## Part II – Youth Services (Facilities)

### Subject

**Use of Physical Intervention and Restraints in Facilities**

### Section – Policy Number: B: Order – 1.1

**Supersedes:**
- II-B-1.1 (1/11)
- II-B-1.1 (3/05)
- II-B-1.1 (2/04; 11/01)

**Info Letters:**
- II-B-1.1.a (3/05)
- II-B-1.1.b (8/06)
- II-B-1.1.c (8/07)
- II-B-1.1.d (9/10)

**Effective Date:** 01/30/2012

**Date of Last Revision:** 06/28/2013

### Related Standards and References:

- [ORS 161.205 – 161.219](#) (Use of physical force)
- [ORS 420A.010](#) (Creation and duties)
- [OAR 416-490](#) (Use of Isolation, Physical Intervention, and Restraint in OYA Close Custody Facilities)
- Performance-based Standards (PbS), *Juvenile Correction and Detention Facilities; Order; Safety; Justice*
- American Correctional Association, *Standards for Juvenile Correctional Facilities*; 4-JCF-2A-17 (Restraints not Used for Punishment); 4-JCF-2A-18 (Four/Five-Point Restraints); 4-JCF-2A-29 (Use of Physical Force)
- **OYA policy**: I-E-4.0 (Incident Reviews)
  - II-A-3.0 (Supervision of Offenders)
  - II-A-3.1 (Facility Offender Transports)
  - II-B-1.2 (Use of Time-out, Isolation, and Special Program Placements in OYA Facilities)
  - II-D-2.2 (Suicide Prevention in OYA Close Custody Facilities)
  - I-E-1.0 (Director’s Incident Report and Notification)

- [Attachment A: OYA Physical Intervention and Restraint Continuum Matrix](#)
- [Attachment B: OYA Physical Intervention and Restraint Continuum Circle](#)

### Related Procedures:

- FAC II-B-1.1.a. Use of Restraint Chairs
- FAC II-B-1.1.b. Planned Physical Removal of Offenders from a Confined Space
- FAC I-E-4.0 (Youth Incident Reports)

### Policy Owner:

Facility Services Assistant Director

### Approved:

Colette S. Peters, Director
I. PURPOSE:

This policy provides instruction for OYA staff when using physical intervention and restraints on offenders in OYA facilities.

II. POLICY DEFINITIONS:

**Constant Supervision**: Offenders may be placed in a safe room. Safe room windows must not be covered. Closed circuit television monitoring must not substitute for constant visual face-to-face supervision. Staff must remain in direct visual and audio proximity to assure an offender’s safety and to intervene if any problematic or self-injurious behavior is observed. The offender’s activities and emotional behaviors will be documented at least every 10 minutes (day and night).

**Designated Manager**: Superintendent, camp director, officer-of-the-day, or onsite management-level staff member in charge of daily facility operations.

**Intervention**: The means by which an offender’s inappropriate behavior is redirected to a more acceptable level. Staff interventions are designed to alter the environment to allow the individual offender to gain self-control and choose the way in which to change. The type of intervention used will directly correlate to the type of behavior needing change.

**Officer-of-the-day (OD)**: A person designated by a facility superintendent/camp director to perform the duties of the superintendent/camp director during nights, holidays, and weekends.

**Physical Intervention**: Direct physical contact where reasonable force is applied to an offender against resistance, either to restrict movement or mobility or to disengage from harmful behavior.

**Restraint Chair**: A system of security restraints designed to safely restrain an offender in a sitting position with all four limbs and torso restrained to the chair.

**Third-party Intervention**: A response to an offender in the defensive stage of crisis development where another staff member is requested to help resolve the situation by using directives, counseling, and crisis intervention techniques.

III. POLICY:

Maintaining a safe and secure environment is conducive to appropriate offender treatment, educational learning, and social skill development. A safe environment is also necessary to maintain security within OYA facilities, staff safety, and to protect the public.

The orderly operation of OYA facilities occasionally requires the use of varying degrees of offender physical intervention and restraint in order to ensure the continued safety of offenders and staff. All acceptable methods of physical intervention and restraint must be clearly governed by OYA policy. Accepted methods must be trainable, reliable, appropriate for the offender population being served, and scrutinized for demonstrable effectiveness.
Staff use of physical intervention and restraint on offenders is an emergency intervention used only when the potential danger of intervening is surpassed by the imminent danger of the offender’s behavior. Physical intervention and restraint is used as a last resort when an offender presents a danger to self or others. Only staff who have been trained in physical intervention and restraint by the Training Academy may apply these interventions within OYA facilities.

The Physical Intervention and Restraint Continuum Matrix\(^1\) (Attachment A) describes OYA’s physical intervention continuum within its facilities. Staff must use the least and most reasonable amount of physical intervention measures necessary to maintain control of an offender.

IV. GENERAL STANDARDS:

A. Situational Assessment

All staff will monitor the living environment within the facility, be alert for possible signs of impending unrest, and use early interventions to prevent behavior problems.

The purpose of any staff intervention is to:

1. Provide opportunity for the offender to self-regulate his/her behavior and learn prosocial behavior skills; and

2. Protect persons or the safety, security and order of the facility.

B. Physical Intervention and Restraint

1. The use of physical intervention and restraint is permitted in OYA facilities under the following circumstances:

   a) Self-defense;

   b) Protection of offenders, staff, or others;

   c) Prevention of substantial physical plant damage, or serious compromise to facility operations (low-level physical intervention only); or

   d) Prevention of escape.

2. Excluding self-defense and life-threatening situations, staff must delay the use of physical intervention until another staff member is able to assist and perform a team intervention.

3. The Physical Intervention and Restraint Continuum Matrix (Attachment A) must be used as the guideline to the physical intervention and restraint measures authorized by OYA in its facilities.

\(^1\) Description of offender behavior and staff attitude are based on training material provided by the Crisis Prevention Institute, Inc. (CPI©).
a) Staff presence: Used in response to an offender in the anxiety stage of crisis development. Staff will use an empathic nonjudgmental approach to alleviate anxiety.

Staff may include another staff member(s) to mediate or assist in alleviating the offender’s anxiety.

b) Verbal direction: Used in response to an offender in the defensive stage of crisis development. Staff will focus on verbal intervention and de-escalation of the situation through direct orders, counseling, and crisis intervention techniques.

Staff may request a third-party intervention to assist in resolving the situation.

c) Low-level physical intervention: Used to respond to an offender in the low-level acting-out stage of crisis development. Staff will use safe physical restraint techniques to control the offender only until the offender can regain control of his/her own behavior. Physical intervention may include:

(1) Personal protection (self-defense);
(2) Team intervention;
(3) Restraint holds and devices; and
(4) Use of Personal Protective Equipment (PPE).

d) High-level physical intervention: Used to respond to an offender in the high-level acting-out stage of crisis development. Physical intervention may include:

(1) Any intervention used for low-level acting out;
(2) Use of room removal team intervention;
(3) Use of control devices;
(4) Forced application of restraint devices; and
(5) Use of restraint chair.

e) Tension reduction: Occurs after an offender has acted out and has regained his/her behavior control.

Staff will focus on talking with the offender about what happened and how to prevent acting-out in the future.

4. Movement along the Physical Intervention and Restraint Continuum from a lesser to a more restrictive and severe option may become necessary, as determined by the offender’s actions and behavior. Staff
must use the least and most reasonable amount of physical intervention measures necessary to maintain control of an offender.

5. The staff member using physical intervention will also decrease the use of the intervention whenever a less restrictive or severe intervention is reasonably believed capable of stopping and controlling the offender’s crisis behavior.

6. It is acknowledged that an offender’s escalation, resistance, or change in crisis behavior may be sudden. When this occurs, the staff member is not required to sequentially progress through the lesser to more restrictive physical intervention options.

7. In compliance with OYA Professional Standards policy, inappropriate conversations (derogatory, demeaning, taunting, etc.) between or among staff and offenders is prohibited.

8. The following types of physical interventions are prohibited:
   a) Physical intervention used as coercion, punishment, or retaliation; and
   b) Physical intervention techniques that are applied for the purpose of inflicting physical pain, undue physical discomfort, or to restrict blood circulation or breathing.

9. If physical intervention is used, staff will ensure that:
   a) The offender is examined by a medically trained person as soon as safely possible, whether or not injury is visible;
   b) Any visible offender injury is photographed, in color; and
   c) A Youth Incident Report (YIR) is initiated and contributed to by each staff participating in the intervention, including staff who witnessed the incident.

10. The YIR must be reviewed by facility administrative staff. If any incident appears to violate OYA training, rules, or policy, administrative staff will further investigate or cause an investigation be completed. See OYA Facility Services procedure FAC I-E-1.0 (Youth Incident Reports).

11. Incident Notifications
   a) Staff must notify the superintendent/camp director and OD of all uses of physical intervention or restraint.
   b) Any incident that results in serious injury of an offender or staff requiring medical treatment beyond routine first aid warrants Director’s Office notification. See OYA policy I-E-1.0 (Director’s Incident Report and Notification).
Examples of serious injury include, but are not limited to, a break in skin requiring suture, bruising accompanied by swelling or extreme pain, broken bones, or internal injury.

12. Incident Review

All incidents of physical intervention and placement in restraint chairs require an incident review as described in OYA policy I-E-4.0 (Incident Reviews).

C. Staff Personal Protective Equipment (PPE)

Use of PPE during physical interventions is authorized as follows:

1. Disposable gloves and protective eyewear during any physical intervention; and

2. Helmets, body pads, coveralls, during a room removal team intervention. (See OYA Facility Services procedure FAC II-B-1.1.b Planned Physical Removal of Offenders from a Confined Space)

D. Authorized Restraint and Control Devices

1. Only restraint and control devices authorized by the OYA Director may be used in OYA facilities.
   a) Workgroups may review additional restraint or control devices and make recommendations to the Director about their uses.
   b) No other restraint or control devices may be used until approved by the Director.

2. Staff may only use authorized devices issued by OYA. Staff are prohibited from using personal restraint or control devices on offenders.

3. Authorized Restraint Devices

The Director has authorized the following types of restraint devices for use in OYA facilities:

a) Security restraints which are designed to restrict and control individual movement for the purpose of preventing escapes during transports or escorts.
   (1) For compliant offenders, security restraints include handcuffs, leg irons, belly chains, and transport belts.
   (2) For non-compliant offenders, soft arm and ankle restrainers and back straps may be used in addition to the security restraints listed above.
b) **Temporary or disposable restraints** may only be used as an alternative to security restraints in the following instances:

1. In medical situations on the recommendation of medical staff (see OYA policy **II-A-3.0 Supervision of Offenders** regarding use of restraints during off-site medical trips);

2. Emergency situations when it is necessary to supplement security restraint supplies.

   Emergency situations are those in which a significant number of offenders must be evacuated from a facility or moved (such as during an environmental situation or major disturbance) and the available supply of security restraints cannot meet the demand.

c) **Spit shields** are apparatuses designed specifically to prohibit offenders from spitting on persons during or after a physical restraint, or during transports.

   The two types of spit shields authorized by OYA are the Stearns-style spit sock hood (spit sock) and the RIPP-style protection mask (spit shield).

d) **A Restraint Chair** is a system of security restraints designed to safely restrain an offender in a sitting position with all four limbs and torso restrained to the chair.

   1. The Prostraint Chair is authorized for use in OYA facilities.

   2. A padded helmet may be properly placed on the offender’s head for self-protection or to protect others, while in a restraint chair.

   3. See OYA Facility Services procedure **FAC II-B-1.1.a** (Use of Restraint Chair) for details on use of this device.

4. **Authorized Control Devices**

   Staff may use the following control devices during high-level physical interventions as described.

a) **A shield** specifically manufactured to pin and control a person. A shield may be used under these circumstances:

   1. To assist in controlling an offender in a room as delineated by OYA Facility Services procedure (**FAC II-B-1.1.b** Planned Physical Removal of Offenders from a Confined Space); or
(2) During an immediate physical intervention when an offender has a weapon and is threatening self or others.

b) A control blanket specifically manufactured to control a person while escorting the person. The blanket may be used under these circumstances to avoid carrying an offender by the offender’s limbs:

(1) To assist in removing a non-compliant or combative offender from a room; or

(2) To transport a non-compliant or combative offender within facility grounds.

E. Use of Restraint Devices

Restraint devices are secured to an offender’s body to assist in controlling the offender’s movement during high-level physical interventions, or to prevent escape during offender escort or transport.

1. When an offender is in acting-out crisis stage, staff may conclude that the appropriate intervention requires placing the offender in restraint devices.

2. Offenders placed in restraint devices must be under constant supervision by staff.

3. The following restraint devices or techniques are prohibited within OYA facilities:

a) Placing an offender in a prone position with arm(s) and leg(s) restrained behind the back (“hogtie” position);

b) Body positions or techniques that are designed to inflict physical pain, undue physical discomfort, or to restrict blood circulation or breathing;

c) Using restraints to punish offenders, or as a convenience or substitute for staff supervision; and

d) Chemical agents.

4. Staff who perform security duties are the only staff authorized to carry hard restraints (handcuffs or leg irons) while on facility grounds.

a) Staff who carry restraints on their person must complete appropriate training in the use of such restraints.

b) All OYA staff that supervise offenders in an OYA facility are required to have basic self-defense, physical intervention and restraint training.

5. Restraint devices must be stored in a controlled, secure area.
6. **Spit Socks/Shields**

   a) A spit sock may be applied to an offender when the offender threatens to spit or spits during the application of restraints or while restrained.

   b) A spit shield may be applied to an offender when the offender destroys or compromises the ability of a spit sock from performing its intended purpose. The spit sock hood must be removed prior to the application of a spit shield.

   c) A spit shield may be applied to an offender when the offender has a history of spitting and destruction of spit socks/shields during a restraint or while restrained.

7. **Restraint Chairs**

   a) When an offender is in a high-level acting-out stage of crisis behavior, a facility designated manager may authorize the offender’s placement in a restraint chair.

   b) Restraint chairs may only be used in extreme instances of offender violent or self-destructive behavior that endangers the offender, staff, or others; and only when other types of restraints have proven to be ineffective.

   c) Restraint chair use may be authorized by a designated manager only when both medical and mental health staff are on site.

   d) Only the superintendent or OD may authorize restraint chair use when nursing or mental health staff are not on site.

   e) Only the Facility Services OD may authorize placement in the restraint chair for more than one hour.

   f) Restraint chair placement must not exceed four hours, unless re-authorized by the Facility Services OD.

   g) Staff must follow OYA Facility Services procedure **Use of Restraint Chair (FAC II-B-1.1.a.)**.

F. **Use of Control Devices**

1. Unlike restraint devices, control devices are not secured to an offender’s body.

2. Control devices may only be used by staff that are trained by the Training Academy in their proper uses.

3. Control devices may be used to control an offender that is in the high-level acting-out stage of crisis development.
4. Control devices may only be used as an aid during, or while escorting an offender immediately following, a high-level physical intervention.

5. Staff must cease using the control device once the offender is successfully controlled or escorted.

G. Training

1. All OYA staff that supervise offenders in OYA facilities are required to complete basic self-defense, physical intervention and restraint training offered through the Training Academy.

2. Only staff who are trained by the Training Academy in physical intervention and restraint may use these interventions within OYA facilities.

3. Only staff who are trained by the Training Academy in restraint device and control device usage may use these devices within OYA facilities.

4. Training must include the warning signs and risks for Sudden Custody Death when restraining an offender.

   Offenders who are overweight, have certain medical conditions such as asthma or take certain types of medications are at increased risk for Sudden Custody Death.

V. LOCAL OPERATING PROTOCOL REQUIRED: NO
### Attachment A: OYA Physical Intervention and Restraint Continuum Matrix

<table>
<thead>
<tr>
<th>Offender Behavior – Crisis Development</th>
<th>Staff Attitude – Approach</th>
<th>Intervention Applied</th>
<th>Level of Continuum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anxiety</td>
<td>Supportive</td>
<td>Staff presence, communication. May include another staff member(s) to mediate or assist in alleviating anxiety.</td>
<td>Passive countermeasures</td>
</tr>
<tr>
<td>A noticeable increase or change in behavior (pacing, finger drumming, wringing of the hands, staring, posturing)</td>
<td>Empathic, nonjudgmental approach attempting to alleviate anxiety.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Continued signs of unrest, belligerent, challenging authority, not responding to orders</td>
<td>Staff member takes control of a potentially escalating situation by setting limits.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loss of behavior control, aggressive behavior showing imminent physical threat to self or others, threat of escaping, substantial physical plant damage, or serious compromise to facility operations.</td>
<td>Safe use of physical restraint techniques used to control the offender only until the offender can regain control of own behavior.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acting-out Offender – High Level</td>
<td>Controlling</td>
<td>Physical intervention – High Level may include low-level interventions and: 1. Use of room removal team intervention if warranted 2. Forced application of restraint device(s) 3. Placement in a restraint chair</td>
<td>Active countermeasures</td>
</tr>
<tr>
<td>Total loss of behavior control showing immediate physical threat to self or others, active escape, active aggression with resistance; escalated or continual aggression.</td>
<td>Safe use of physical restraint techniques used to control the offender only until the offender can regain control of own behavior.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tension Reduction</td>
<td>Therapeutic Rapport</td>
<td>De-escalation techniques focused on talking about what happened and how to prevent acting-out in the future.</td>
<td>Passive countermeasures</td>
</tr>
<tr>
<td>Decrease in physical and emotional energy which occurs after an offender has acted out, characterized by the regaining of rationality and behavior control.</td>
<td>An attempt to re-establish communication with an offender who is experiencing tension reduction.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Description of offender behavior and staff attitude are based on training material provided by the Crisis Prevention Institute, Inc. (CPI©).
II-B.1.1 Use of Physical Intervention and Restraints in Facilities

Effective: 01/25/2011

1. **Staff presence; supportive**
   Empathic, nonjudgmental approach attempting to alleviate anxiety. May include another staff member(s) to mediate.

2. **Verbal direction; Directive**: Staff member takes control of a potentially escalating situation by setting limits. Verbal de-escalation using directives. May require third-party intervention.

3. **Physical Intervention - Low Level**: Safe use of physical restraint techniques used to control the offender only until the offender can regain control of own behavior: Personal protection; team intervention; restraint holds and device application; PPE.

4. **Physical Intervention - High Level**: Safe use of physical restraint techniques used to control the offender only until the offender can regain control of own behavior. May use interventions in addition to those used for Low Level Acting-out: Room removal team; forced application of restraints; placement in a restraint chair.

5. **Therapeutic Rapport; De-escalation**: Reestablish communication with the offender. Technique focuses on talking about what happened and how to prevent acting-out in the future.

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**Active**

**High Level Acting-out**

**Low Level Acting-out**

**Defensive**

**Anxiety**

**Tension Reduction**

**Youth in Crisis**

**Staff Response**

**Passive**