM 201)
- °Use of restraints (BC-ADM 201)
- °Use of mace (BC-ADM 201)

KANSAS

- °Escape plan (pg. 42)

ALASKA  
(Juveniles)

- °Resident incident report (PRO-3)
- °Runaway (PRO-24)
- °Physical confrontations (PRO-36)
- °Reporting runaway residents (A&D-7)
- °CTU A.W.O.L. (CTU-10)

NEW YORK CITY  
(Juveniles)

- °Use of physical force (I.1)
- °Reporting requirements (I.3.7)
- °Escape (G.11.8)
- °Suicide/death of inmate (G.11.8)

PENNSYLVANIA  
(Juveniles)

- °Use of restraints (3820.38)
- °Use of mechanical restraints (2-28-13)

OKLAHOMA  
(Adults)

- °Use and control of firearms (OP-040111)
- °Use of force and chemicals (P-050200)
- °Departmental procedure for escape (OP-050103)
- °Standards for use of force and investigation of serious incidents (OP-050201)
- °Use of restraints (OP-160151)

KENTUCKY  
(Adults)

- °Use of force (9.1)
- °Extraordinary occurrence procedures (1.6)
- °Firearms and chemical agents training (4.3)
- °Storage, issue and use of weapons/Chemical agents (9.7)
- °Escape response procedures (KSR 04-005)
- °Use of force-Kentucky State Reformatory (KSR 03-016)
- °Extraordinary occurrence report (KSR 09-001)

RESPONDANTS

SPECIAL INCIDENTS (3)

MINNESOTA  
(Sauk Centre juveniles)

- °Escapes (2-210.1)
- °Supervision of residents (2-201.1)
- °Use of restraints (2-209.1)
- °Distribution of mechanical restraints (2-209.2)
- °Weapons control (2-212.2)
- °Use of controlled drugs (3-810.0)
- °Incident reports (2-202.2)
- °Resident and staff injuries (2-207.6)

MINNESOTA  
(Red Wing juveniles)

- °Use of force, physical restraints and chemical agents (0903)
- °Restraint equipment: Location and use (0904)
- °Runaway and search procedure (0906)
- °Special incidents report (0920)

MISSOURI  
(Adults)

- °Control and use of firearms (20.110.040)
- °Use of force (20.110.060)
- °Escapes (20.110.080)
- °Escape procedures (20.110.130)

FLORIDA  
(Juveniles)

- °Use of force (3.04.02 P&P)
- °Escape procedures (P&P 3.04.01)
- °Riot and disorder plan (P&P 3.04.10)
- °Incident reports (P&P 3.04.03)
- °Restraint equipment (O.M. 13.03)
- °Use of chemical agents (O.M. 1.05)
- °Use of firearms (O.M. 1.06)

ALABAMA  
(Juveniles)

- °Runaway/Escapes (10.0)
- °Restraint (12.3.2)

MARYLAND  
(Juveniles)

- Policy on returning AWOL's (1)
- Youth on drugs (2)
- Physical restraint (14)
- Handling escapes (G.B. VI)
- Prevention of runaway and other incidents (G.B. VI)
- Physical force (G.B. VI)
- Restraints (G.B. VI)
- Use of restraint equipment (G.B. VI)
- Use of firearms (G.B. VI)
- Record keeping for special incidents (G.B. VI)
- Medical exam of staff/juveniles that have been injured (G.B. VI)

MARYLAND  
(Adults)

- Restraint devices (110-3)
- Firearms (110-9)
- Use of force (110-23)
- Reporting escapes (190-1)
- Escape retake warrants (190-2)
- Return and prosecution of escapee (190-3)

PUERTO RICO  
(Adults)

- Control of firearms and other security equipment (9.12)
- Use of force (9.13)

NEW YORK  
(Juveniles)

- Use of physical force (3423)
- Use of mechanical restraints (3424)
- AWOL's and warrants (3428)

NEW HAMPSHIRE  
(Adults)

- Bomb threats (80-67)
- Use of physical restraints (81-94A)
- Suicide prevention (81-96)
- Sexual harrassment (83-124-1)

MINNESOTA  
(Adults)

- Escape (E-6)
- Firearms and chemical agents (F-2)

VERMONT  
(Juveniles)

- Escapes (9e)
- Use of force (12e)
- Physical and mechanical restraint (37e-39e)
- Suicide (47e)
- Death (2f, 3f)

RESPONDANTS

SPECIAL INCIDENTS (4)

MISSOURI  
(Juveniles)

- Procedure for runs (8)
- Use of tranquilizing medicine (9b)
- Medical examination of staff or juveniles injured (10)

NEVADA-Caliente  
(Juveniles)

- Group restrain (exhibit #21)
- Use of restraints (exhibit #22)

NEVADA-Elko  
(Juveniles)

- Medical services for youth (#NY66)
- Medical services for personnel (#NY56)
- Runaways/Reporting escapes (#NY32)

RESPONDANTS

EMERGENCIES

NEW YORK  
(Adults)

- °Disturbance control plans (4010)

DELAWARE  
(Juveniles)

- °Medical emergency procedure (B-08)
- °Responsibilities of outside hospital coverage (B-20)
- °Disorder/hostage plan (C-32)
- °Fire-evacuation plan (B-01)
- °Suicide attempts (C-26)

MASSACHUSETTS  
(Juveniles)

- °Fires (17c)

SOUTH CAROLINA  
(Adults)

- °Taking of hostages by inmates (1500.26)
- °Emergency situations and disturbances (1500.34)
- °Emergency medical treatment for departmental employees (2100.3-15)
- °Disaster preparedness plan (big section)

UTAH  
(Juveniles)

- °Medical and health care services (Chapter 12)
- °Emergency planning and preparedness (14-2,2)
- °Emergency medical services (16-7,2)

IDAHO  
(Juveniles)

NONE

FLORIDA  
(Juveniles)

- °Fire (HRSN 5-13)
- °Bomb threats (HRSM 5-16)
- °Youth riot (HRSM 5-18)
- °Taking of hostages (HRSM 5-19)

MICHIGAN  
(Juveniles)

- °General emergency conditions policy (Policy #31)

WASHINGTON  
(Adults)

- °Situations threatening security (9.33)
- °Emergency response plans (Policy #410.010)

WASHINGTON  
(Juveniles)

none

ILLINOIS  
(Adults)

- °Fire plan (5.02.110)
- °Hostage situations (5.01.105A)

MISSISSIPPI  
(Adults)

- °Evacuation plan/Fire safety (9.05.2)
- ° Fire emergency procedures (9.07.3)
- °Tornadoes (natural disaster) (9.10.3)

TEXAS  
(Juveniles)

- °Emergency procedures (46.100.110)
- °Natural disaster/emergency/student unrest (50.89.017)
- °Fires (90.42.100 5B)
- °Emergency operation plan (pack)
- °Disaster and emergency plan (Pack)
- °Action plan for student unrest (pack)
- °Natural disaster (pack)

HAWAII  
(Juveniles)

NONE

LOUISIANA

- °Fire and safety plans (#200-D2)
- °Emergency medical care and transportation (#600-A2)
- °Institutional riots, disturbances and taking of hostages 10-19)

KENTUCKY  
(Juveniles)

- °Emergency procedures (Chpt. 16)

NEW HAMPSHIRE  
(Juveniles)

- °Emergency plan-work stoppage (9013)

SOUTH CAROLINA  
(Juveniles)

- °Emergency code system (Sect. 3)

RESPONDANTSEMERGENCIES (2)ARIZONA  
(Juveniles)

- °Employer response to emergencies (103.1.7)
- °Emergency communications (401.3)
- °Emergency medical procedures (Sect. IV, A-27)
- °Fire evacuation (Sect. IV, A-39)
- °Major disturbance/riot control (Sect. IV, A-63)

KANSAS  
(Juveniles)

- °Hostage response and negotiation (pg. 1)
- °Guidelines for hostages (pg. 18)
- °Debriefing in hostage situations (pg. 20)
- °Disturbance control procedure (pg. 35)
- °Fire plan (pg. 40)
- °Disaster plan (pg. 44)

ALASKA  
(Juveniles)

- °Emergency plan (ADM-21)
- °Emergency medical care (ADM-27)
- °Fire (CIU-6)

NEW YORK CITY  
(Juveniles)

- °Fire(G.6)
- °Emergency evacuation procedures (G.6.4)

PENNSYLVANIA  
(Juveniles)

- °Fire safety (3810.82)

OKLAHOMA  
(Adults)

- °Emergency plans (P-050100)
- °Emergency plans for riots, disturbances, and major disasters (OP-050102)
- °Limiting condition in bargaining for hostage release (OP-050107)
- °Emergency care (OP-160128)

KENTUCKY  
(Adults)

- °Emergency preparedness (8.4)
- °Fire safety (8.2)

MINNESOTA  
(Sauk Centre juveniles)

- °Emergency communications (2-207.7)
- °Tornadoes and severe thunderstorms (2-207.3)
- °Hostages and major disturbances (2-207.5)
- °Fires (2-207.1)
- °Fire drills (2-207.2)
- °Special incident reports (2-202.3)
- °Employee guidelines for emergency procedures (Emp. guide)

MINNESOTA  
(Red Wing juveniles)

- °Emergency communication system (0901)
- °Emergency situation response (0902)
- °Emergency evacuation plan and procedures (1101)

FLORIDA  
(Adults)

- °Hostages (O.M. 1.07)
- °Fire plan (O.M. 5.00)
- °Natural or man-made disaster (P&P 3.04.09)

ALABAMA  
(Juveniles)

- °Safety and emergency procedures (12.2)
- °Notification of major incidents (12.14)

MARYLAND  
(Juveniles)

- OD policy (G.B.VII)
- Fires (G.B. VII)
- Fire drills (G.B. VII)

MARYLAND  
(Adults)

- Emergency plans (110-2)
- Hostage recovery plan (110-14)
- Mass disturbance plan (110-24)

PUERTO RICO  
(Adults)

- Institutional emergency plans (9.14)

NEW YORK  
(Juveniles)

- Critical incidents (3429)

NEW HAMPSHIRE

- Media coverage of (80-76)
- Major fire or disaster \*81-95)
- Fire alarm and emergency communication system (83-125)

RESPONDANTSEMERGENCIES (3)VERMONT  
(Juveniles)

- Emergencies (3e, 4e)
- Hostage (10e)
- Evacuation plan (10e)
- Fire emergency plan (11e)

MISSOURI  
(Adults)

- Emergency procedures (6)
- Record-keeping for emergencies (11)
- Emergency situations (12, 13)
- Fire (15, 17)

NEVADA-Caliente  
(Juveniles)

- Emergency plan (exhibit #25)
- Major disaster (exhibit #26)
- Disaster (exhibit #28)
- Emergency alarm systems (exhibit #29)

NEVADA-Elko  
(Juveniles)

- Fire drills (#NY59)

**END**