

## 1.3.B.1 Emergency Response

### I Policy Index:



**Date Signed:** 08/27/2015  
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**Replaces Policy:** 3B.3  
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**Revision Number:** 8  
**Office of Primary Responsibility:** DOC Administration

### II Policy:

Each Department of Corrections' institution will apply existing best practices to manage incidents that may occur within the institution. All adult DOC institutions will utilize the Incident Command System (ICS) as the standard means of responding to incidents.

### III Definitions:

#### Post Order:

For the purposes of this policy, a Post Order is a written direction available to DOC institutional staff.

#### Emergency Response Manual (ERM):

Confidential document outlining the assessment and response/incident action plan to an unplanned or imminent incident that affects or threatens the health, safety, or welfare of the public, employees, offenders, property, or infrastructure. The ERM will include strategies and tactics specific to responding to the incident.

#### Incident Command System (ICS):

A standard, on-scene, best practices operating procedure employed by the South Dakota Department of Corrections to consistently establish command in a correctional setting and to provide a system for the effective management of personnel and resources responding to an incident.

#### Incident Action Plan (IAP):

An oral or written plan containing general objectives reflecting the overall strategy for managing an incident, identification of institutional resources and assignment of staff. The Incident Action Plan may include various attachments, documents and forms, such as incident reports, disciplinary reports, use force documentation that must be completed as the incident progresses.

#### Simulations:

A staged incident in which responding staff react in terms of planning, directing and communicating as if the incident were actually occurring. An effective simulation is a controlled group training activity that has objectives and outcomes directly related to on-the-job performance of staff.

## IV Procedures:

### 1. Emergency Response Manual/Incident Action Plan Contents:

A. Each institution will maintain an Emergency Response Manual (ERM) or Incident Action Plan to respond to and manage the following incidents:

1. Walk-away/AWOL;
2. Riot/Disturbance;
3. Bomb threat (real or perceived);
4. Hostage and/or armed barricaded subject;
5. Other offender behavior problems;
  - a. Racial conflicts.
  - b. Gang warfare.
  - c. Hunger strikes.
  - d. Food/medical/visiting complaints.
  - e. Sit-down strikes.
  - f. Misinformation relayed to offenders.
  - g. Inmate suicide or serious self-harm.
6. Fire/arson, hazardous materials or chemical spills evacuation plan;
7. Severe weather;
8. Emergency relocation plan;
9. Adverse employee job action;  
  
(Example: orchestrated work slowdown, numerous employees calling in sick, or refusing to report to work, etc.)
10. Critical incident stress debriefing;
11. Physical evidence handling and preservation;
12. Man-made or natural disasters involving mass-casualties or endangerment of lives;
13. Large scale destruction or damage to state property, or total loss of utilities (e.g. electricity, water, gas, communications, etc.)
14. Serious escapes or escape attempts; and

15. An Active Shooter incident.
- B. The ERM/Incident Action Plan will include any applicable post orders.
    1. Post orders may include checklists of necessary procedures, steps/lists, notification to designated staff and various forms to document the incident.
    2. Post orders describe specific staff duties and provide detailed information on how staff carry out assigned duties.
    3. Post orders may identify staff positions responsible for carrying out the duties.
    4. Post orders that contain tactical and strategic information are not open to public inspection, copying or other disclosure to the public (See SDCL § [1-27-1.5](#)).
  - C. The ERM/Incident Action Plan may include agreements facilitated by the CEO with outside law enforcement and/or emergency response agencies that may be called upon to provide assistance to institution staff in the event of an incident.
  - D. Each institution's ERM/Incident Action Plans will be reviewed a minimum of once each year and must be signed at the conclusion of the review by the CEO of the facility.

## **2. Requests for Information:**

- A. The ERM and Incident Action Plans are confidential documents containing tactical and strategic information and are not open to public inspection, copying or other disclosure to the public (See SDCL § [1-27-1.5](#)).
  1. Outside agencies tasked with providing assistance during or following an incident may be authorized by the CEO to acquaint themselves with the institution's incident action plans.
  2. Outside requests for confidential DOC security information/documents, in whole or in part, will be forwarded to the respective CEO or his/her designee.
- B. The institution's ERM, Incident Action Plans, corresponding OMs and post orders may be provided to administrative staff of the DOC and CEOs of other SD DOC institutions upon request.

## **3. Staff Response to an Incident:**

- A. The first priority of staff responding to an incident will be life safety, followed by stabilization of the incident and conservation of property.
  1. Preservation of life safety means ensuring the welfare of all persons inside the institution.
- B. Response to an incident is dependent upon the type and size of the incident. Factors to consider include but are not limited to:
  1. Size and seriousness of the incident.
  2. Location of the incident.
  3. Anticipated duration of the incident.
  4. Availability of staff, equipment and supplies.

5. Potential for escalation.
- C. Response to an incident may be adjusted if the situation has escalated beyond the level of response initially deployed to manage the incident.
- D. The staff member initially responding to an incident will typically become the Initial Incident Commander and must be prepared to assume command of the incident. Initial command of the incident will end when:
  1. The incident is resolved and command is terminated.
  2. The incident is not stabilized and the Incident Commander assumes command.
  3. Initial command is transferred to another staff person (only when transfer will improve the quality of the Command and effectiveness of response to the incident).
- E. The Initial Incident Commander will assess the incident for "Incident Complexity" and make proper and reasonable decisions based on the complexity of the incident. Primary considerations when assessing an incident include but are not limited to:
  1. Nature and magnitude of the incident.
  2. Hazards and safety concerns.
  3. Hazards facing responding staff and other persons in the area.
  4. Evacuation of inmates (return to housing, lockdown)
  5. Injuries and casualties.
  6. Need to secure and isolate the area (use gates, holding areas or detention cells).
  7. Initial priorities, immediate resource requirements (CERT team).
  8. Location of Incident Command Post and staging area.
  9. Entrance and exit routes for responding staff (manage gates, doors, keys).
- F. The primary role of the Initial Incident Commander is to establish incident objectives, strategies and tactics in response to the situation. The role of the responding staff/team is to support the Incident Commander's strategy and tactics by accomplishing specifically assigned tactical objectives.
- G. The Incident Commander will ensure staff responding to the incident document, capture and preserve important information throughout the incident for future reference in disciplinary and/or criminal proceedings. All required reports and documents should be completed prior to staff ending their shift.
- H. Equipment and supplies used in response to an incident should be replenished, restocked and fully operational for the next shift.

#### **4. Tactical Debriefing to an Incident:**

- A. Following any incident, the Incident Commander will schedule and conduct a tactical debriefing.

- B. The debriefing will include all staff who participated in the response to the incident.
- C. The areas reviewed during a tactical debriefing include but are not limited to:
  - 1. Policy and procedure- were current policies, procedures and post orders adequate? Were they clear, effective and available to staff? Was ICS used effectively?
  - 2. Staffing- were adequate staff available to respond to the incident? Did staff respond as designated?
  - 3. Training- were staff familiar with the provisions of ICS and did they properly respond?
  - 4. Equipment- Did staff have the necessary equipment to respond to the incident and was it in good operating condition.
  - 5. A summary of the tactical debriefing and any suggestions made during the debriefing will be documented and sent to the CEO for review.
- D. Following staff's response to an incident, consideration will be given to the psychological, emotional and personal effect the incident may have on staff members. Responding staff may be required to participate in a critical incident stress debriefing. The DOC will provide staff with contact information to outside counseling professionals/resources upon request from staff.

## **5. Training:**

- A. Each institution will include training regarding response to incidents and the ERM/Incident Command System (ICS) in pre-service and annual in-service training curriculum.
  - 1. Training will be provided to staff in accordance with DOC policies 1.1.D.1 [Staff Training Requirements](#).

## **6. Incident/ICS Simulations:**

- A. Each institution's CEO or his/her designee will ensure an institution-wide incident response/ICS simulations are conducted at least annually. The purpose of simulations is to provide training and positive reinforcement of ICS principles and practices. Simulations typically exclusively involve institutional staff. Outside agencies may be involved in "incident simulations".
- B. Simulations must identify a particular location within the institution, the staff involved, inmate involvement, the time of the simulated incident, the incident/situation and the desired outcome (what will be tested during the simulation).
  - 1. Proper notification will be provided to designated institutional staff so only areas being assessed respond. Advance notice to staff will be kept to a minimum so the simulation is unexpected and spontaneous. Simulations will be conducted under a variety of situations and during different shifts.
  - 2. The simulation must be controlled and monitored by designated staff. All simulations will be documented to provide for the inclusion of the information in the final report.
  - 3. Staff participating in the simulation will be included in a debriefing and provided an opportunity to ask questions. Staff will review policy and procedure applied during the simulation, staff response, equipment used and document any future training needs.

4. A summary of the debriefing and any suggestions made during the debriefing will be documented and sent to the CEO for review.
  5. To the extent possible or applicable, DOC health service staff will be included in simulations.
  6. Offenders will not be used as part of a simulation except for those involving mass-casualties or other large-scale responses where the simulation requires large numbers of participants. Offender participation will be strictly voluntary. Offenders will not be included in debriefings.
  7. Simulations will test the effectiveness of Incident Action Plans, Post Orders, ICS, security procedures, availability of resources (equipment and staff) and evaluate and measure staff's knowledge, skill and ability to correctly and efficiently respond to an incident.
- C. In addition to incident simulations, each institution is encouraged to run "local tabletop" simulations, which are simulations that do not impact normal institutional operations and can be conducted in a classroom or during shift briefing without shutting down operations or affecting institutional activities. Tabletop simulations should be conducted at least quarterly.
1. Staff participating in a tabletop simulation need only indicate their responses to the incident without physically acting out the response.
  2. A debriefing may be scheduled at the discretion of the Incident Commander following a local tabletop simulation.
  3. The results of the local tabletop simulation will be documented and sent to the CEO for review.

## 7. Secretary of Corrections' Role:

- A. Incidents will be reported to the DOC Administration and Office of Risk Management in accordance with DOC policy 1.1.A.3 [Reporting Information to DOC Administration](#). The Secretary of Corrections or his/her designee will notify the Governor's Chief of Staff or his/her designee of the incident as appropriate.
- B. The Secretary of Corrections may dispatch designated DOC personnel to the scene of an incident, or request/authorize the assistance of outside agency staff/personnel to respond to an incident at a DOC institution.
- C. Media contact, press releases and responses to requests for information by the media or public regarding an incident will be directed to the Secretary of Corrections. The Secretary may direct the CEO of the facility and/or the Communication and Information Manager to respond to requests for information about an incident (See DOC Policy 1.1.A.4 [Relationship with News Media, Public and Other Agencies](#)).

## V Related Directives:

SDCL §§ [1-27-1.5](#).

DOC policy 1.1.A.3 – [Reporting Information to DOC Administration](#).

DOC policy 1.1.A.4 -- [Relationship with News Media, Public and Other Agencies](#)

DOC policy 1.1.D.1 – [Staff Training Requirements](#)

## VI Revision Log:

**August 2003:** Combined with former policy 1.3.B.2 *Emergency Response Manual*. Revised the policy statement. Added reference to policies 1.1.A.3, 1.1.D.1, 1.1.D.2, 1.3.A.3 and 1.3.A.4. Added reference to OMs 2.3.A.1, 3.3.A.2 and 4.3.A.1. Added a section on Emergency Response Drills. Rearranged information on the role of the Secretary of Corrections into one section. Deleted reference to Attachment 1 (Emergency Response Checklist). Added a definition for "major incident".

**July 2008:** Revised formatting of policy in accordance with 1.1.A.2 Policy and Operational Memorandum Management. Changed "Chief Executive Officer" to "CEO" as appropriate throughout policy. Added "Division" to title of DOC policy "Training for Juvenile Division Staff" throughout policy. Deleted SDSP OM 2.3.A.1, MDSP OM 3.3.A.2 and SDWP OM 4.3.A.1 from subsection (ss) (B4 of Emergency Response Training section) and from the Related Directives section. Added "of Corrections" when referencing Secretary as appropriate throughout policy. Added "Deputy Secretary of Corrections" when referencing who major reports should be reported to in ss (A) according to DOC policy 1.1.A.3 and revised wording of sentence in ss (A) to state that the Secretary of Corrections or designee will notify the Governor's Chief of Staff and the Governor's Press Secretary of the incident in ss (A) of Secretary of Corrections' Role section. Replaced "Public Information Officer" with "Communication and Information Manager" in ss (C of Secretary of Corrections' Role section. Revised titles of DOC policy Use of Force – Adult Institutions and Use of Force – Juvenile Institutions within the Related Directives section to be consistent with titles on policies and the M drive. Added "DOC policy" when referencing policies within the Related Directives section.

**June 2009:** Added definition of "Post Order" within section III. Clarified DOC policy titles in ss (B4 of Emergency Response Training). Added "response" as it relates to disturbance plans and added reference to ACA standard 3-4208 in ss (A of Hostage, Riot or Work Stoppage Considerations. Added "directly" and replaced "and" with "or the" in ss (A of Secretary of Corrections' Role). Revised ss (A1, A2, A3 and A4) by breaking criteria down into sub-categories and replaced "will" with "may" as it relates to the Secretary submitting reports within ss (A2 and A3) all within Resolution of a Major Incident. Added ACA Standard reference to section V. Added hyperlinks throughout policy.

**July 2010:** Revised formatting of Section 1. Revised ss (D of ERM Contents) referencing ERMs will be reviewed annually and signed off by the unit's CEO.

**July 2011:** Added "unexpected death of staff member off duty" and "death of a staff member on duty" to definition of Major Incident Added "Example" to Section 1 A. 9 Added definition of Security Equipment and Emergency Response Manual Added the following to Section 1. "real or perceived" to 3 Added g. "Inmate self-harm" to 5. Added "hazardous materials or chemical spills" to 6 Added 12. "Man-made or natural disasters involving mass-casualties or endangerment of lives" Added 13. "Large scale destruction of damage to state property, or total loss of facility utilities (e.g. electricity, water, gas, communications etc. to Section 1 A. Added "and identify staff who are responsible for carrying out those duties" to Section 1 B. Added "in whole or in part (copied or transmitted electronically) to Section 2 A. Added "in whole or in part" and Added "or personnel" and Added "CEO responsible" Deleted "will" and Replaced with "may authorize the ERM" in Section 2. B and B 1 Deleted "Institutions may offer opportunities to those" and Added "May be authorized by the CEO to" to Section 2 B. 1. Deleted "other" and Replaced with "outside agency" and Deleted "For copies of" and Added "in whole or in part" and Deleted "deciding who may receive a copy" and Replaced with "granting or denying the request" in Section 2 B. 2 Added C. to Section 2. Deleted "new" and "trainee" and Added "annual" and Deleted "and document that DOC staff have read and understand the manual" in Section 3 A. Deleted "as outlined" and Replaced with "will be provided to staff in accordance with" and Deleted will specifically and Replaced with "The following ERM related training topics may be included in the annual and in-service training" in Section 3. B. Added 5. "use of mechanical restraints" Added 6 Techniques in self-defense" Added 7 "Suicide intervention" Added 8. to Section 3 B. Deleted "Firearms and security restraint devices" and Replaced with "Use of Security equipment" to Section 3. C. 1. Deleted "unlawful" and Replaced with "unapproved" Deleted 3 "Techniques in self defense." from Section 3. C. Deleted "Institutions" and Replaced with "The CEO or his/her designee" in Section 3 D. Added "for a debriefing and" Added "/corrective action, what was leased and any immediate action(s) and/or follow-up action that should be taken" to Section 4 A. 3. Deleted "Secretary of Corrections" and Replaced with "CEO" in Section 4. A. 4 Added 5. "To the extent possible or applicable, health service staff will be included in the

Emergency Response drills." **Added** 6. "Offenders shall not be used as part of an Emergency Response training exercise or drill." **Added** "Drills should be designed to test the effectiveness of emergency plans, security procedures, equipment and the knowledge, skill and abilities of staff implementing these procedures." to Section 4. A **Deleted** reference to ACA Standards and **Added** "institutional OMS shall be" in Section 5 A. **Deleted** "only at the request of the CEO or the institution" and **Replaced** with "any negotiations at his/her discretion" in Section 5 B **Deleted** "participants" in Section 5 G. and H. **Deleted** "Governor's Press Secretary" and **Replaced** with Governor's Chief of Staff or designee as he/she deems appropriate" in Section 6 A. **Added** "at his/her discretion or request the assistance/presence of outside agency staff/personnel at the scene of a major incident" in Section 6 B **Deleted** 1. 2. & 3. in Section 6 B. **Deleted** "or" and **Replaced** with "and" in Section 6. C. **Deleted** 1. The Secretary may grant interviews at his discretion" and **Renumbered** item to follow in Section 6 C. 1. **Deleted** "or the Director of Juvenile Services" and **Added** "law enforcement and/or" and **Deleted** "will aid in the apprehension of the runaway" and **Replaced** with "is in the best interest of the juvenile" to new Section 6 C. 1. **Deleted** "can" and **Replaced** with "may" in and **Deleted** "CEO of the institution" and **Replaced** with "Director of Juvenile Services" in Section 6. C. 2. **Deleted** D. "The SOC may request that the AG or designee be present at the scene of a major incident to analyze legal considerations" in Section 6. **Deleted** "is responsible for contacting and **Replaced** with (or his/her designee) may request" in Section 6 E. **Added** d. e. and f. to Section 7 A. 1. **Deleted** "Edited or shortened versions (summaries) and **Replaced** with "A report, or report with portions redacted" to Section 7 A. 4 **Added** "Those interested" and "any public records/report" to Section 7. A. 4. d. **Added** 5. to Section 7 A. **Added** D. "The Office of Risk Management shall be notified whenever a major incident (as outlined in DOC policy) occurs." in Section 7 **Added** d. to Section 7 A. 2 and 3. **Added** "request assistance from" and "or others" in Section 7 B. **Deleted** "by the institution" in Section 7 C. **Deleted** "immediately whenever a" and **Replaced** with "of any" and **Added** "identified in Section 5 of DOC policy" in Section 7 D. **Added** 1. "The report shall include the results of the emergency response drill and any suggestions for improvement." to Section 7 E.

**August 2013:** Revised policy to include Incident Command System procedures and other updates to the policy. Substantial changes to the policy.

**July 2015:** Reviewed with no changes.

*Denny Kaemingk (original signature on file)*

Denny Kaemingk, Secretary of Corrections

08/27/2015

Date