103 CMR 505.00: USE OF FORCE

Section

505.01 Purpose

The purpose of 103 CMR 505.00 is to establish rules and procedures, governing the use of force by Department of Correction (Department) employees.

505.02 Cancellation

103 CMR 505.00 cancels all previous Department policy statements, bulletins, directives, orders, notices, or regulations on the use of force, to the extent they are inconsistent with 103 CMR 505.00.

505.03 Applicability

103 CMR 505.00 is applicable to all employees of the Department, provided, however, that 103 CMR 505.11 shall not apply when instruments of restraint are applied to inmates that have been admitted or committed to the Bridgewater State Hospital under the provisions of M.G.L. c.123. It shall apply when instruments of restraint are applied to those inmates who have been placed at the Bridgewater State Hospital via the classification process for the purpose of assignment to the permanent inmate workforce. Provided, further, that 103 CMR 505.00 shall not apply to employees of the Department when restraints are applied to inmates housed at the Lemuel Shattuck Hospital.

505.04 Access to Regulations

Copies of 103 CMR 505.00 shall be posted and maintained in prominent places accessible to all employees and inmates. A copy shall be given to each employee at the time of initial orientation. A copy shall be kept on file in the institution’s central policy file, inmate law library, and in the Central Office policy file.

505.05 Definitions

Ammunition. The projectile(s), along with the casing and primer that can be fired from a firearm.
Business Hours. Monday through Friday, 9:00 a.m. to 5:00 p.m. excluding holidays.

Chemical Agents. Device or instrument that contains or emits a liquid, powder, or any other substance designed to incapacitate. This includes, but is not limited to, tear gas cartridges and self-contained sprays.

Commissioner. The Commissioner of the Department of Correction.

Department. The Department of Correction.

Department Duty Officer Station. Designated site that assists the processing of information for the Duty Officer System.

Deputy Commissioner of Administrative Services. One of three Department Deputy Commissioners whose duties include, but are not limited to the management of the Special Operations Division. For the purposes of 103 CMR 505.00, the Deputy Commissioner acts as the Tactical Operations Commander and is in the chain of command during the review process of all tactical uses of force.

Deputy Commissioner of the Prison Division. One of three Deputy Commissioners of the Department of Correction. The Deputy Commissioner is in charge of all facility operations as well as the Central Transportation Unit, Inmate Disciplinary Unit, Office of Investigative Services and Prison Rape Elimination Act (PREA).

Director, Special Operations Division. The Department staff person responsible for the daily operations of the Special Operations Division of the Department of Correction.

Director, Health Services. The staff person charged with the administration of the Health Services Division of the Department of Correction.

Emergency. Any situation where the failure of an individual to take immediate action would place that individual or another at imminent risk of death or serious bodily injury.

Employee. An employee of the Department of Correction. For the purposes of 103 CMR 505.00 only, employee shall also refer to individuals paid for services performed within a correctional institution for or through a contracted service or agency.

Excessive Force. Force applied that exceeds reasonable force, or force which was reasonable at the time its use began but was used beyond the need for its application.

Firearm. A pistol, revolver, or other weapon of any description, loaded or unloaded, from which ammunition can be fired.

Force. The use of physical power. The use of a weapon, a chemical agent, specialty impact device or instrument of restraint to compel, restrain, or otherwise subdue a person.

Four. Point Restraint - Any combination of instruments of restraint such that the four limbs of an inmate are restrained at any one time, in any manner, to a fixed object.

Institution Duty Officer. The staff person assigned the duties as institution duty officer by the superintendent.

Instruments of Restraint. Equipment authorized for use during the transportation of inmates to prevent escape, or to prevent injury to self, others or property. Instruments of restraint shall include, but not be limited to: handcuffs, waist chains, leg restraints, soft restraints, flexible restraints or any other device or equipment authorized by the Commissioner.

Medical Director. Physician designated by the Contractual Medical Provider as responsible for health services and medical judgments at each Department institution.
Office of Investigative Services/Apprehension Unit. The unit of the Department of Correction that conducts investigations at the direction of the Deputy Commissioner of the Prison Division, and is responsible for the apprehension of escaped inmates.

Reasonable Force. The use of physical power, a weapon, a chemical agent, specialty impact device, or instrument of restraint applying the least amount of force necessary in a manner to carry out the actions listed in 505.07(2) (a) through (j).

Serious Bodily Injury. Any injury which creates a substantial risk of death or any injury which is likely to cause serious permanent disfigurement, or the loss or extended impairment of any limb, organ or other part of the body.

Shift Commander. The staff member responsible for the supervision of all security staff during a given tour of duty, ensuring that said staff maintain the safety and security of the institution, and provide for the care and custody of all inmates housed within the institution, in accordance with all Department policy statements, bulletins, directives, orders, notices, rules or regulations. The shift commander may also be responsible for institutional operations during the absence of higher ranking staff.

Specialty Impact Device. Any device or munitions authorized by the Commissioner designed to deliver enough energy to cause sufficient discomfort in order to gain voluntary compliance, mental distraction, or temporary incapacitation.

Special Unit Director. The administrative head of the following units:
(a) The Office of Investigative Services
(b) The Department Staff Development Division;
(c) The Department Central Transportation Unit; and
(d) The Special Operations Division.

Superintendent. The chief administrative officer of a Department of Correction institution.

Visitor (Inmate). Any person requesting entrance into a correctional institution’s visiting room or other approved visiting area for the sole purpose of conducting a social visit with an inmate incarcerated within any state correctional institution.

Visitor (Institutional). Any person requesting entrance into a correctional institution to conduct official business such as, but not limited to: contractors; vendors; repairmen; facility tours; media; volunteers; and persons wishing to provide services to inmates or to examine or report on inmates’ conditions.

505.06 Philosophy

It is the Department’s philosophy to train staff to use only the amount of force necessary to: gain control of an inmate; to protect and ensure the safety of all inmates, staff and others; to prevent significant property damage; and, to ensure institution safety, security and good order. Force shall never be used as a form of punishment. Staff shall also be trained in methods of de-escalating a conflict whenever feasible, and instructed that force shall only be used as a last resort in resolving any conflict. By using de-escalation techniques the Department recognizes that safer alternatives to force are sometimes available, which shall prevent injuries to staff and inmates. Moreover, the Department recognizes that de-escalation does not compromise staffs’ authority over inmates; rather, it allows staff to deal with the disruption on their terms.

505.07 Use of Force

(1) A use of force occurs whenever staff physically imposes their will on an inmate. If an inmate voluntarily complies with an order to be restrained, including placement in four point restraints, a use of force has not occurred and should not be reported as such.
(2) An employee may use reasonable force when it is necessary to:

(a) prevent the commission of a felony, including escape;
(b) prevent an act which could result in death or serious bodily injury to himself/herself or another person;
(c) defend himself/herself or another against a physical assault;
(d) prevent significant damage to property;
(e) prevent or control a riot or disturbance;
(f) move an inmate who has refused a proper order by an employee;
(g) apprehend an escaped inmate;
(h) conduct the search of an inmate who has refused a proper order by an employee to submit to said search;
(i) preserve the overall order and security of the institution; and
(j) preserve the safety of any employee, inmate, or visitor.

(3) There are two types of use of force, spontaneous and planned.

(a) A spontaneous use of force occurs whenever there is an immediate need to control or restrain a person for
the protection and safety of all concerned, e.g. when the inmate is participating in self harm, for self-defense or
the protection of another who is at risk of imminent harm, to prevent an escape, or to prevent property damage
which compromises institution safety.

   When a spontaneous use of force occurs, staff may defend themselves using a number of techniques
   illustrated by a Pyramid of Force (Standard Operating Procedure available at http://www.mass.gov/doc/policy,
   and at each inmate library attached to 103 CMR 505.00: Use of Force).

(b) A planned use of force occurs when the level of threat by the inmate is not immediate, e.g., refusal to be put
in restraints and exit a cell, threatening behavior, possession of a weapon, and property damage. There is time to
activate a team, suit up in full extraction gear, and brief team members on strategy to be used. Every attempt
should be made to diffuse the situation prior to a planned use of force.

(c) Whenever possible, any staff member involved in a spontaneous or planned use of force that results in injury
to the staff member shall remove himself/herself from the situation as soon as possible. It is the responsibility of
the team leader or any supervisory personnel to remove a staff member from continued involvement in a use of
force when that staff member has been injured, whenever possible.

(4) Prior to using force, to the extent that it is practicable, staff shall attempt to de-escalate the situation in hopes
of eliminating the need for force.

(5) Whenever a disruptive inmate’s inability to communicate in English hinders attempts to de-escalate the
conflict, if at all possible, a staff person fluent in the language of the inmate should be utilized.

505.08 Prohibitions on the Use of Force

(1) An employee shall not use or permit the use of excessive force. It is the responsibility of an employee who
witnesses an excessive use of force to report any such force to a supervisor.

(2) An employee shall not use or permit the use of force as punishment or discipline.

505.09 Emergency Entry of Cell Procedure

The following procedures are to be utilized for an emergency entrance of a cell within a special management
unit, or any other unit as deemed appropriate by a superintendent, when time is of the essence, due to a medical
or other emergency. These emergencies consist of an inmate who appears to be in distress within a cell and/or
when an inmate is physically harming himself/herself.

(1) An Emergency Response shall be initiated.
505.09: continued

(2) Evaluate the cell and the condition of the inmate.

(3) If the window of the cell door is covered, make an effort to see in the cell, using any technology available.

(4) In order to determine whether it is safe to enter the cell, staff on site shall report to supervisory staff their observations of all available information, including but not limited to the presence of a visible weapon. The shift commander shall make the final decision to conduct an emergency entry into the cell.

(5) When the decision to enter a cell has been made by the shift commander, there shall be at least three staff members present when the door opens. One of these staff members shall be of supervising rank, if possible.

(6) Each institution shall place intervention carts throughout the facility. The superintendent or designee shall determine the location of the intervention carts, taking into consideration where uses of force are most likely to occur. Each intervention cart shall include a minimum amount of extraction equipment, including a poly captor shield, three vests, three pair of gloves and three helmets. During an emergency entrance of cell procedure, if staff members are unable to suit up in extraction equipment, they may utilize any equipment contained in the intervention cart. A shield shall be utilized during an emergency entrance of cell procedure, if possible.

(7) In an effort to maintain safety, staff shall proceed with extreme caution when conducting an emergency entry of a cell, especially when there is a visible weapon.

505.10 Requirements Governing the Use of Chemical Agents

(1) Only those chemical agents approved in writing by the Commissioner are authorized for use.

(2) Chemical agents shall not be used in state institutions without the prior authorization of the superintendent, or in the absence of the superintendent, a designee. Where the timely authorization of the superintendent or designee cannot be obtained and the failure of an employee to act would constitute a risk to the employee, inmates or others; the shift commander shall have the authorization to approve the use of chemical agents. All authorizations noted in 103 CMR 505.10(2) shall be documented in writing after the incident and within the time limits of 103 CMR 505.13 (1).

(3) When time and circumstances permit, before the use of chemical agents, the Medical Director or designee, shall review the inmate's medical file to determine if any medical contraindications exist in using chemical agents. After the review, the Medical Director shall complete and sign the “Use of Chemical Agents” form (available at http://www.mass.gov/doc/policy and at each inmate library attached to 103 CMR 505.00: Use of Force). Inmates in adjacent cells shall also be checked for contraindications. If necessary, the inmate(s) shall be moved to a non-affected area before chemical agents are used unless an emergency exists requiring the immediate use of chemical agents.

(4) Chemical agents shall not be used as punishment.

(5) Chemical agents shall only be used by employees trained and certified in their proper use, and only after a clear verbal warning has been conveyed to the inmate that he/she needs to comply with the order, unless an emergency exists that requires the immediate application of chemical agents to prevent injury to staff or inmates or property damage which may compromise institutional safety.

(6) Chemical agents shall only be used following the manufacturer's recommendations and in compliance with the training program plan as approved by the Commissioner.

(7) Decontamination of contaminated area(s) shall be in accordance with the manufacturer’s recommendations and in compliance with the training program plan as approved by the Commissioner.
505.10 continued

(8) The use of chemical agents shall be considered a use of force. The reporting requirements of 103 CMR 505.13 shall be followed.

(9) Following the application of chemical agents, the Deputy Commissioner of the Prison Division or a designee shall be notified by normally acceptable means of communication as soon as possible.

505.11 Requirements Governing the Use of Instruments of Restraint

(1) Only instruments of restraint approved by the Commissioner and issued by the Department shall be used. Gags are not authorized as instruments of restraint and their use is a violation of 103 CMR 505.00.

(2) Instruments of restraint shall not be used as punishment.

(3) The following uses of instruments of restraint shall not be considered to be a use of force:
   (a) during the transportation of inmates;
   (b) routine movement of inmates from one point to another within a correctional institution; and
   (c) application of restraints, including four point restraints, on an inmate who voluntarily complies with being restrained. Although a use of force has not occurred if an inmate voluntarily complied with a directive to be restrained, the superintendent must document each instance by utilizing the Use of Force Four Point Restraint Checklist, the Four Point Restraint Medical Examination Checklist, the Observation Check Sheet as well as the Mental Health Review, each is available at http://www.mass.gov/doc/policy, and at each inmate library attached to 103 CMR 505.00: Use of Force.

(4) Except as described in 103 CMR 505.11 (3) (a) and (b), instruments of restraint shall only be used when all other reasonable methods of control have been considered and deemed inappropriate. The shift commander may authorize the use of restraint for up to two hours, but must contact the superintendent, or in the absence of the superintendent, a designee, by normally accepted means of communication as soon as possible to gain documented approval for continued use of instruments of restraint beyond two hours. In all other cases, the superintendent, or in the absence of the superintendent, a designee, must authorize the use of restraints prior to their application. This includes inmates who voluntarily comply with orders to be restrained.

(5) Instruments of restraint shall only be used by employees trained in their proper use. Such training shall be documented.

(6) Instruments of restraint used for purposes other than as described in 103 CMR 505.11 (3)(a) and (b) shall only be used until the restrained inmate has exhibited through actions or statements that he/she will not resume the conduct which resulted in the decision to use instruments of restraint. This includes inmates who voluntarily comply with being restrained. In no event shall an inmate be restrained beyond an eight hour period without the documented review by a member of the mental health staff. This also includes inmates who willingly agreed to be restrained. Such a review shall occur at the end of each eight hour period. The superintendent shall notify the appropriate Assistant Deputy Commissioner immediately if an inmate is to be restrained longer than eight hours.

(7) All restrained inmates, except those restrained under 103 CMR 505.11 (3) (a) and (b), shall be examined by a member of the Institution's medical staff at regular and frequent intervals. Except in unusual circumstances, intervals shall not be greater than two hours in duration. Any examination pursuant to this section shall be documented. This does not include inmates restrained at the Lemuel Shattuck Hospital Outpatient Department for medical treatment.

(8) At no time shall an inmate under restraint be out of the constant visual observation of staff.
505.11: continued

(9) The application of instruments of restraint shall be such that it provides the least amount of physical restraint necessary for the situation. This may include the use of handcuffs, waist chain or leg restraints, separately or in combination.

(10) At no time shall handcuffs or waist chains be connected together with leg restraints.

(11) If four-point restraints are authorized by the superintendent, or a designee, or the shift commander as allowed by 505.11(4), the appropriate Assistant Deputy Commissioner shall be notified immediately. In those instances where the use of four-point restraints have been ordered as medically necessary by a member of the medical or mental health staff, the Director of Mental Health Services, or a designee, shall be notified during business hours. Such notifications shall be made within two hours of an inmate being placed in four-point restraints, be documented, and shall include but not be limited to:

(a) inmate's name and commitment number;
(b) reason for placing the inmate in four-point restraint;
(c) time placed in restraints;
(d) what other actions were taken or considered before placing the inmate in four-point restraints; and
(e) four-point restraints are being used in cases involving self-mutilation or attempted self-mutilation, the expected time of examination by mental health staff.

(12) The use of instruments of restraint except when used as described in 103 CMR 505.11 (3) (a) and (b), is a use of force and the reporting requirements of 103 CMR 505.13 shall be adhered to.

505.12 Requirements Governing the Use of Firearms

(1) An employee qualified to use a firearm may use a firearm only as a last resort when all other means have been attempted or it is reasonable to believe that they would be ineffective, and only in the following situations:

(a) to prevent an act which is likely to create an imminent risk of death or serious bodily injury to the employee or another person.
(b) to prevent an escape of an inmate whom the employee reasonably believes to be a convicted felon and the use of force does not pose a risk of harm to innocent persons.
(c) to carry out the arrest of an escaped inmate on a charge of escape as defined by M.G.L. c. 268, §. 16, but only if:
   1. the employee holds a valid special state police commission pursuant to M.G.L. 127, §. 127;
   2. the employee reasonably believes that the use of firearms creates no substantial risk of injury to innocent persons; and,
   3. the employee reasonably believes that there is substantial risk that the escaped inmate will cause death or serious bodily injury if the apprehension is delayed.

(2) Firearms shall not be used without the prior authorization of the Commissioner, or a designee; the superintendent, or a designee; the special unit director, or a designee; unless an emergency exists requiring the immediate use of firearms.

(3) There may be rare situations where an employee will have to use a firearm without prior authorization. In this situation, the employee should notify the superintendent, special unit director, or a designee immediately afterwards using the quickest mode of communication available. The superintendent, special unit director, or a designee shall then immediately notify the appropriate Assistant Deputy Commissioner and the Deputy Commissioner of the Prison Division via the fastest means available. Any such use of a firearm shall be strictly reviewed to determine if:

(a) it was not possible to get timely authorization; and,
(b) it was reasonable for the employee to believe that an emergency existed requiring the immediate use of a firearm to prevent death, serious bodily injury or escape of a convicted felon as described in 103 CMR 505.12 (1) (B).
505.12: continued

(4) Anyone who is injured as a result of the discharge of a firearm shall receive immediate medical care. Such care shall be documented.

(5) Except in emergency situations, firearms are prohibited in minimum and pre-release institutions. Firearms shall not be used to prevent escapes from minimum or pre-release institutions. Nor shall firearms be used to prevent escapes of individuals recognized and known to be a civil commitment to the Bridgewater State Hospital, the Treatment Center at the Bridgewater Complex, the Massachusetts Alcohol and Substance Abuse Center, or detainees committed to MCI-Framingham under pre-trial or civil commitment status, except when necessary to prevent an act which is likely to create an imminent risk of death or serious bodily injury to the employee or another person.

505.13 Reporting Requirements for the Use of Force

(1) After an employee uses force, the superintendent, or a designee, or the special unit director, or a designee shall be notified immediately. In addition, the employee as soon as possible, and in no event later than the end of the employee’s tour of duty, unless otherwise authorized by the superintendent or Special Unit Director, shall submit a written report to the superintendent, or the Special Unit Director.

   The report shall include:
   (a) An accounting of the events leading up to the use of force;
   (b) A precise description of the incident and the reasons for employing force;
   (c) A description of the type of force used, and how it was used;
   (d) A description of the injuries suffered, if any, and the treatment given, if known, along with attached photographs, if any, and;
   (e) A list of all participants and witnesses to the incident who are known by the reporting officer.

(2) The superintendent or Special Unit Director shall also require a written report containing matters listed in 505.13(1) (a) through (e), from any employee who witnessed the use of force.

(3) All use of force incidents as well as any corresponding videotapes shall be reviewed by the superintendent or a special unit director or designee within five business days. The designee for the superintendent shall be either a Deputy Superintendent or Director of Security. If there is an injury to staff or inmate during a use of force, any corresponding tape should be reviewed by the superintendent or designee within two business days. This process shall include a review by the superintendent or a special unit director of all video/audio tapes, and the completed written reports. Any inappropriate behavior discovered during this review shall be reported immediately to the respective Assistant Deputy Commissioner and documented. In the case of a special unit director, the matter shall be referred to his/her supervisor. An intake for a formal investigation shall be submitted through the Office of Investigative Services if this review documents any serious staff misconduct. In the event of a spontaneous use of force, the superintendent shall insure that any corresponding video recordings of the event be downloaded by Inner Perimeter Security personnel by the end of the respective shift.

(4) Whenever the death of an inmate occurs as a result of a use of force, the superintendent or special unit director shall immediately notify the Commissioner through the quickest mode of communication available and the District Attorney's Office responsible for the institution or location where the death occurred.
505.13: Continued

(5) A copy of the report described in 103 CMR 505.13 (1), and a completed Use of Force Reporting form 505-1 (available at http://www.mass.gov/doc/policy, and at each inmate library attached to 103 CMR 505.00: Use of Force) shall be submitted to the Director of the Special Operations Division, by the superintendent or special unit director within 20 business days from the time of the incident. In addition, the superintendent shall include a cover letter to the Director of Special Operations Division with a brief description of the use of force, along with any findings and corrective action he/she has taken. In the case where the staff reporting to the Director of Special Operations is involved with reporting a use of force, the package shall be submitted to the Deputy Commissioner of Administration. In the event additional time is required, the superintendent or Special Unit Director shall seek written approval from the Commissioner. The request to the Commissioner for additional time shall state the reason(s) for the delay and the expected time of completion. The Director of the Special Operations Division shall review the reports and may request additional information or may submit an intake to the Office of Investigative Services for official investigation.

(6) The Director of the Special Operations Division shall conduct an analysis of all uses of force, which occur within the Department. Each quarter the Director of the Special Operations Division shall submit written findings to the Commissioner, detailing the number of uses of force conducted, as well as a synopsis of established performance measures.

505.14 Debriefing

(1) The shift commander and the team leader should schedule a debriefing for all staff members involved in the use of force by the end of the shift, including the intervention specialist. If this is not possible, the superintendent should make every effort to assemble those involved in the use of force for some method of debriefing as soon as possible.

(2) After staff members involved in a planned or spontaneous use of force have written their reports, as part of a debriefing, they shall have the opportunity to review the videotape with the shift commander and/or team leader in order to critique their performance.

If information is learned from reviewing the videotape that was not included in a report, an addendum to the report shall be written and submitted.

(3) A summary of the debriefing, with any corresponding recommendations of corrective action (if applicable), including training, should be submitted to the superintendent by the shift commander within 48 hours of the debriefing. This information shall be included in the submission of the Use of Force Reporting form 505-1 (available at http://www.mass.gov/doc/policy, and at each inmate library attached to the 103 CMR 505.00: Use of Force).

505.15 Medical Treatment

(1) Medical staff shall examine any inmate involved in a use of force as soon as possible. This examination and any treatment performed shall be documented.

(2) Any person injured during a use of force shall be examined as soon as possible by a medical staff member. Such care or treatment shall be documented.

(3) Any inmate refusals of medical examinations or treatment shall be made directly to medical staff and documented by medical staff.

505.16 Sanctions for Violation of 103 CMR 505.00

Any employee who violates or permits the violation of 103 CMR 505.00 or who fails to report any violation or suspected violation of 103 CMR 505.00 shall be subject to disciplinary action up to and including termination.
505.17 Training in the Use of Force

The Department shall provide all employees charged with the care and custody of inmates with standardized training in approved methods of using physical force, de-escalation techniques, instruments of restraint, chemical agents, and firearms to control inmates where necessary. In addition, each superintendent shall identify staff members from each shift, who shall also receive standardized training in the area of video recording. Any of the above-mentioned training received shall be documented in each employee’s permanent training file.

505.18 Data Collection and Tracking

All uses of force occurring throughout the Department of Correction shall be entered into the Use of Force Database. The information shall be tracked to ensure compliance with 103 CMR 505.00 and consistency in the reporting of these events. The Special Operations Division shall review use of force packages.

505.19 Emergencies

Whenever in the opinion of the Commissioner or designee, an emergency exists which requires suspension of all or part of the 103 CMR 505.00, he/she may order such suspension.

505.20 Responsible Staff

The Director of the Special Operations Division shall be responsible for implementing 103 CMR 505.00 throughout the Department. Each superintendent and Special Unit Director shall be responsible for implementing and monitoring 103 CMR 505.00 within the institution or unit, and for the development of necessary and appropriate procedures as required, which shall be reviewed and signed-off by the reviewing authority.

505.21 Annual Review

103 CMR 505.00 shall be reviewed annually by the Commissioner or a designee. The party or parties conducting the review shall submit a memorandum indicating that the review has been completed. A copy of this memorandum shall be filed in the Department’s Central Policy File. Recommendations for revisions, additions, or deletions shall be included.

505.22 Severability Clause

If any article, section, subsection, sentence, clause or phrase of these regulations is for any reason held to be unconstitutional, contrary to statute, in excess of the authority of the Commissioner, or otherwise inoperative, such decision shall not affect the validity of any other article, section, subsection, sentence, clause or phrase of 103 CMR 505.00

REGULATORY AUTHORITY

103 CMR 505.00 M.G.L. c. 124, §§1(b), (c), and (q); c. 127, s. 33.