

<p style="text-align: center;"><b>STATE OF IOWA</b> <b>DEPARTMENT OF CORRECTIONS</b></p> <p style="text-align: center;"><b>POLICY</b> <b>AND PROCEDURES</b></p>		<p>Policy Number</p> <p style="text-align: center;">IO-RD-03</p>	<p>Applicability</p> <p><input checked="" type="checkbox"/> DOC</p> <p><input type="checkbox"/> CBC</p>
		<p>Policy Code</p> <p style="text-align: center;">Public Access</p>	<p>Iowa Code Reference</p> <p>Before July 1, 1983 246.38,39,40,41,42,43</p> <p>After July 1, 1983 610A.3, 901A, 902, 903A, 904.504, 904.505</p>
<p>Chapter 3</p> <p style="text-align: center;">INSTITUTIONAL OPERATIONS</p>	<p>Sub Chapter</p> <p style="text-align: center;">RULES &amp; DISCIPLINE</p>	<p>Related DOC Policies</p> <p>AD-FM-01, IO-HO-05, IO-HO-07, IO-SC-21, IO-SC-33, IO-RD-01, IO-RD-02</p>	<p>Administrative Code Reference</p> <p style="text-align: center;">N/A</p>
<p>Subject</p> <p>MAJOR DISCIPLINE REPORT PROCEDURES</p>		<p>ACA Standards</p> <p>4-4226, 4-4227, 4-4231, 4-4232, 4-4233, 4-4234, 4-4235, 4-4236, 4-4237, 4-4238, 4-4239, 4-4240, 4-4241, 4-4242, 4-4243, 4-4244, 4-4245, 4-4246, 4-4236</p> <p>PREA Standard 115.6, 22(b), 71(h), 78(a)(b)(c)(e)(f)(g)</p>	<p>Responsibility</p> <p>Michael Savala</p>
		<p>Effective Date</p> <p style="text-align: center;">April 2013</p>	<p>Authority</p> <p>John Baldwin Director Signature on file at Iowa DOC</p>

## I. PURPOSE

To establish the framework by which staff utilize formal disciplinary action for violation of specified major rules. This policy lists major rule infractions and

describes the procedures for writing, serving, and investigating major reports, as well as the major report hearing and appeal procedures.

## **II. POLICY**

It is the policy of the IDOC to use appropriate disciplinary action in the management of offender violations of IDOC and institutional rules, regulations, policies, and procedures. Where the use of informal action or minor disciplinary report procedures are not appropriate or insufficient to achieve correctional goals, the major report process shall be used. **(PREA 115.78(a))**

### **CONTENTS**

- A. Preparing the Disciplinary Report
- B. The Disciplinary Notice
- C. Investigation
- D. Hearing Process
- E. Record of Disciplinary Proceedings
- F. Procedures for the Use of Confidential Information
- G. Loss of Earned Time/Good Time
- H. Meritorious Earned Time/Good Time
- I. Sanctions – General Rules
- J. Dismissed Notices
- K. Appeals
- L. Procedures Following Potential Criminal Misconduct
- M. Prohibited Acts

## **III. DEFINITIONS**

The following definitions will be used in the various disciplinary policies and procedures established by the IDOC and its institutions.

- A. Administrative Law Judge (ALJ) - The primary disciplinary hearings officer appointed by the Director of the IDOC in accordance with Iowa Code § 903A. The Director of the IDOC shall also appoint alternates for each institution in accordance with the Iowa Code. The appointed ALJ or alternates shall hear all cases that are subject to the provisions of Iowa Code § 903A, 904.505 and 610A.3 and any other applicable Iowa Code sections. It is the duty of the ALJ and alternates to impose the sanction(s) including establishing the exact earned time/good time days to be forfeited. When the ALJ is absent, unavailable, or prohibited under this policy from hearing a particular matter, the hearing shall be conducted by another ALJ. An appointed ALJ may hold hearings at any IDOC institution.
- B. Aggravating Factors - If the ALJ determines that the factors or circumstances of an offense are more serious than the charged offense, the sanction may be upgraded to the next class. The ALJ shall specify in writing the aggravating circumstances warranting a change in sanction. Aggravating factors may include, but are not limited to, history of violence, use of weapon, severity of injury, significant impact to institutional operations, repeat infractions, and premeditation.
- C. Attempt - An offender attempts to commit an offense when the offender acts to affect an offense although the offense is not accomplished. An offender may be charged with attempt to violate any rules listed in this policy.
- D. Class of Offense - The class of an offense determines the range of authorized sanction(s) that can be imposed by the ALJ for violation of rules listed in this policy. **(PREA 115.78(b))**
- E. Complicity - An offender shall be responsible for the offense of another person if the offender commands, induces, procures, or aids another person to commit the offense.

No offender shall be liable for the conduct of another person if the offender makes reasonable efforts to prevent the commission of the offense prior to the commission or the offender withdrew from participation before the commission of the offense.

The failure of the institution to charge or convict the other person shall not be a defense under this section.

Any action by the accused offender, which causes another person to violate a rule, may be considered a violation by the accused offender.

- F. Dangerous Contraband – The term includes, but is not limited to, altering of authorized property (such as razors) for purposes of a weapon; diagrams, directions, drawings for explosive devices, or other weapons; a firearm, knife, bludgeon or other weapon, device, instrument, material, or substance, whether animate or inanimate, which is readily capable of causing or inducing fear of death or serious physical injury, or any flammable substance or incendiary device. The term also includes possession or use of any prohibited communication device.
- G. Dangerous Drugs and Intoxicants - The terms include, but are not limited to, alcohol, amphetamines, methamphetamines, barbiturates, cocoa leaves, cocaine, opiates, (including opium, morphine, heroin, Demerol, diluadid, codeine, apomorphine, etc.), peyote, LSD, psilocybin, DMT, THC and cannabis (a.k.a. marijuana), including all parts of the plant cannabis sativa L., and any volatile substance inhaled for its mood-altering effect, such as cleaning fluid, glue, lacquer, petroleum distillates, etc. The term also includes synthetic or artificial forms of intoxicants, whether or not such synthetic or artificial intoxicants are illegal to possess under federal or state law.
- H. Earned Time/Good Time Loss - The terms earned time and good time shall refer to the reduction in time credits given to offenders under the Iowa Code, as amended, and any other current or prior section of the Iowa Code that specifies the reduction in time credits that apply to a particular offender's sentence. The use of one of those terms in this policy or in any disciplinary document includes one or both of those terms as appropriate.
- I. Iowa Corrections Offender Network (ICON) - The computer system used by IDOC staff members to record information relating to the disciplinary process and to generate documents, such as disciplinary notices, hearing decisions, and appeal decisions.
- J. Intentionally - An offender acts intentionally with respect to a result or to conduct described by this guideline when the offender's conscious objective is to cause that result or engage in that conduct. An offender may be presumed to intend the natural consequences of the offender's act.
- K. Major Infraction - Any rule violation, which, in the judgment of a supervisor or staff member observing or learning of the violation, has serious offender and institutional management implications. Major infractions shall be handled through the formal disciplinary process, referral for prosecution, or both.
- L. Minor Infraction - Any rule violation, which, in the judgment of a supervisor or staff member observing or learning of the violation, is less serious than a

major infraction. Minor infractions shall be handled through informal disciplinary action or the minor report process.

- M. Mitigating Factors - If the ALJ determines that the factors or circumstances of an offense constitute a less serious offense than the charged offense, the sanctions/offense class may be reduced if circumstances warrant.
- N. Offender - Includes all persons assigned to an institution of the IDOC.
- O. Possesses - To knowingly exercise physical control over an object. Knowledge shall be based on the presence of an object found on an offender's person or placed somewhere by the offender. Knowledge shall be rebuttably presumed when an object is found anywhere else in an offender's domicile. This presumption may be countered by evidence that the offender was not responsible for the object's presence in the offender's domicile. An offender is also considered to possess any substance for which the offender tests positive based on a urine, blood, breath, or similar test.
- P. Prohibited Communication/Electronic Device - Includes any cellular or mobile phone, pager, personal digital assistant (PDA), radio, or other communication device capable of communicating to persons, other communication devices, or computers inside or outside of the institutional grounds. The term also includes any camera, video camera, or audio recorder.
- Q. Reckless - An offender's conduct is reckless when the safety of persons or property is willfully or wantonly disregarded.
- R. Security Issue - Any act which causes or has the potential to cause significant disruption to the operation of the institution, effect the peace and tranquility of the institution, or create danger for the public, staff, and/or offenders.
- S. Serious or Dangerous Violence - Includes killing, sexual assault, assault, kidnapping, rioting, arson, or the attempt to do any of those actions.
- T. Serious Physical Injury - Any physical injury which creates or could create a substantial risk of death or which causes death, serious or protracted impairment of health, or protracted loss or impairment of any major bodily function.

See Policy **AD-GA-16** for additional Definitions.

#### **IV. PROCEDURES**

NOTE: If, at any time in the process of writing, investigating, or hearing a major report, it is noted that a document and/or procedure is incorrect, the process shall be stopped and the process reinitiated.

A. Preparing the Disciplinary Report

1. As soon as a staff member or other person given authority over offenders by the Warden/Superintendent or Director becomes aware that a major infraction has occurred, the staff member or other person with authority should, if possible, direct the offender to take corrective action. If the sanction is insufficient or circumstances warrant, the staff member or other person with authority observing the incident or learning of the infraction shall prepare a Disciplinary Notice using the ICON Disciplinary Notice form.

In some cases involving potential serious violations committed by one or more offenders, staff members may conduct an investigation into the potential violations. In such cases, the writing of any Disciplinary Notice may be delayed until the investigation is completed. The Associate Warden/Security or designee shall be kept informed about any on-going investigations and shall make sure that the writing of any Disciplinary Notices is not unreasonably delayed.

2. A separate statement on the Witness Statement **IO-RD-03 F-1** should be submitted by each employee who witnessed the incident or has knowledge of the incident.
3. The Disciplinary Notice shall be available to the Shift Supervisor, and shall contain details of the infraction, including the following:
  - a. Specific rule(s) allegedly violated.
  - b. Date and time of the infraction.
  - c. Location of offense.
  - d. Offender(s) involved, and witnesses, if any.
  - e. Adequate details of the infraction to substantiate the charge, including type and disposition of contraband or physical evidence, (where the evidence is being held, etc.) unusual behavior by the offender, etc.

- f. A description of immediate action taken, including any force used by offender or staff.
- g. If appropriate, a notice that confidential information was used to prepare the Disciplinary Notice. Must include reason why confidential information was withheld.
- h. The names of staff witnesses to the incident, unless confidential.
- i. The name of the reporting staff member. The name of the reporting staff member on an ICON generated document shall be deemed to constitute an electronic signature for that staff member.
- j. In instances of a positive urinalysis (UA) test, the notice advises that the violating substance has been ingested within the last 30 days or the time period associated with the particular test used.

**(4-4233)**

- 4. The Shift Supervisor or designated staff member shall:
  - a. Review the disciplinary report to ensure that all necessary and relevant information is included. **(4-4247)**
  - b. Assist the author to complete or rewrite the disciplinary report when necessary so that it includes all relevant and necessary information. **(4-4232)**
- 5. The Shift Supervisor or designated staff member shall promptly begin a review of an incident, unless exceptional circumstances exist for delaying that review. The review should be completed as soon as practical.
- 6. If a Disciplinary Notice is approved after the investigative review, then an investigation as described in section (C) shall be commenced as soon as practicable.
- 7. Within 24 hours following an incident, the Shift Supervisor or designated staff member shall make an initial determination whether a crime may be involved solely for the purpose of requiring the

investigator or designated staff member to advised the offender of the offender's rights. **(4-4234)**

8. If appropriate corrective action is achieved, or if other facts indicate that no infraction occurred, a disciplinary report may be dismissed by the Shift Supervisor or other designated official.
9. The offender may be placed in more secure housing at this stage, based on the degree of risk if the offender remains in a general population housing unit. When an offender is placed in investigative segregation status, the supervisor ordering investigative segregation status shall forward a written memo to the Associate Warden/Security for review within 72 hours of the offender's detention. Staff shall also follow the procedures in IDOC Policy **IO-HO-05**, Administrative Segregation, regarding administrative segregation. **(4-4235)**
10. The Associate Warden/Security shall be responsible to insure that the writing, serving, and investigation of a disciplinary notice is done promptly and without unnecessary delays, especially for offenders placed into segregation.

The unit manager of a segregated housing unit or other designated staff member shall notify the Associate Warden/Security or designee regarding the following delays so that the Associate Warden/Security can take steps to eliminate any unnecessary delays in the disciplinary process:

- a. If an offender has been in segregation for three days without a disciplinary notice being written.
- b. If an approved disciplinary notice has not been served on an offender within three days of the disciplinary notice being approved.
- c. If an investigation into an approved disciplinary notice has not been completed within three days after the notice was served to an offender.
- d. Follow-up notifications shall be given regarding the above events every three days after the original notification is given.

B. The Disciplinary Notice



1. Providing the offender with a copy of the Disciplinary Notice form generated by ICON shall serve as notice of alleged misconduct and, if a possession violation, Notice of Confiscation of the evidence. **(4-4236)**
2. The disciplinary report(s) need not contain information that could jeopardize individual safety or institutional security.

C. Investigation

1. This section applies only to the investigation which takes place following the writing and serving of the disciplinary notice. It does not apply to an investigation taking place before, and resulting in, the disciplinary notice.

The investigation of an approved disciplinary notice should begin promptly. The investigator conducting this investigation should not be a staff person involved in the reported violation as a witness to the alleged violation, or as the report writer, or as the member of an investigative team that investigated the matter before the disciplinary notice was written. The investigator may provide evidence as to whether there are any mitigating or aggravating factors. Staff members who investigate approved disciplinary notices need not be full-time investigative staff.

2. The investigator shall interview the offender and any other persons who may have information regarding the incident as soon as is practical. The offender shall be provided with a copy of the Disciplinary Notice from ICON and that shall serve as the written notice of the specific rule violation and details of the charges against the offender. Written statements should be taken from witnesses and recorded on the Witness Statement, **IO-RD-03 F-1**, and, when appropriate, incident or additional disciplinary reports should also be prepared. The Disciplinary Notice shall serve as the witness statement of the reporting person.
3. If the investigator determines that the number of witnesses named by the offender would substantially burden the investigation and that some of the witnesses would be cumulative or irrelevant, the investigator may limit the number interviewed provided that the investigator records the reason for doing so in ICON. The investigator should encourage the offender to prioritize witnesses in this situation.

4. Failure of the accused offender to name witnesses to be interviewed by the investigator may limit future opportunities of an offender to have a statement taken from such witnesses, unless the taking of a statement is directed by the ALJ or other reviewing institution official. The following reasons may support additional interviews:
  - a. The identity or existence of the witness was unknown prior to the offender's interview with the investigator.
  - b. That substantial prejudice shall result without such witness being contacted for a statement.
  - c. Aggravating or mitigating factors.
5. The offender may present to the investigator documentary evidence relative to the offender's defense.
6. Information may also be gathered as appropriate to the incident on environmental conditions, physical evidence, and other pertinent aspects of the incident.
7. The investigator shall provide the ALJ with a written record including the statements of the offender and any witnesses, physical evidence, and other related information.
8. The ALJ may interview the investigator.
9. The ALJ may review the Disciplinary Notice, the investigation materials and physical evidence prior to conducting a hearing. If the ALJ determines during that preliminary review that the record does not contain all required information (e.g. witness statements requested by the an offender), the ALJ may contact the appropriate staff members directly and ask them to provide the appropriate information for the record. The ALJ may also issue a formal continuance to receive that information either before or during the hearing.
10. The offender may waive the right to be present at a hearing. If such a waiver is made by the offender, a decision shall be rendered by the ALJ based on documentary and physical evidence, if any, contained as a part of the disciplinary report and investigation. Such a waiver shall result in the offender's forfeiture of appearing at the hearing and of any appeal rights. **(4-4237)**

D. Hearing Process

1. The ALJ shall schedule the disciplinary hearing for a disciplinary report after the 24-hour notice period, unless the accused offender waives the notice period. The hearing should be held, whenever feasible, within seven working days (weekends and holidays excluded) following the date on which the offender received the Disciplinary Notice unless the ALJ determines that: **(4-4238)**
  - a. The offender is not available for a hearing due to medical or mental health reasons, or is away from the institution for a court appearance.
  - b. The offender can show cause for further investigation.
  - c. The ALJ continues the hearing for further investigation or other cause.
  - d. The offender's behavior in administrative segregation presents an imminent threat to staff safety.
  - e. Holding a hearing could or would undermine criminal investigation or prosecution by the County Attorney or other prosecuting attorney.
  - f. The work load of pending disciplinary cases makes it impracticable for the ALJ to hold a hearing within the seven-working-day time period.
  - g. The ALJ is unavailable to hold a hearing due to training, vacation, sick leave, or other absence.
2. If the ALJ determines that a delay in the hearing is appropriate for one of the above reasons, the ALJ should document the continuance in the hearing record. **(4-4239)**
3. The ALJ may hold a hearing beyond seven working days, even if no continuance was issued, unless the ALJ finds that the additional delay significantly compromised the ability of the offender to offer a defense to the allegation in the disciplinary notice.
4. In emergency situations, such as a riot or disturbance, the Warden/ Superintendent may order temporary suspension of these rules. Such an order should be immediately reported in writing as soon as practicable to the Director of IDOC. When disciplinary action is taken

during a suspension, the offender is entitled to a rehearing of the alleged rule infraction with full procedural protections when the emergency has ended, unless the particular hearing was conducted in full compliance with this policy.

Note: If the offender believes a procedural error has occurred in the discipline process, the offender must address the issue at the hearing and/or through the appeal process.

5. The ALJ shall review the status of any continued hearing or any pending hearing decision to determine whether a further delay is justified at least once per week.
6. Member(s) of the treatment and/or security staff may be asked to participate in or observe disciplinary hearings. The responsibility of the ALJ is the adjudication of disciplinary matters, except that no individual may serve as an ALJ if directly involved in the matter as a witness, investigator, or reporting staff member.
7. The disciplinary process does not allow offenders to confront or cross-examine witnesses. Thus, offenders have no right to hear or receive copies of witness statements, unless the ALJ determines that sharing of non-confidential information is appropriate.
8. The offender and staff assistant, if designated, shall be permitted to offer evidence related to the disciplinary report including the presentation of documentary evidence or written witness statements. The ALJ may allow specific witnesses only as necessary to ensure a fair hearing. If specific evidence is rejected, the ALJ shall indicate the reasons in writing. **(4-4242)**
9. In the event the offender desires to have any witness appear in person at the disciplinary hearing, the offender must notify the investigator and identify the specific witnesses and the names of the witnesses at the time of the investigation. Allowing a witness to testify in person at a disciplinary hearing is a decision of the ALJ.
10. The disciplinary process is an administrative remedy. Thus, the offender shall not have a right to use outside legal counsel during the hearing or appeal process. The ALJ is required to provide staff assistance for offenders where the complexity of the issue makes it unlikely that the offender shall be able to collect and present the evidence, where the offender's capacity does not allow adequate

comprehension of the case, or where the offender is unable to adequately comprehend English. **(4-4243)**

11. If an offender is in a special needs or mental health status at the time of the incident, the investigator must obtain a statement from a mental health professional as to the offender's responsibility for the offender's conduct as stated in the report. The ALJ shall make a record of this statement. **(PREA 115.78(c))**
12. Where confidential information is involved, the ALJ shall view the evidence prior to meeting with the accused offender and shall make findings in accordance with procedures for the use of confidential information described below if the ALJ intends to use and rely on the confidential information.
13. The ALJ shall hear the facts of the alleged violations, weigh the evidence, and make a ruling as to the disposition of the case using only information available to the ALJ in the hearing. ALJs shall be impartial. **(4-4244)**
14. The ALJ shall conduct the hearing on a Disciplinary Notice as follows:
  - a. Call in the accused offender, read the charges in the Disciplinary Notice, and cite the rules involved as well as the investigative evidence.
  - b. Determine if the procedures in the investigation were followed.
  - c. Determine if a continuance for good cause is necessary.
  - d. Continue the report and remand to the appropriate staff member to correct the procedure or other defects prior to continuing with the disciplinary hearing when procedures have not been followed properly. If necessary, a revised Disciplinary Notice shall be given to the offender and further investigation done before the hearing resumes. The ALJ who remanded the matter back for changes or corrections may conduct the hearing after the corrections are made, unless the ALJ determines that to do so would violate the offender's right to an impartial hearing officer.
  - e. Review the evidence available such as the Disciplinary Notice, any available investigative reports, and documentary evidence such as test results and physical evidence. Review of the

physical evidence need not be done in the presence of the offender.

- f. Provide the offender an opportunity to make a brief statement if the offender has not previously given one. The ALJ may limit an offender's statement if the statement contains irrelevant issues or becomes duplicative or repetitive.
- g. Hear in-person witnesses at the discretion of the ALJ. The accused offender may or may not be present during such testimony, if any.
- h. If the ALJ determines that a written hearing decision can be issued immediately following the hearing, then the ALJ shall excuse the offender and begin deliberations to determine whether the alleged rule violation(s) in fact occurred. Upon completing a written decision, the ALJ will call the offender back into the hearing and give the offender the written decision.
- i. In some cases, the ALJ may not be able to issue a hearing decision immediately after the hearing. In those instances, the ALJ shall prepare a written hearing decision as soon as practicable after the hearing. A copy of the written hearing decision shall be given to the offender by a staff member. The ALJ may, but need not, indicate at the conclusion of the hearing what the ALJ expects the hearing decision to be. A subsequent written decision may differ from the oral announcement made by the ALJ, provided the written decision explains the reason for the change.
- j. The findings made in a written hearing decision shall include a determination of the class of the offense and any aggravating circumstances. The findings of fact shall be made using the "some evidence" standard of proof.
- k. In appropriate circumstances the ALJ may issue one hearing decision that covers the incidents described in two or more disciplinary notices.
- l. The ALJ shall review all pertinent evidence presented and may draw an adverse inference from the offender's silence during the proceedings.

## 15. Offender Conduct at Hearings

- a. An offender's refusal to appear at a hearing shall constitute a waiver of all appeal rights and such refusal shall be documented.
- b. If a hearing waiver is made during the investigation stage, the investigator shall note the offender's waiver on the Investigation of Violation screen in ICON. If the offender chooses not to attend a hearing or refuses to go to the place of the hearing, the ALJ shall make findings of fact documenting that the offender's actions constitute a waiver of the offender's right to be at the hearing.
- c. If an offender does not participate in a hearing (or does not appeal a hearing decision), the offender will be deemed to have failed to exhaust the administrative procedures and administrative remedies available to the offender.
- d. An offender appearing before the ALJ is subject to the rules of discipline in the same manner as at any other time. If the offender becomes so unruly at the disciplinary hearing that the hearing cannot be effectively continued, such conduct shall be treated as a refusal to appear at the hearing, and the hearing shall continue outside the offender's presence. The ALJ shall document the offender's behavior and make a finding regarding whether it constituted a waiver of the offender's hearing right.

**(4-4241)**

- 16. Because an ALJ may conduct hearings at a location away from the institution where the offender is housed, the following modifications to the hearing procedures may be made in appropriate circumstances:
  - a. An ALJ may conduct hearings via a video connection (the "IDOC Telejustice System").
  - b. If there is physical evidence, the ALJ may review that evidence by:
    - i. Having the physical evidence sent to the ALJ for an in-person review;
    - ii. Reviewing a scanned image of a document;

- iii. Reviewing a photograph, live video, or recorded video of an object or location;
    - iv. Using any other procedure that the ALJ finds will provide sufficient review of the item.
  - c. In appropriate cases, the ALJ may continue a hearing done via the Telejustice System in order to hold an in-person hearing.
  - d. If the Telejustice System is unavailable, an ALJ may also conduct hearings via telephone or other electronic means.
17. In lieu of appearance at a disciplinary hearing, an offender may appear through a written statement in accordance with the following procedure:
- a. An offender may voluntarily waive the right to appear at an ALJ disciplinary hearing in person by completing the Appearance at Disciplinary Hearing by Written Statement Form **(IO-RD-03 F-2)**.
  - b. To insure that an offender voluntarily makes such waiver of in-person appearance, a staff member must witness the offender's signature on the Appearance at Disciplinary Hearing by Written Statement Form.
  - c. A copy of the Appearance at Disciplinary Hearing by Written Statement Form shall be forwarded to the ALJ or shall be scanned into ICON and attached to the disciplinary file.
  - d. When the ALJ conducts the hearing on the matter at issue, the ALJ will review and consider the written statement made by the offender to the same extent as if the offender had personally appeared at the hearing.
  - e. If the ALJ concludes that to properly conduct a hearing the offender must appear in person, the ALJ may request that the offender appear in person. If the offender appears at the hearing, the ALJ may still consider the statements made by the offender in the Appearance at Disciplinary Hearing by Written Statement Form.
  - f. If an offender called by the ALJ to appear at a hearing refuses to appear, then the ALJ shall render a decision based on the



evidence in the record, including the Appearance at Disciplinary Hearing by Written Statement Form. However, the offender shall lose the right to appeal the decision.

- g. When an ALJ issues a written hearing decision, the offender using this procedure shall retain the right to appeal the hearing decision to the same extent as if the offender had appeared in person, unless the offender forfeited that right as described above.

E. Record of Disciplinary Proceedings

- 1. The ALJ shall complete and provide the offender with a written statement of the hearing decision using the Hearing Decision form on ICON, which shall include:
  - a. A statement of the facts found to support the determination of a rule violation (the who, what, where, when, how of the infraction) based on the "some evidence" standard of proof.
  - b. An indication of what these findings are based upon (officer's report, offender's statement, etc.).
  - c. The specific sanctions imposed within the sanction class described in this policy.
  - d. Aggravating factors that support imposition of increased sanctions.
  - e. If the offender is found guilty of any property disciplinary violation, the property will be deemed to be contraband and may be disposed of without further order.

Note: In those cases where personal or institutional safety may be jeopardized by including certain items of evidence in the written statement furnished to the offender, these items may be deleted. The statement shall indicate that confidential information was relied upon.

**(4-4245)**

- 2. The disciplinary record shall be maintained for at least six months. **(4-4240)**

F. Procedures for the Use of Confidential Information

1. The ALJ shall consider confidential documentary evidence or testimony reviewed outside the presence of the offender only, if after reviewing and/or hearing such evidence, the ALJ has:
  - a. Made a finding that the information is reliable; and
  - b. Made a finding that disclosure of the evidence to the offender would create a substantial risk of harm to individual safety or institutional security.
2. Wherever confidential information is used, the ALJ shall prepare a summary on ICON. That summary shall not be disclosed to the offender. The summary shall include the following information:
  - a. Brief summaries of all confidential information available to the ALJ;
  - b. Either the name or relationship to the institution of any informants;
  - c. The confidential information relied upon by the ALJ;
  - d. The reasons supporting use of confidential information; (See the Confidential Information Summary on ICON);
  - e. An indication why the information is being kept from the offender.
3. Because videos from institutional security cameras can reveal limitation of the video system, all such videos are considered confidential and offenders shall not be allowed to review such videos.
4. Where the above procedures are followed, the information shall not be reviewed with the offender. The statement of the evidence relied on shall indicate the reliance on confidential or omitted information.
5. Any confidential information and any summary of confidential information described in this section may be stored in a secure physical location or may be stored in a secured location on ICON. Access to confidential information shall be limited to the ALJ, the Warden/Superintendent, any person handling disciplinary appeals, and any other persons designated by the Director or designee to have access to such information.

G. Loss of Earned Time/Good Time

1. For offenders serving sentences for OFFENSES COMMITTED PRIOR TO JULY 1, 1983, Section 246.41 of the 1983 Iowa Code requires the following sanctions for violation of a major rule:

"An offender who violates any of such rules (of discipline) shall forfeit the reduction of sentence earned as follows:

- a. For the first violation, two days.
  - b. For the second violation, four days.
  - c. For the third violation, eight days.
  - d. For the fourth violation, 16 days and in addition, whatever number of days more than the one that the offender is in punishment (disciplinary detention).
  - e. For the fifth and each subsequent violation, or for escape or attempt to escape, the Warden/Superintendent shall have the power, with the approval of the Director, to deprive the offender of any portion or all of the good time that may have been earned."
2. Whenever the ALJ desires to take from the offender more than the number of days of good time specified in the 1983 Iowa Code, Section 246.41(4), as a result of an offender's fifth or subsequent infraction, the ALJ shall note the maximum amount that should be taken in the decision. The same applies whenever the ALJ believes that more than the amount specified by the number of the infraction should be taken as a result of an escape or attempted escape. Actual removal of extra time pursuant to Section 246.41(5), 1983 Code of Iowa, requires approval of the Warden/Superintendent and the Director.
  3. Each offender serving a sentence for an OFFENSE COMMITTED ON OR AFTER JULY 1, 1983, may forfeit earned time within the class for each major violation, except as noted below. The loss of earned time shall be determined by the ALJ, and the ALJ's view of the seriousness of the misconduct.
    - a. In cases of escape, attempted escape, and serious or dangerous violence resulting in serious physical injury or loss of life, the

ALJ may recommend a loss of any or all accumulated earned time. Such recommendations shall be subject to review by the Director of IDOC/Designee.

- b. The ALJ shall specify an amount of earned time to be forfeited consistent with the sanctions available under this policy for the class of the infraction.
  - c. Any suspended sanctions, which an offender may have received for previous reports, shall be counted towards the number of violations used in determining the amount of earned time to be taken for all future violations.
4. Whenever an offender is found guilty of a major infraction, which is not suspended, the offender may lose the amount of earned time as specified in the ALJ's hearing decision consistent with the statute and this policy. The supervisor of the records for the institution shall be responsible for computing the loss of time within a reasonable amount of time after the ALJ finds an offender guilty of a major infraction, determine the offender's new discharge date, and inform the offender of the loss of time and new discharge date. An offender will not lose earned time simply by being in a disciplinary detention or administrative segregation status.

#### H. Meritorious Earned Time/Good Time

Earned Time/Good Time, which has been restored by the Director resulting from meritorious service by an offender, is not subject to sanctions by the ALJ.

#### I. Sanctions – General Rules

1. When the ALJ finds that an offender has violated a rule as set forth in this policy, the ALJ shall impose sanctions consistent with the sanctions available under the class of offense, in proportion to the seriousness of the infractions involved. Sanctions shall be explicit as to nature, extent, and duration, and are to be run consecutive with other sanctions, unless otherwise noted by the ALJ. If the ALJ finds that an offender violated more than one major infraction rule, the ALJ may impose consecutive sanctions for each rule violation within a single hearing decision.
2. In imposing sanctions, the ALJ shall give consideration to those conditions that maximize the opportunity for behavioral change. The

ALJ may also recognize the circumstances that occurred after the original incident by giving the offender full or partial credit towards any sanction (other than loss of earned time/good time). The ALJ will note the giving of any credit in the Hearing Decision.

3. The ALJ is authorized to suspend any or all sanctions. Upon a subsequent finding of guilt for another disciplinary report, the ALJ may, but need not, impose the suspended sanctions. The ALJ may also specify particular conditions related to a future report that shall result in the imposition of a suspended sanction.
4. Disciplinary Detention
  - a. The amount of time ordered in disciplinary detention should be proportionate to the offense(s)/violation(s) taking into consideration the offender's prior conduct, specific program needs, and other relevant factors.
  - b. IDOC policy **IO-HO-07**, Disciplinary Detention Administrative Segregation and Disciplinary Detention, shall govern the permitted length of continuous disciplinary detention, the type and schedule for periodic reviews of offenders in disciplinary detention, and the conditions of confinement of offenders placed in disciplinary detention.
5. The use of food or meals as a disciplinary measure is prohibited. **(4-4320)**
6. Assessing Costs
  - a. The ALJ may assess costs for damages to property, theft, and any other costs related to a rule violation, investigation, or disciplinary hearing. The amounts assessed should be calculated to cover any losses incurred by any person, by an institution, or by the IDOC.
  - b. When an item is damaged, the cost imposed shall be the repair costs. If an item is destroyed or cannot be repaired, then the cost imposed shall be the cost for replacing the item. When calculating replacement costs, the depreciated or salvage value of the original item need not be taken into account. Other costs shall be the actual incurred costs. If the actual cost cannot be readily ascertained, an estimate of the cost may be used.

- c. The following are examples of the type of violations for which costs may be imposed as part of a disciplinary hearing.
  - i. Injury to another offender, staff, visitor or self (assaults, fights, use of force, attempted suicide, violation or work rules, etc.)
    - a) Cost of local hospital, ambulance and University of Iowa Hospitals & Clinics (UIHC), staff overtime, vehicle mileage, etc.
    - b) A \$5.00 fee in addition to any other medical costs assessed for trips to the UIHC or a local hospital caused by an offender's self-injurious behavior, willful neglect, etc.
    - c) If a staff member is injured and is away from work for any period, then the offender may be charged for any or all of the following:
      - i. Any extra costs incurred by the institution to have other staff cover the work that cannot be performed by the injured person;
      - ii. Any workers compensation costs associated with the injury to the staff member;
      - iii. Any additional costs paid by the institution to the injured staff member while they are away from work, including vacation or sick leave costs needed to allow the injured staff member to be fully paid while convalescing.
  - ii. Damage to state property (cell, mattress, furniture, bedding, clothing, headphones, radios, rental TVs, etc.)
  - iii. Damage to offender and/or employee property.
  - iv. Theft or attempted theft from offenders, staff, visitors, institutions, e.g., food from Food Services, commissary items, supplies, adulteration of food, etc.

- v. Actions resulting in special staff costs, e.g. investigations, escape, etc.
  - vi. Lost offender work allowances through misconduct of another.
- d. If known at the time of a disciplinary hearing, an itemized list of costs shall be included in the disciplinary hearing decision or attached to the hearing decision with the offender receiving a copy. If itemized costs would disclose confidential information, then offenders shall receive a certified list of costs that excludes the confidential information.
- e. When actual costs are assessed, documentation of the costs, such as a copy of the hearing decision or a store order, shall be processed through the Business Office.
- f. In some cases the amount of costs or damages will not be known at the time of the original hearing. In other cases, the existence of certain costs or damages may not be known at the time of the original disciplinary hearing. In either case, once the cost information becomes available an offender must be given written notice of the costs and have an opportunity to request a hearing regarding the reasonableness of the costs. If an offender requests a hearing within seven calendar days after receiving the written notice, the ALJ shall hold a hearing on whether the assessed costs are reasonable. The hearing will be conducted using the same procedures used to conduct other disciplinary hearings. If an offender does not request a hearing, the ALJ will issue a decision without the offender's participation. If an offender requests a hearing, that offender may file an appeal of the ALJ's decision using the same procedure as used for other disciplinary hearing decisions. Such an appeal will be limited to cost issues only.
- g. Collection of Money
- i. Collection of money will be done in accordance with IDOC policy **AD-FM-11**, Offender Funds, and the policies and procedures established for the Business Office at each institution.

- ii. When an offender transfers to a new institution and remains in the IDOC, billing for disciplinary costs shall be transferred to the receiving institution.
  - iii. Offenders who are assessed costs by the ALJ shall be liable for those costs during any time that they are held at an IDOC institution, including during any subsequent incarceration. There will be no general limitation period for collecting monies owed by offenders for disciplinary sanctions, except as established in IDOC policy.
  - iv. Upon the expiration of an offender's sentence, unpaid costs can no longer be collected in the normal manner. If the offender agrees by a written agreement that payments will continue, such agreement shall be binding. Staff may also pursue other options such as using small claims court or seeking to have a former offender's State tax refunds used to pay the indebtedness as allowed by Iowa Department of Revenue rules.
7. Privilege restrictions based on discipline may take effect immediately. Privileges may be reinstated on appeal.

J. Dismissed Notices

1. If the incident as charged in the Disciplinary Notice is dismissed, the disciplinary records of that incident shall be sent to the Inactive screen in ICON.
2. Dismissal of alleged individual rule violations constituting only part of the entire incident shall not require sending the file to the Inactive screen in ICON.
3. Nothing in this policy is intended to limit the availability of dismissal or any other remedy in appropriate cases. **(4-4246)**

K. Appeals

1. The ALJ or other staff member shall advise the offender of the right to appeal the disciplinary decision. Each institution shall establish one or more locations where an offender may obtain a Disciplinary Appeal Form, **IO-RD-03 F-3**. Offenders in segregation shall be given appeal forms upon request to staff. Any appeal must be submitted within 24 hours of the date and time that the offender receives a copy of the



ALJ's written decision. An offender need not be given a Disciplinary Appeal Form if the offender forfeited appeal right (e.g., by waiving the right to be at a hearing) or waited more than 24 hours after receiving a written hearing decision. Each institution shall create a procedure regarding recording times that hearing decisions are given to offenders and how offenders may obtain a Disciplinary Appeal Form.

2. If the offender receives a Disciplinary Appeal Form from the ALJ when the ALJ issues a hearing decision, the sanctions shall be stayed pending a decision by the Warden/ Superintendent or designee. Institutions shall establish procedures regarding when and how sanctions are stayed pending an appeal when an ALJ is not the person who gives a copy of the hearing decision to an offender. If the offender declines to take a Disciplinary Appeal Form in a manner that stays the sanctions, the sanctions imposed by the ALJ shall then go into effect. If later, still within the 24 hour appeal time frame, the offender decides to appeal, the sanctions shall remain in effect. Each institution shall establish procedures regarding how staff will be notified regarding when an offender's sanctions shall be stayed and when they shall go into effect.
3. Failure to appeal within the 24 hours shall result in the invocation of the decision of the ALJ. In addition, an offender may raise new issues regarding a disciplinary matter by filing a written request for further review to the Warden/Superintendent within 15 days of the ALJ's decision. **(4-4248)**
4. Appeals to Warden/Superintendent or designee: The Warden/Superintendent or designee shall respond to an appeal in writing within 15 calendar days from receipt of the appeal, or 15 calendar days from receipt of authorized supplemental information.
  - a. The final appeal response of the Warden/ Superintendent or designee constitutes final agency action.
  - b. The Warden/Superintendent or designee may affirm the decision. If procedures have not been followed or there is insufficient evidence in the record to support the ALJ's findings, the Warden/Superintendent or designee may:
    - i. Remand for correction of procedural errors;
    - ii. Order a rehearing; or

- iii. Reduce, modify, or suspend the findings and/or sanction; or
  - iv. Reduce the sanction class from more serious to less serious and revise sanction; or
  - v. Reverse the decision and dismiss the disciplinary report(s) against the accused offender; or
  - vi. Order additional investigation.
- c. The failure of the Warden/Superintendent or designee to respond to the appeal within 15 calendar days may, for purposes of an offender's exhaustion of administrative remedies, be considered a denial of the appeal and the offender may proceed with other available remedies. However, the Warden/Superintendent or designee shall still be required to provide an appeal response as soon as practical. All such instances shall be reported in writing, generally via email, to the Regional Deputy Director and the IDOC General Counsel.
5. Time limits for appeals may be expanded by the Warden/Superintendent or designee if exigent circumstances arise, such as disturbances, natural disasters, or illness of the Warden/Superintendent or designee.
6. Nothing in these rules shall preclude further review of a disciplinary action by initiative of the Warden/Superintendent, even when no offender appeal is filed. If a Warden/Superintendent modifies a decision under this provision, the Warden/Superintendent shall complete form **IO-RD-03 F-4**. A copy of that form shall be attached to the disciplinary file in ICON and a copy of the form shall be sent to the IDOC General Counsel.
7. Upon remand of a case, the ALJ shall not impose any greater sanction than that imposed initially for that case.

L. Procedures Following Potential Criminal Misconduct

- 1. Any offender who may have violated a state or federal law while in custody shall be subject to criminal prosecution. The alleged incident shall be reported, investigated, and handled as any regular criminal case. **(4-4231)**

2. Generally, where the Warden/Superintendent determines that a crime has or may have been committed, normal disciplinary action may still be taken promptly provided that the offender has been read the following warning prior to being interviewed by the investigator or other appropriate official and the offender has been informed that:
  - a. Criminal prosecution is possible;
  - b. The offender has the right to remain silent;
  - c. The offender's silence may be used against the offender in the disciplinary hearing; and
  - d. Anything the offender says may be used in criminal prosecution.
3. Generally, if the Warden/Superintendent believes that a criminal act has been committed, they shall consult with the General Counsel about whether the matter should be investigated by law enforcement or referred in writing to the county attorney or other prosecuting authority.
4. In cases involving allegations of sexual violence, the Administrator of the IDOC's Division of Investigative Services rather than the Warden/Superintendent will handle issues connected with possible criminal prosecution. The Administrator will consult with the police and prosecuting authorities and the offender will receive a Miranda warning when appropriate. **(PREA 115.22(b), 71(h))**
5. The ALJ may continue discipline until criminal proceedings are resolved. After the dismissal, trial, or other disposition of criminal charges, any disciplinary proceeding still pending shall be conducted or concluded.

M. Prohibited Acts

1. Policy Review

In order to establish a firm foundation for offender conduct and the institutional discipline process, it is necessary to describe the kinds of behavior prohibited within IDOC institutions. These rules are reviewed at least annually by the IDOC's Legal and Policy staff to assure compliance with statutory and case law requirements. **(4-4227)**

2. Authorized Sanctions

a. Upon a finding of guilty by the ALJ, the ALJ shall specify the class of the violation taking into consideration any aggravating or mitigating circumstances. Any or all of the following sanction listed for a given class may be imposed at the discretion of the ALJ:

i. Class A

- a) Loss of earned time/good time not to exceed 365 days.
- b) Disciplinary detention up to 365 days for serious or dangerous violence or 180 days for all other offenses.
- c) Loss or modification of any or all privileges including but not limited to, canteen privileges (not including personal hygiene items), visiting privileges, allowance for work performed, access to jobs and programs, not to exceed 365 days.
- d) Assess actual costs.
- e) Suspend honor contract (for offenders committed before July 1, 1983).
- f) Suspend all or part of the sanctions up to 90 days.
- g) Any sanction available on any lesser class offense.

ii. Class B

- a) Loss of earned time/good time not to exceed 180 days.
- b) Disciplinary detention up to 180 days for serious or dangerous violence or 90 days for all other offenses.
- c) Loss or modification of any or all privileges including, but not limited to, canteen privileges (not including personal hygiene items), visiting

privileges, allowance for work performed, access to jobs and programs, not to exceed 180 days.

- d) Restriction to the cell/unit up to 30 days. (may or may not include routine activities).
- e) Assess actual costs.
- f) Extra duty not to exceed 45 days.
- g) Special conditions (alcohol treatment, drug treatment, referral to classification committee, anger management, etc.).
- h) Reprimand.
- i) Suspend honor contract (for offenders committed before July 1, 1983).
- j) Suspend all or part of the sanctions up to 90 days.
- k) Any sanction available on any lesser class offense.

iii. Class C

- a) Loss of earned time/good time not to exceed 30 days.
- b) Disciplinary detention up to 30 days.
- c) Loss or modification of any or all privileges including, but not limited to, canteen privileges (not including personal hygiene items), visiting privileges, allowance for work performed, access to jobs and programs, not to exceed 90 days.
- d) Restriction to the cell/unit up to 21 days (May or may not include routine activities.).
- e) Assess actual costs.
- f) Extra duty not to exceed 30 days.

- g) Special conditions (alcohol treatment, drug treatment, referral to classification committee, anger management, etc.).
- h) Reprimand.
- i) Suspend all or part of the sanctions up to 90 days.
- j) Any sanction available on any lesser class offense.

iv. Class D

- a) Loss of earned time/good time not to exceed 16 days.
- b) Disciplinary detention up to 10 days.
- c) Loss or modification of any or all privileges including, but not limited to, canteen privileges (not including personal hygiene items), visiting privileges, allowance for work performed, access to jobs and programs, not to exceed 30 days.
- d) Restriction to the cell/unit up to 14 days (May or may not include routine activities.).
- e) Assess actual costs.
- f) Extra duty not to exceed 15 days.
- g) Written assignments.
- h) Special conditions (alcohol treatment, drug treatment, referral to classification committee, anger management, etc.).
- i) Reprimand.
- j) Suspend all or part of the sanctions up to 90 days.
- k) Disposition of evidence.

- b. In accordance with the provisions of this policy, an offender may lose all accumulated earned time or good time for certain serious infractions.
- c. The ALJ may reduce the classification of any rule violation from a major offense to a minor offense if the ALJ finds that the documented unique factors of the case make such a reduction appropriate. **(4-4226)**

In such a case, the ALJ may impose or suspend one or more of the minor report sanctions listed in **IO-RD-02** or in any minor report procedure established by an institution.

### 3. Major Infractions

- a. While it is impossible to define every possible prohibited act or rule violation, the following Major Infractions are prohibited in all IDOC institutions:

- b. Rule #

- 1) Killing
- 2) Assault
- 3) Kidnapping
- 4) Extortion, blackmail, protection (strong-arming)
- 5) Escape
- 6) Rioting
- 7) Arson
- 8) Robbery
- 9) Possession of dangerous contraband
- 10) Dealing in dangerous drugs/intoxicants
- 11) Criminal conduct
- 12) Possession of key or key pattern

- 13) Fighting
- 14) Threats/Intimidation
- 15) Sexual misconduct
- 16) Unauthorized possession/exchange
- 17) Damage to property
- 18) Theft
- 19) Tampering/interfering with locks or security items
- 20) Possession/ Manufacture of drugs, intoxicants
- 21) Medication violations
- 22) Refusal or failing to work
- 23) Disobeying a lawful order/direction
- 24) Violating a condition of leave/furlough
- 25) Out of place of assignment
- 26) Verbal abuse
- 27) Obstructive/Disruptive conduct
- 28) Counterfeiting, forging
- 29) Being intoxicated or under the influence
- 30) Gambling, debts, etc.
- 31) Attempted suicide, self-mutilation
- 32) Bribery
- 33) Bartering, selling goods or services, etc.



- 34) Entering into contracts, agreements, operating businesses
- 35) False statements
- 36) Refusal or failing to participate in treatment
- 37) Habitual minor offender
- 38) Adulteration of food or drink
- 39) Safety, sanitation, tattooing, and piercing
- 40) Misuse of mail, O-mail, telephone, or other communication
- 41) Sexual violence
- 42) Security Threat Groups
- 43) Attempt or complicity

c. Definition of Offenses (By Rule #)

- 1) Killing - An offender commits killing when the offender non-accidentally causes the death of another person.

Class "A" for all violations.

- 2) Assault - An offender commits assault when the offender intentionally causes or threatens to cause injury to another person or applies any physical force or offensive substance (i.e. feces, urine, saliva, mucous) or any other item against any person regardless of whether injury occurs.

Class "A" if weapon or potentially infectious bodily fluids, secretions, tissue, or excrement have been used; Class "B" for all other violations.

- 3) Kidnapping - An offender commits kidnapping when the offender seizes, carries, forces, entices, or in any other manner moves any person from one place to another, or confines another without the person's consent.

Class "A" for all violations.

- 4) Extortion, Blackmail, Protections (strong-arming) - An offender commits an offense under this subsection when the offender demands or receives money or anything of value in return for:
  - a) Providing protection from others.
  - b) Refraining from violent or sexual activity.
  - c) Refraining from informing on another.
  - d) Acting as a "middleman" for someone engaged in any of this activity shall also be punishable under this subsection.

Class "B" for all violations.

- 5) Escape - An offender commits an offense under this subsection when the offender:
  - a) Without proper authority evades a place of confinement.
  - b) Fails to return from an authorized temporary absence such as furlough.
  - c) Fails to comply with a work agreement outside the institution by leaving a place of work without authority or by failing to return at the required time.
  - d) Evades custody while being transported.

Class "A" for all violations.

- 6) Rioting - An offender commits an offense under this subsection when the offender:
  - a) With two or more persons, participates in conduct that creates danger of damage or injury to

property or persons and substantially obstructs the performance of the institution functions.

- b) Urges or organizes two or more offenders to intentionally engage in a riot, and such incitement is likely to produce a riot, or once a riot begins, the offender assumes a position of command or instruction in furtherance of the riot.
- c) Fails to return to the offender's own cell in a riot situation upon instruction from staff or upon hearing the riot "whistle."

Class "A" for all violations.

- 7) Arson - An offender commits arson when the offender intentionally sets fire to, burns, causes to be burned, or by the use of any explosive or combustible device, damages or destroys, or causes to be damaged or destroyed, any structure or property.

Class "A" if the act occurs in an occupied dwelling; Class "B" for any other violations.

- 8) Robbery - An offender commits robbery when the offender uses or threatens the use of physical force upon another person for the purpose of:
  - a) Preventing or overcoming resistance to the taking of property or to the retention thereof immediately after the taking.
  - b) Compelling the owner of such property or another person to deliver the property.
  - c) The ALJ may modify an alleged violation to this rule to theft under Rule 18.

Class "A" if a weapon has been used; Class "B" for all other violations.

- 9) Possession of Dangerous Contraband - An offender commits an offense under this subsection when the offender possesses, uses, or has under the offender's

control or in the offender's custody an item considered dangerous contraband.

Class "B" if life threatening; Class "C" for all other violations.

- 10) Dealing in Dangerous Drugs/Intoxicants - An offender commits an offense under this subsection when the offender sells or gives away any quantity of dangerous drugs or intoxicants. Also includes introduction into the institution with intent to sell or give away any quantity of dangerous drugs or intoxicants.

Class "B" for all violations.

- 11) Criminal Conduct - An offender commits an offense under this subsection if an offender plans, participates, assists, condones, or encourages others to violate a state or federal law, whether the offense is committed inside or outside the institution and whether the offense actually occurs. The law violated maybe a state or federal criminal or civil law.

Class "B" for all violations.

- 12) Possession of Key or Key Pattern - An offender commits an offense under this subsection when the offender possesses a key or key pattern to any lock. A key pattern is any substance upon which the impression of a key is made. This offense shall not prohibit possession of keys or shape authorized by the Warden/Superintendent.

Class "A" for possession of a key or pattern of a key that could breach the institution's perimeter; Class "B" for all other violations.

- 13) Fighting - An offender commits fighting when the offender engages in a physical altercation including the exchange of blows, shoves, kicks, or other offensive physical conduct. The physical contact need not be in anger.

Class "B" if weapon is used; Class "C" for all other violations.

- 14) Threats/Intimidation - An offender commits a threat when the offender communicates a determination or intent to injure another person or to commit a crime of violence or an unlawful act dangerous to human life, and the probable consequence of such threat or threats (whether or not such consequence, in fact, occurs) is:
- a) To place another person in fear of bodily injury.
  - b) To cause damage to property.
  - c) Is to take place in the future after released from confinement.

It shall be an offense under this subsection for any offender to intentionally compel or induce another to engage in conduct from which the latter has a legal right to abstain or to abstain from conduct in which there is a legal right to engage, by means of conduct described in this subsection. It shall also be punishable under this section to intimidate another from behaving in such manner, either through express or implied words or actions.

Class "B" for threats to kill or use of weapon; Class "C" for all other violations.

- 15) Sexual Misconduct - An offender commits sexual misconduct when the offender proposes a consensual sexual contact or sexual relationship with another person through gestures, such as, kissing, petting, etc., or by written or oral communications or engages in a consensual sexual contact or relationship. An offender may be disciplined for proposing a consensual sexual contact or sexual relationship with staff only upon a finding that the staff member did not explicitly or implicitly consent to or encourage such a proposal. An offender may be disciplined for sexual contact with staff only upon a finding that the staff member did not consent to the contact. **(PREA 115.78(e))**

Indecent exposure which includes, but is not limited to, offensive exposure of the genitals or pubic areas in a

manner designed to be seen by another person shall also constitute sexual misconduct.

Gestures of a sexual nature designed to cause, or capable of causing, embarrassment or offense to another person shall also be punishable as sexual misconduct.

Class "B" for engaging in sexual acts or sexual contact with another person; Class "C" for all other violations.

- 16) Unauthorized Possession/Exchange - An offender commits an offense under this subsection if the offender has in possession on the offender's person, in the offender's cell or domicile, in the offender's immediate sleeping area, locker, or immediate place of work or other program assignment; or receives from or gives to another offender, or fashions or manufactures or introduces, or arranges to introduce into the institution any unauthorized item(s) delineated as contraband including, but not limited, to:
- a) Locks, lock picks, trip wires, locking devices, chain, hooks, metal cutting saws or devices, files, rope, ladder, tool(s), or diagrams, or other items which could be used to jeopardize security.
  - b) Mask, wig, or disguise or any other means of altering normal physical appearance which would make ready identification of an offender difficult.
  - c) Mannequin, dummy, replica of a human body, human hair, or any item or device which would cause any offender to be counted as being present at a designated time and place when, in fact, the offender would be absent; or in any way would aid or abet the escape or walk away of an offender.
  - d) Form of securities, bonds, coins, currency, legal tender, official papers, or documents (other than those pertaining to judicial or administrative proceedings) unless expressly and specifically authorized.

- e) Item of an officer's uniform, civilian clothing, or staff clothing or imitation including badges, buttons, name tags, or items of personal identification unless expressly and specifically authorized.
- f) Food or drink unless expressly and specifically authorized.
- g) Property belonging to someone else or anything not authorized.
- h) Exceeding limits of authorized possessions.
- i) Altered authorized/unauthorized property; to include, but not limited to, altering electrical items which results in the ability of that item to produce heat or an electrical spark. Altered property includes items intentionally altered or broken items.
- j) Jigger string, pole, or any other device used to send or retrieve an object from one cell or location to another, or to pass notes or any other object from one place to another.
- k) Jigger mirror, usually a piece of broken mirror, glass, or any other reflective object used to look into another cell, down a range, or any other location.
- l) Documents, materials, graffiti, photographs, artwork, clothing, or any other item depicting any form of gang relationship, affiliation, or membership.
- m) Any form of tobacco and any smoking related materials.
- n) Prohibited Communication/Electronic Devices.
- o) Legal documents or draft legal documents that belong to another offender unless permitted by written institutional policy.

Class "B" for security items; Class "C" for all other violations.

- 17) Damage to Property - An offender commits an offense under this subsection by intentionally or negligently causing damage to property of another person or of the State such as tampering with electronic, mechanical, or plumbing devices or fixtures. This also includes damage to property resulting from other misconduct, (i.e., fighting, roughhousing, theft, disruptive conduct, etc.).

Class "D" for all violations.

- 18) Theft - An offender commits theft when the offender knowingly obtains or exercises control over property without authorization, intending to deprive the rightful owner of the use or benefit of the property.

Class "C" for all violations.

- 19) Tampering/Interfering with Locks or Security Items - An offender commits an offense under this subsection when the offender:

- a) Without authorization, locks, unlocks, alters or interferes in any way with any lock, locking system, or security item within the institution.
- b) Uses any unauthorized lock or security item.

Class "B" for all violations.

- 20) Possession/Manufacture of Drugs, Intoxicants - An offender commits an offense under this subsection if the offender makes, hides, consumes, inhales, or possesses:

- a) Any quantity of unauthorized dangerous drugs.
- b) A syringe or other implement capable of injecting a substance under the skin of an individual or an article, equipment, or apparatus for the use or manufacture of a drug, intoxicant, or volatile substance.



- c) Recipes for intoxicants or any description of any of the steps used to manufacture any dangerous drugs or intoxicants.
- d) An offender with a positive urinalysis, blood test, or breath test shall be presumed to be in possession of the drug or intoxicant for which tested. The offender must provide a urine sample within two hours of the request. Failure to provide the requested sample immediately as well as provide sufficient quantity to test, shall constitute a violation of this rule. The institution may choose to segregate or isolate the offender immediately upon a positive test or failure to provide a sufficient sample. All testing done for drugs or intoxicants must conform to the requirements of IDOC Policy **IO-SC-21**, Offender Substance Abuse Testing.

Class "B" for all violations.

- 21) Medication Violations - An offender commits an offense under this subsection when:
  - a) The offender fails to follow the prescription or direction for any medication or fails to follow the rules governing self administered medications.
  - b) The offender stores, saves, removes, gives, or receives any medication.
  - c) The offender is repeatedly late for or repeatedly misses scheduled pill lines.

Class "C" for all non-pill line violations; class "D" for all pill line violations

- 22) Refusal or Failing to Work - An offender commits an offense under this subsection when the offender:
  - a) Refuses to perform work assigned or refuses to report to work.

- b) Fails to perform work as instructed by a supervisor.

Class "C" for all violations.

- 23) Disobeying a Lawful Order/Direction - An offender commits an offense under this subsection when the offender:

- a) Fails to obey a written rule or posted order.
- b) Fails to obey a verbal order given by any person in authority or staff of the institution.
- c) Interferes with or circumvents established procedures.

Orders shall be reasonable in nature and give reasonable notice of the conduct expected. If the alleged conduct involves violation of a rule or posted order not classified as a major rule, the Disciplinary Notice as well as the ALJ's decision must state adequate reasons (e.g. repetition or severity of the infraction) in addition to the infraction to justify this rule's sanctions.

Class "C" for all violations.

- 24) Violating a Condition of Leave/Furlough - An offender commits an offense under this subsection when the offender fails to comply with any condition of a leave, including a leave to perform work away from the institution, or furlough from the institution.

Class "B" for violations involving security issues; Class "C" for all other violations.

- 25) Out of Place of Assignment - An offender commits an offense under this subsection when the offender without proper authority:

- a) Fails to report, as prescribed, to the appointed place of duty or assignment or any other place to which directed to proceed by an order of an

employee of the IDOC or by order of institution regulations.

- b) Departs from the appointed place of duty or assignment or any place where the offender was directed to remain by an order of an employee of the IDOC or by an order of institution regulations.
- c) Is present in an unauthorized area or in an area in which the offender currently lacks permission to be present.

Class "B" for violations involving security issues; Class "C" for all other violations.

- 26) Verbal Abuse - An offender commits an offense under this subsection when the offender subjects another person to abusive, defamatory, insolent, or disrespectful language or remarks whether written or oral, or abusive, defamatory, insolent, or disrespectful gestures.

Class "C" for all violations.

- 27) Obstructive/Disruptive Conduct - An offender commits an offense under this subsection when the offender:

- a) Transmits through any form of communication, threats, demands, or suggestions which advocate or could cause disruption of operations of any segment of an institution; including, but not limited to, gestures, actions, words, or any other type of signals, either verbal, nonverbal, or in written communication.
- b) Interferes with staff duties or investigation.
- c) Engages in conduct which disrupts or interferes with the security, tranquility, or orderly running of an institution including, but not limited to, "horseplay;" roughhousing, interfering with a search, making false fire alarms, participating in unauthorized meetings, gatherings, or petitioning, throwing food, liquid, or other objects, spitting, encouraging others to refuse to work or

participate in work stoppage, engaging in, or encouraging a group demonstration, jumping lines, smoking, etc.

- d) Acts as a jigger or lookout for others or uses a form of communication to create a diversion to avoid detection or observation.
- e) Proposes, suggests, or participates (orally, in writing, or by actions) in any activity with staff member(s) which interferes with, has the potential to interfere with, or compromises that staff member's judgment, responsibilities, or duties.

Class "B" for violations involving security issues; Class "C" for all other violations.

- 28) Counterfeiting, Forging - An offender commits an offense under this subsection when the offender counterfeits, forges, or reproduces without authorization, any document, article of identification, money, security, or official paper and includes unauthorized use of an official document or paper.

Class "C" for violations involving security issues; Class "D" for all other violations.

- 29) Being Intoxicated or Under the Influence - An offender commits an offense under this subsection when the offender uses or is found to be intoxicated or under the influence of drugs, dangerous drugs, and intoxicants.

Class "B" for all violations.

- 30) Gambling, Debts, etc. - An offender commits an offense under this subsection when the offender:

- a) Plays for money, services, or other things of value at any game including, but not limited to, those played with cards or dice.
- b) Bets on the side or hand of those playing.

- c) Bets anything of value on the outcome of any observable event or ascertainable happening.
- d) Organizes, conducts, or participates in any game of chance, lottery, betting pool, or other similar device.
- e) Incurs debts.
- f) Possesses in any manner debt lists.
- g) Possesses in any manner gambling paraphernalia.

Class "C" violations involving security issues; Class "D" for all other violations.

- 31) Attempted Suicide, Self-Mutilation - An offender commits an offense under this subsection by attempting suicide, causing self-mutilation, or other destruction.

Class "C" for all violations.

- 32) Bribery - An offender commits an offense under this subsection when the offender offers to confer, confers, or agrees to confer anything of value upon another person with the intent to influence that person's exercise of discretion or other action in any official capacity in an attempt to gain special favors.

Class "C" for all violations.

- 33) Bartering, Selling Goods or Services, Etc. - An offender commits an offense under this subsection when the offender:

- a) Is in violation of laws, rules, or policies regarding the transfer or ownership of property.
- b) Barters, loans, gives, exchanges, accepts, sells or buys things of value including, but not limited to, those items sold in the commissary, clothing, housing furnishings, art and craft items.

- c) Transfers or attempts to transfer or accepts transfer of funds from one offender to another offender, either directly or through another person.
- d) Agrees to perform or receive services, including legal work, for anything of value or in return for services.

Class "C" for all violations.

- 34) Entering into Contracts/Agreements, Operating Businesses - An offender commits an offense under this subsection when the offender enters a contract, unauthorized agreement, or engages in a business without the prior written approval of the Warden/Superintendent.

Class "D" for all violations.

- 35) False Statements - An offender commits an offense under this subsection when the offender knowingly makes a false statement whether or not under oath or affirmation including, but not limited to, dishonesty, deception, cheating, etc. A report of sexual assault or sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred shall not constitute falsely reporting an incident or lying (or any other violation of this rule), even if an investigation does not establish evidence sufficient to substantiate the allegation. **(PREA 115.78(f))**

Class "D" for all violations.

- 36) Refusal or Failing to Participate in Treatment - An offender commits an offense under this subsection when the offender:
  - a) Refuses to follow through with prescribed or required treatment or other programs.
  - b) Fails to participate in prescribed or required treatment or other programs as instructed.

Class "B" violation for all refusals or terminations involving required treatment classes; Class "C" for all other violations.

- 37) Habitual Minor Offender - An offender commits the offense of a habitual minor offender if the offender is repeatedly found in violation of Minor Rules. The number of offenses and prescribed time frame shall be seven minor reports within a 60 day time period.

Class "D" for all violations.

- 38) Adulteration of Food or Drink - An offender commits an offense under this subsection by introducing any foreign substance or contaminant into any food or drink.

Class "B" for all violations.

- 39) Safety, Sanitation, Tattooing, and Piercing - An offender commits an offense under this subsection when the offender:

- a) Uses any equipment or engages in any practices contrary to written or verbal safety instructions including, but not limited to, possession or use of any item that punctures or causes bleeding, either self-inflicted, inflicted on another offender, or inflicted by another offender. This prohibition covers giving and receiving tattoos or body piercings.
- b) Is unsanitary or untidy, (i.e., one's person, living quarters, work areas, etc.) including, but not limited to, failure to place clothing, towels, linens, rags, or paper items contaminated with blood or body fluids, body waste, or substances into a protocol bag designed for such use and notify the proper authority of such contamination and incident.
- c) Improper disposal of any body waste, substance, or fluid, i.e., spitting or throwing.

Class "C" for violations involving health/security issues;  
"D" for all other violations.

- 40) Misuse of Mail, O-Mail, Telephone, or Other Communications - An offender commits an offense under this subsection when the offender fails to follow institutional procedures, regulations or instructions, written or verbal, while communicating with another person such as through the mail, O-Mail, or telephones, or uses such communication without proper authorization, or includes or uses coded messages or symbols.

Class "C" for all violations.

- 41) Sexual Violence – An offender commits an offense under this subsection when the offender commits an act against another person of sexual abuse or sexual assault as defined below. Sexual violence also includes repeated and non-consensual sexual advances, requests for sexual favors, or verbal comments, gestures, or actions of a derogatory or offensive sexual nature by one offender towards another offender.

a) Sexual Abuse – The non-consensual contact of another person that consists of:

- i. Intentional touching, either directly or through the clothing, of the genitalia, anus, groin, breast, inner thigh, or buttocks of the other person.
- ii. Contact incidental to a physical altercation with no sexual intent for the contact is excluded.

b) Sexual Assault – The non-consensual contact of another person that consists of:

- i. Contact between genitalia or between genitalia and anus including penetration, however slight; or



- ii. Contact between the mouth and genitalia or anus; or
  - iii. Penetration of the anal or genital opening by the hand, finger, or other object.
- c) Contact is considered non-consensual if:
- i. The other person does not expressly agree to the offender's contact.
  - ii. The offender impairs the other person in attempt to control that person's conduct by administering or employing drugs, intoxicants, or similar means.
  - iii. The offender compels the other person to submit by threats of violence or other forms of coercion.
  - iv. The other person suffers from a mental disease, defect, or inadequacy, which renders that person incapable of understanding the nature of the contact or of being aware of the nature of the contact.
  - v. The other person is unconscious or otherwise incapable of resisting the contact.

Class "A" if weapon used, victim exposed to potentially infectious bodily fluids, secretions, tissue, or excrement, or the victim suffers an injury; Class "B" for all other violations. **(PREA 115.6, 78(g))**

- 42) Security Threat Groups - An offender commits an offense under this subsection when the offender:
- a) Originates, promotes, participates in, recruits for, etc., any unauthorized group, organization, gang, clique, association, etc.
  - b) Communicates involvement in any unauthorized groups through written or verbal means, physical

appearance, hand signs, symbols, photographs, association with others, etc.

- c) Possesses, creates, reproduces, or transmits any materials related to unauthorized group/gang activities.

Class "B" for all violations.

- 43) Attempt or Complicity - An offender commits an offense under this subsection when the offender attempts any of the listed offenses or is in complicity with others who are committing or attempting to commit any of the listed offenses.

Class determined by the offense the attempt or complicity relates to.