

STATE OF SOUTH CAROLINA DEPARTMENT OF JUVENILE JUSTICE
POLICY AND PROCEDURES

Title:	Reporting Events	Policy No.:	I-3.2	Page(s):	1 of 9
Authority:	Inspector General				
Juvenile Justice Code:	n/a				
PbS Related Standard(s):	n/a				
July 1, 2014 Effective Date		<u>SIGNED/ <i>Margaret H. Barber</i></u> Margaret H. Barber Director			
DATES UPDATED:					

PURPOSE: The Department of Juvenile Justice (DJJ) staff will document significant events, serious incidents and accidents, and other significant information occurring at and/or related to juveniles, employees, volunteers, visitors, DJJ facilities, programs, schools, offices, and work-sites.

PROCEDURAL GUIDELINES:

A. Definitions

1. Event: An act, situation, incident, or information that requires documenting for the purposes of one or more of the following reasons:
 - a. For review by a manager.
 - b. For support of action based on safety or security issues.
 - c. For investigation.
 - d. For criminal prosecution.
 - e. For administrative sanctions.
 - f. For auditing for financial purposes.
 - g. For maintaining historical records.
 - h. For data collection.
2. DJJ Event Report (Form I-3.2A): A written report that is required for each incident, accident, injury or other significant event that occurs involving juveniles, employees, volunteers, and/or visitors occurring at and/or related to DJJ. The report is to be completed by the employee observing or having

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knowledge of the event. Other employees observing/having knowledge of the event may also be required by their supervisor to complete a report, depending on

the circumstances and nature of the specific event. All event reports will be completed prior to the employee ending his/her daily tour of duty and submitted to the employee's supervisor for review.

3. Supplemental Event Report (Form I-3.2B): A written report to document information found subsequent to the original event/incident (e.g., additional pertinent information obtained following the initial report, recapture of escaped juveniles, subsequent arrests of staff or juveniles, report of dropped charges against staff or juveniles, etc.).
4. Event Reporting Management Information System (ERMIS): An advanced computer database used for collecting events for purposes of investigation, information gathering, and management review.
5. ERMIS Site Reporters: The DJJ designated and trained staff members at each site responsible for reporting required ERMIS information to the Office of the Inspector General/DJJ Police Dispatch Unit.
6. Performance Based Standards (PbS): The selected set of standards and goals that DJJ uses to prepare continuous improvement plans based on data, outcome measures, expected practices, and processes.
7. PbS Site Manager: The DJJ designated and trained staff member at each site responsible for reporting required PbS information.
8. TIP Line: A confidential telephonic reporting system for employees and volunteers to use to report information directly to the Office of the Inspector General.

B. Training Requirements

All staff will receive training in Reporting Events as part of the initial DJJ Employee Orientation Program. Juvenile Correctional Officers and Residential Specialists will receive training in the Event Reporting Management Information System (ERMIS) as part of their on-the-job training.

C. Required Reportable Events

Required reportable events are listed on the DJJ Required Event Reporting (Attachment I-3.2A).

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1. The DJJ Event Report (Form I-3.2A) is required for the event/incident types described and listed on the attachment. Events may include, but are not limited to ERMIS, PbS, Court Report, Use of Force, Juvenile Violations).
 2. When physical force is used, the Report on the Use of Physical/ (Forms H-3.12A) must be submitted.
 3. The supervisor will use sound judgment and discretion to determine when an event not listed/described on the DJJ Required Event Reporting list needs to be documented and reported.
- D. Supplemental information received subsequent to the initial Event Report will be documented on the DJJ Supplemental Event Report (Form I-3.2B).
- E. Tip Line (# 1-866-313-0073)

The DJJ Inspector General operates a toll free “Tip Line” which may be utilized by all DJJ employees, statewide. This line is a voice messaging system that allows individuals to call at anytime. Although the primary purpose for this service is to enhance the Event Reporting System, it also provides a mechanism for employees to relay ideas and concerns. Individuals calling the Tip line are asked to provide as much detail, (date, time, location, individuals involved, type incident) as possible so that the specific incident can be verified.

1. The Tip Line may be used to:
 - a. Verify an incident has already been reported.
 - b. Verify an incident should be reported.
 - c. Report suspected criminal or administrative violations.
 - d. Convey concerns or observations about current DJJ practices or procedures.
 - e. Convey ideas that may enhance services to juveniles.
 - f. Convey ideas that may enhance daily operational procedures.
 - g. Convey ideas that may save dollars for the department.
2. The Tip Line may not be used:

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- a. For an individual that was involved in an incident/event to report his/her involvement in the incident/event. The Investigator will conduct interviews of persons involved, when necessary.
- b. To delay the reporting guidelines required by ERMIS.
- c. As a substitute for ERMIS reporting.
- d. To report emergencies.

F. Responsibilities

1. The Supervisor will ensure that serious incidents, accidents, and events are immediately reported to their respective Manager. Each Manager will ensure that a report is made to their respective Executive Manager. Executive Managers will determine those events of which they wish to be notified and the time frames of notification.
2. County/Facility/School/Office Managers will ensure that each incident, accident, and significant event occurring at their work site is properly and promptly reported and that records and files meet the reporting requirements.
3. Staff at detention centers, evaluation centers, long-term facilities, programs, county offices, group homes, wilderness camps, administrative offices, and contract facilities are expected to follow the guidelines set forth in this policy.

G. Review

The supervisor/manager receiving an Event Report from an employee will review the document and verify that it is legible, thorough, fact-based, and complete. The supervisor/manager may correct grammatical and sentence structure errors but may not change the content of the report. When the report lacks significant information, the supervisor/manager will have the employee provide the missing information as soon as possible. A report will not be held from submission while waiting for additional information. A DJJ Supplemental Event Report (Form I-3.2B) will be completed and submitted as soon as possible after the information is obtained.

H. Confidentiality of Event Reports

The original Event Report will be maintained at the site in the administrative files for 3 years and then forwarded to DJJ Central Records in compliance with DJJ Policy B-5.5, Retention and Disposition of Departmental Records. Only persons authorized by the supervisor/manager or Inspector General's Office may access and photocopy Event Reports. Photocopies will be made and distributed to employees who need to know the information (e.g., Classification Case Managers, Clinicians, and/or DJJ Investigators).

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I. Event Reporting Management Information System (ERMIS)

The Office of the Inspector General (OIG) will maintain the ERMIS database containing information on events occurring within any location associated with DJJ, including facilities, county offices, group homes, contract facilities and administrative offices.

ERMIS reports may be made on a statewide basis, 24-hours per day, 7 days per week. They are accepted at the OIG during routine office hours and at the DJJ Police Dispatch Unit during all other hours.

1. ERMIS Reporting Guidelines

- a. Administrators of DJJ and contractual facilities will ensure that a staff trained in ERMIS reporting is on duty each shift and available on a 24-hour, 7 day basis to serve as ERMIS Site Reporters.
- b. All events listed in the Priority 1 and Priority 2 columns of the DJJ Required Event Reporting list (Attachment I-3.2A) will be immediately reported directly to the designated ERMIS Site Reporter.
- c. The ERMIS Site Reporter will review and verify the information on the DJJ Event Report (Form I-3.2A) prior to submitting the information as an ERMIS Report to the IOG/DJJ Police Dispatch Unit.
 - 1) For Priority 1 events, the Site Reporter will immediately call the DJJ Police Dispatch Unit and immediately fax the Event Report to the DJJ Police Section.
 - 2) For Priority 2 events, the Site Reporter will fax the Event Report to the DJJ Police Section within 24 hours after the occurrence of the event or the next business day if the event occurred on a weekend or holiday. (Priority 2 events should not be called in unless there is uncertainty about whether the event is Priority 1 or 2.)

2. Upon contact, the Dispatch Unit staff will prompt the Site Reporter for required information. The Dispatch Unit staff will enter the information into ERMIS as it is being reported. When all required information is entered, the Dispatch Unit staff will issue the Site Reporter an ERMIS reference number to document on the Event Report. Entering this number on the Event Report form will provide the Site Reporter with verification that the event was called in and a reference number for future reference. ERMIS Reporting Time Frames

Reporting in a timely manner is critical to the success and final outcome of an investigation. It is preferable that an event be reported to ERMIS in a timely manner rather than the report being delayed to gather additional information. If

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significant information is obtained after the ERMIS filing of an Event Report, the initial report may later be supplemented. Personal opinions and/or verbal commentary are unnecessary until such time as an investigator requests the information.

- a. Reportable ERMIS events will be assigned to one of two categories, Priority 1 or Priority 2, as described in the DJJ Required Event Reporting (Attachment I-3.2A). The reporting time frame will commence when the staff member is made aware of the event or allegation.
- b. Priority 1 events will be reported immediately following knowledge of the occurrence.
- c. Priority 2 events will be reported within 24 hours, or the next business day if the event occurs after business hours, on a weekend, or holiday.
- d. If there is a question as to the priority type of an event, it will be assumed that it is a Priority 1 and a report of the event immediately will be made. If the event warrants a change in priority type, that change will be determined by the OIG and made following report of the event.

3. OIG Handling of ERMIS Reported Events

- a. After receiving an ERMIS Report and entering all pertinent information into the ERMIS database, the Dispatch Unit will notify the OIG by telephone that a new report has been entered into the system and the report will be transmitted via e-mail.
- b. Reports of Priority 1 events that are received after business hours, on weekends, or on holidays will be referred to the on-call OIG staff member. These reports will be handled immediately to ensure timely gathering of vital, time-sensitive information.
- c. The Chief of Investigations will access the ERMIS Report, review the information, and either:
 - 1) Classify the event as to priority, and make assignment for action, if applicable, to one or more of the following areas:
 - A) The DJJ Investigations Section for investigation of criminal activity.
 - B) The Internal Affairs Section for management review of policy violations.

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- C) The Internal Affairs Section for administrative review for safety and/or security violations.
 - D) The Juvenile and Family Relations Section for grievance actions.
 - E) The Internal Audits Section for audit purposes.
 - 2) Enter the event for statistical tracking purposes only.
 - 3) Forward the event to another DJJ office to handle (e.g., Human Resources).
 - 4) Return the event to the responsible manager to handle.
 - 5) Upon approval of the IG, refer the event to an office outside of DJJ (e.g., South Carolina Law Enforcement Division).
 - d. Assignments made to areas other than DJJ Police will be forwarded via e-mail to the appropriate OIG section chief, who will review the report and assign the investigation to the appropriate staff member.
 - e. Event reports will be assigned daily based on criteria established by the OIG, with all classification and assignment information entered into the ERMIS database. Details relative to referrals and assignments of cases to outside agencies will be entered in ERMIS by designated staff of the OIG.
 - f. Upon completion of an assignment, a report will be submitted to the appropriate OIG section chief for review and determination of action to be taken. This information will be entered in ERMIS by the section supervisor at that time.
 - g. Results from completed cases will be distributed to appropriate DJJ management for necessary administrative corrective action. Action taken by entities outside the OIG will be forwarded to the OIG for entry into ERMIS. Any criminal or judicial dispositions resulting from a case will also be entered into ERMIS.
4. Confidentiality of ERMIS Reports, Information, and System
- Access to events and information contained in ERMIS will be limited by the Inspector General. The opening screen of ERMIS will display the names of authorized users and viewers and their assigned levels of access. The restricted access will be closely monitored for the security and accuracy of the database.

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5. Cumulative ERMIS Reports

The OIG will prepare a monthly statistical report and a Facility Incident Log based on information contained in ERMIS. This information will be disseminated to management for use in ad hoc statistical reports to aid in long range planning, forecasting, projecting budgetary and staffing needs, responding to departmental

or legislative requests and requests for public records. An early alert component will enable identification of systemic issues. The information will also be used in preparing the Monthly Statistical Report submitted to SLED.

6. Falsification of ERMIS Reports or Failure to Report

If it is determined through the course of an investigation that a staff member interfered with a juvenile in the filing of a report, or failed to submit/report an Event Report, failed to act on a request for assistance by a juvenile, retaliated against or intimidated a juvenile for participating in the reporting process, or knowingly falsified information in the reporting of an event, appropriate disciplinary action will be taken in accordance with DJJ Policy B-3.15, Progressive Employee Discipline.

J. Performance Based-Standards (PbS)

1. Each facility participating in the PbS process will forward those DJJ Event Reports required to be reported to PbS (Attachment I-3.2A) to the PbS Site Manager.

2. PbS Reporting Guidelines

The Site Manager will ensure that the appropriate information on the DJJ Event Report is reported on the PbS Incident Report.

3. PbS Reporting Time Frames

DJJ will enter PbS required information a minimum of once per week. Data collected by PbS will be done according to their schedule.

4. Site Manager Handling of Reported PbS Incidents

The Site Manager will receive all PbS incidents and ensure that information is accurate and complete and keyed into the PbS portal.

5. Access to PbS Incidents and Information

Access to PbS information and data will be available to all DJJ employees within that facility, the DJJ Standards Team, and the DJJ Office of Planning and

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Programs. Results will be used to evaluate programs, services, and security operations and to develop improvement plans.

K. Retention

All forms and reports will be filed in a report file maintained in a secure area not available to unauthorized staff or juveniles. Files will be retained at the site for 3 years, with the most current 12 months available for immediate access. At the end of year 3, the file will be forwarded to DJJ Central Records consistent with DJJ Policy B-5.5, Retention and Disposition of Departmental Records.

RELATED FORMS AND ATTACHMENTS:

Attachment I-3.2A, DJJ Required Event Reporting
Form I-3.2A, DJJ Event Report
Form I-3.2B, DJJ Supplemental Event Report
H-3.12A, Use of Physical Force

REFERENCED POLICIES:

B-5.5, Retention and Disposition of Departmental Records
B-3.15, Progressive Employee Discipline

SCOPE: This policy applies to all employees, volunteers, programs, providers, and facilities.

LOCAL PROCEDURAL GUIDE: Not required.

TRAINING REQUIREMENT:

All employees are required to review this policy within 30 days of its publication.