



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI: DIR
Number: 1311.9B
Date: December 6, 2011
Supersedes: 1311.9A (02/08/07)
Subject: After Action Reviews
and Reports

1. **PURPOSE AND SCOPE.** To establish procedures and standardize reporting for after-action review of major incidents and of investigations following major incidents within the D. C. Department of Corrections (DOC) and contract facilities.
2. **POLICY.** The DOC conducts after-action reviews to identify areas of operational strengths and weaknesses, and gather information that can be used in formulating corrective strategies and policies. The standard report format serves as a guide for review teams and provides a consistent basis for evaluating incidents over time.
3. **APPLICABILITY.** This policy applies to all DOC staff, contract employees and volunteers.
4. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. After-Action Review Reports will be completed and consistently formatted.
 - b. The costs of every incident investigated by an After-Action Review Team will be consistently documented.
 - c. After-Action Reports will be considered confidential and dissemination of the reports and information contained in the reports will be closely controlled.
5. **NOTICE OF NON-DISCRIMINATION.**
 - a. In accordance with the D.C. Human Rights Act of 1977, as amended, D.C. Official Code §2-1401.01 et seq., (Act) the District of Columbia does not discriminate on the basis of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intrafamily offense, or place of residence or business. Sexual harassment is a form of sex discrimination that is also prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.
6. **DIRECTIVES AFFECTED.**
 - a. **Directive Rescinded**

- 1) PS 1311.9A After Action Reviews and Reports (02/08/07)

b. **Directives Referenced**

- 1) PS 1280.2 Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences
- 2) PS 1300.1 Freedom of Information Act (FOIA)
- 3) PS 1311.2 Management Controls

7. **AUTHORITY.** D.C. Code § 24-211.02, Powers; Promulgation of Rules

8. **STANDARDS REFERENCED.** None

9. **DEFINITIONS.** For the purpose of this Directive the following definitions apply:

- a. **Major Incidents** - Incidents including, but not limited to, major fires, work or food strikes, disturbances, escapes, internal and external hostage situations, homicides, or other major incidents as identified by the Director and Deputy Director.
- b. **Firearms Discharge**— An incident involving the duty-related discharge of a firearm by a Department or contract employee or the discharge of a firearm by any person on DOC property or at a DOC contract facility.

10. **AFTER-ACTION REVIEW TEAM**

- a. When a major incident, as defined above occurs, the Director or Deputy Director may appoint an After-Action Review Team to investigate the incident and prepare an After-Action Report. The report shall be submitted to the appointing official no later than 30 days after the assignment is given.
- b. The Director or Deputy Director shall determine the size and composition of the After Action Review Team based on the specifics of the incident under review.

11. **AFTER-ACTION REVIEW FOR INCIDENTS INVOLVING DISCHARGE OF A FIREARM**

- a. For all incidents involving discharge of a firearm, the Director may appoint the following managers to determine if staff actions were in compliance with established policy and shall make appropriate recommendations to the Director:
 - 1) Deputy Director or Designee – Chair
 - 2) General Counsel or Designee
 - 3) Internal Affairs Officer or Designee
 - 4) Internal Controls Manager or Designee
- b. The report shall be finalized by the After Action Review Committee no later than 30 days after the appointment of the Committee.

12. **AFTER-ACTION REPORT FORMAT.** Each After-Action Report shall reference the Extraordinary Occurrence Report (EOR) number assigned when the incident was originally

reported (Refer to *PS 1280.2 "Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences"*). This number shall serve as the tracking number for the After-Action Report. Although each report may be tailored for the specific incident, After-Action Reports ordinarily shall adhere to the following format:

- a. **Introduction/Executive Summary.** This section shall summarize all significant information resulting from the review and identify team members, purpose and scope of the review. This information should be written in bullet point format, i.e. persons involved, injuries, monetary damages, etc.
- b. **Chronology of Events.** This section shall detail events in chronological order. It may be separated into a chronology of inmate inspired events and staff responses. *This section shall not include comments or conclusions on inmate or staff activities.*
- c. **Analysis of Events.** This section shall include the team's analysis of all events as they unfolded. It may also be separated into an analysis of inmate actions and staff responses. Comments on results or consequences of actions may be included in this section.
- d. **Other Factors.** This section should include on-site observations, current events affecting the Department or facility, and investigative or intelligence information. This section may not be necessary in all reports.
- e. **Conclusions.** This section shall be a well-reasoned conclusion based on all of the above sections. Each piece of information analyzed above shall lead to conclusions. This section shall include comments on staff response and may list both positive and negative performances of individual staff members or groups of staff.
- f. **Recommendations.** This section shall be presented in a numbered format for easy reference and shall reflect the Analysis of Events and Conclusions sections. This section shall also include any and all lessons learned with recommendations as to the need for training, equipment, modification of response procedures, etc.
- g. **Attachments.** This section shall include relevant photographs, memorandums, rosters, lists of staff interviews, and other documentary evidence relied on by reviewers. When multiple jurisdictions are involved, copies of reports and investigations conducted by other law enforcement agencies should be included.
- h. **Cost/Impact Statement.** An impact statement shall be completed as an integral part of every review, with each monetary amount clearly labeled as an estimate or actual final figure. When major portions of the impact statement are based on estimates, an amended impact statement shall be filed once more accurate cost/impact information is available.
- i. **Staff Involvement.** In all cases, there must be a list of every staff member determined to be involved in the incident. This list must provide:
 - Full name
 - Rank/Title
 - Entrance of Duty (EOD) Date
 - Shift and Post Assignment

- Nature of Involvement
- j. **Inmate Involvement.** In all cases, there must be a list of every inmate determined to be involved in the incident. This list must provide:
- Full Name
 - DOC Number
 - Charge Information
 - Custody Status (i.e. Special Handling, PC, AS, WITSEC)
 - Housing Assignment
 - Work Assignment
 - Nature of Involvement

13. CONFIDENTIALITY. All After-Action Reports shall be considered confidential and are subject to the following procedures:

- a. The Chairman of the After-Action Review Team shall hand deliver the original report, supporting documents, exhibits and attachments to the appointing official. The appointing official shall forward a copy of the report to the Internal Controls Manager who shall conduct a follow-up review to ensure that the recommendations are implemented.
- b. Members of the After-Action Review Team are prohibited from maintaining “personal” copies of the report and supporting documents, exhibits and attachments.
- c. Copies of After-Action Reports and/or information contained in After-Action Reports may not be released outside the agency unless authorized by the Director. FOIA requests, subpoenas, requests for production of documents and other requests for After-Action Reports or information will be referred to the Office of the General Counsel for appropriate action.



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