

1.3.B.1 Emergency Response

I Policy Index:



Date Signed: 07/12/2021
Distribution: Public
Replaces Policy: 3B.3
Supersedes Policy Dated: 01/14/2021
Affected Units: All Institutions
Effective Date: 07/12/2021
Scheduled Revision Date: July 2022
Revision Number: 12
Office of Primary Responsibility: DOC Administration

II Policy:

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

III Definitions:

Emergency:

Any significant disruption of or departure from normal institutional procedure, department policy or activities. Typically, this is precipitated by a serious incident.

Emergency Response Manual (ERM):

Confidential document detailing the plans and immediate actions to respond to specified unplanned or imminent incidents that may affect or threaten the health, safety, security or welfare of the public, staff, inmates, property or infrastructure of the institution.

Incident Action Plan (IAP):

A 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, forms and reports utilized by staff when responding to the incident.

Incident Command System (ICS):

A standard, on-scene, best practices operating procedure utilized by the South Dakota Department of Corrections to consistently establish command in a correctional setting. The Incident Command System provides a system for the effective management of staff and resources responding to an incident.

Post Order:

Written direction approved by the Warden or designee that provides a list of duties, general instructions and responsibilities of staff assigned to a particular post which supports maintaining the safety, security and orderly operation of the institution. All post orders shall be reviewed annually.

Simulations:

A staged incident in which responding staff react in terms of planning, directing, communicating, and implementing an incident action plan as if the incident were actually occurring. An effective simulation is a controlled group training activity with 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) and Incident Action Plans that direct response and management of, at a minimum, the following incidents:
 1. Walk-away/AWOL;
 2. Riot or significant disturbance;
 3. Bomb threat (real/reported or perceived);
 4. Hostage incident or armed barricaded subject;
 5. Inmate Activity;
 - a. Racial conflicts.
 - b. Significant, disruptive gang activity.
 - c. Hunger strikes.
 - d. Sit-down strikes.
 - e. Inmate suicide or serious self-harm.
 6. Evacuation and response to fire, arson, hazardous material or chemical spills;
 7. Severe weather threats or warnings;
 8. Emergency relocation of inmates;
 9. Work stoppage; planned or spontaneous discontinuation of work. May involve staff and/or inmates, acting separately or in concert. Generally defined as those participating refuse to participate in essential activities or ignore directives. (Example: numerous staff and/or inmates reporting to be sick or refusing to report to work).
 10. Critical incident debriefing;
 11. Physical evidence handling and preservation;
 12. Mass-casualties or endangerment of lives, i.e. pandemic, exposure to substances, etc.
 13. Large scale destruction or damage to state property or significant loss of utilities (e.g. electricity, water, gas, sewer, communications).

14. Escape or escape attempts; and
 15. Active assailant.
- B. The ERM and Incident Action Plans will include any applicable post orders.
1. Post orders may include checklists of necessary procedures, steps, lists, notification to designated staff and forms to facilitate action or documentation of the incident.
 2. Post orders describe staff duties and provide detailed information to carry out duties specific to coverage of the post.
 3. Post orders may identify staff positions responsible for carrying out certain duties specific to the post.
 4. Post orders that contain tactical and strategic information are not open to public inspection, copying or other disclosure (See SDCL § 1-27-1.5).
- C. The ERM and Incident Action Plans shall include any coordinated response with outside agencies. Such responses require authorization by the Warden or designee. Agreements should be facilitated by the Warden with the outside agency in advance and reviewed/renewed periodically. Agreements may be in writing and specify the services to be provided by the outside agency, including any limitations or exceptions, as applicable.
- D. Each institution's ERM and Incident Action Plans will be reviewed a minimum of once each year by the Warden and designated staff and must be signed by the Warden. Revised versions will be saved to the designated locations. The current ERM shall be made available and accessible to designated staff, which is typically accomplished by saving the ERM to a password protected folder on the DOC M-drive.

2. Requests for Information:

- A. Emergency Response Manuals and Incident Action Plans are confidential documents containing tactical and strategic information and are not open to public inspection, copying or other public disclosure (See SDCL § 1-27-1.5).
1. Outside agencies tasked with providing assistance during or following an emergency incident may be authorized by the Warden or designee to acquaint themselves with the institution's incident action plans, written agreements or applicable section(s) of the ERM.
 2. Outside requests for confidential tactical, strategic or security sensitive information, plans, documents, reports, etc. involving safety or security of the institution, in whole or in part, will be forwarded to the respective Warden or designee. Non-Public documents may not be released without proper authorization.
- B. The institution's ERM, Incident Action Plans, corresponding OMs and post orders shall be made accessible to administrative staff of the DOC, Director of Security, Director of Prison Operations and all Wardens.

3. Staff Response:

- 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.
- B. Response may be 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; and
 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. Security and safety concerns.
 3. Hazards facing responding staff and other persons in the area.
 4. Evacuation of inmates, including return to housing or 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 emergency 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 or criminal proceedings and for audit/review of the incident and response. All required reports and documents should be completed prior to staff ending their shift.
- H. Equipment and supplies used in response to an incident will be replenished, restocked and fully operational for the next shift.

4. Tactical Debriefing:

- A. The Incident Commander will schedule and conduct a tactical debriefing following a significant incident or emergency response, as deemed necessary or instructed by the supervisor.
- B. The debriefing will include all staff who participated in the response.
- 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? If not followed, why? Was ICS used effectively?
 - 2. Staffing - were adequate staff available to respond to the incident? Did staff respond as designated? Response times.
 - 3. Training - was staff familiar with the provisions of ICS and did they properly respond to the incident or emergency, consistent with training, directives and policy?
 - 4. Equipment - Did staff have the necessary equipment to respond to the incident and was the equipment in good operating condition? Was the equipment used properly, as intended? Accessible, sufficient amount? Any recommendations for improvements to equipment.
 - 5. A summary of the tactical debriefing and any suggestions made during the debriefing will be documented and sent to the Warden or designee for review.
- D. Following staff's response to an emergency incident, the Incident Commander, OIC or supervisor will give consideration to the psychological, emotional, physical and/or personal effect the incident may have had on staff (See DOC policy 1.1.A.1 [Mission, Vision and Values](#)).
- E. Staff may be required to participate in a critical incident stress debriefing.
- F. Staff may be referred to a specialist/licensed counselor or other medical professional for post-critical incident services or counseling. Support may also be provided by fellow staff members or supervisors assigned to assist staff and/or monitor staff's wellbeing.
 - 1. Referral will be for support purposes, allowing the staff person the opportunity to discuss any problems or concerns related to their involvement in the emergency incident.
 - 2. Referral for counseling may be by the Warden or other staff. Staff members may request access to a mental health professional or counselor by contacting his/her supervisor or BHR representative. The supervisor or BHR representative receiving the request will follow-

up with the staff person to verify whether counseling services were accessed. The DOC will respond to all staff requests for mental health services and/or counseling.

3. Participation in post-critical incident counseling may be mandatory for staff involved in an emergency incident that result in the unexpected death or significant bodily injury of a person. The extent of the mandatory post-incident counseling shall be determined by the staff person and/or his/her supervisor with input from the counseling provider.
4. The cost for any mandatory post-critical incident counseling and/or required evaluation by a licensed psychiatrist or psychologist will not be charged to the staff person.

5. Training:

- A. Each institution will include staff training for response to emergency incidents and proper use and application of the ERM/Incident Command System (ICS) in pre-service and annual in-service training curriculum.

6. Incident/ICS Simulations:

- A. The Warden, Director of Security, or designee will ensure an incident response/ICS simulation is conducted periodically. The purpose of response simulation is to provide training and positive reinforcement of ICS principles and practices to 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 procedures 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 Warden for review.
 5. To the extent possible or when applicable, DOC health service staff will be included in simulations.
 6. Inmates will not be used as part of a simulation, except for simulations involving mass-casualties or other large-scale responses where the simulation requires large numbers of participants. Inmate participation will be strictly voluntary. Inmates will not be included in staff debriefings or have access to confidential security information not available in the public domain or intended for public distribution.

7. Simulations will test the effectiveness of Incident Action Plans, Post Orders, ICS, security procedures, availability of resources (equipment and staff) and will 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. Tabletop exercises are simulations that have minimal impact on normal institutional operations and can be conducted in a classroom or during shift briefing without shutting down operations or altering normal 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 Warden for review.

7. Secretary of Corrections' Role:

- A. Emergency Response Incidents will be reported to the DOC Administration and Office of Risk Management in accordance with DOC policy 1.1.A.3 [Staff Reporting Information to DOC Administration and Office of Risk Management](#). The Secretary of Corrections or his/her designee will notify the Governor's Chief of Staff or designee as appropriate.
- B. The Secretary of Corrections may:
1. Dispatch designated DOC personnel to the scene of an incident to assist with response to the incident.
 2. Direct staff to conduct a review/audit of the response to the incident.
 3. Request or authorize the assistance of outside agency staff/personnel to respond to an incident (See DOC policy 1.3.B.3 [Mutual Assistance to Law Enforcement Agencies](#)).
 4. Direct other responses or action as he or she determines appropriate or necessary.
- 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 or Communication and Information Manager (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.1 -- [Mission, Vision and Values](#)

DOC policy 1.1.A.3 -- [Staff Reporting Information to DOC Administration and Office of Risk Management](#)

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

DOC policy 1.3.B.3 -- [Mutual Assistance to Law Enforcement Agencies](#)

VI Revision Log:

Removed revision history 2003-2010.

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.

July 2016: Revised definition of "Post Order" **Added** "The ERM shall be readily available to designated staff" in Section 1 D. **Added** "Director of Security, Director of Prison Operations" in Section 2 B. **Added** D-F (1-4) to Section 5.

July 2017: Added definition of "Emergency".

January 2019: Added C. and D. to Section 1. **Added** "written agreements or applicable section(s) of the ERM" in Section 2 A. 1. **Added** "Non-Public documents may not be released without proper authorization" in Section 2 A. 2. **Added** "or significant bodily injury" in Section 4 F. 3. Other minor grammar and sentence changes.

January 2021: Deleted "emergency incident" and **Replaced** with "an incident" from Incident Command System definition. **Added** "and implementing an incident action plan" to definition of Simulations.

Deleted "shooter" and **Replaced** with "assailant" in section 1 A. 15. **Added** "Director of Security" to Section 6 A. **Deleted** "at least annually" and **Replaced** with "periodically" in Section 6 A. **Deleted** "institution-wide" in Section 6 A.

July 2021: Reviewed with no changes.

Mike Leidholt (original signature on file)

Mike Leidholt, Secretary of Corrections

07/12/2021

Date