Arizona Department of Corrections Rehabilitation and Reentry

CHAPTER: 700

Operational Security

DEPARTMENT ORDER:

706 – Incident Command System (ICS)

OFFICE OF PRIMARY RESPONSIBILITY:

OPS

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Department Order Manual

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EXPECTED PRACTICES

American Correctional Association (ACA) Expected Practices: 5-ACI-3B-10 (M), 5-ACI-3B-13, 5-ACI-3B-14 (M), and 5-ACI-3B-16

PURPOSE

The Arizona Department of Corrections, Rehabilitation and Reentry (ADCRR) utilizes the Incident Command System (ICS) to prepare for, prevent, respond to, recover from, and mitigate incidents and emergencies. Developed in accordance with the Federal Emergency Management Administration (FEMA), this Department Order provides guidelines for addressing incidents, ranging from small-scale local incidents to coordinated responses involving multiple jurisdictions.

APPLICABILITY

This Department Order applies to:

- All Department staff and contract employees.

- All Department facilities, administrative offices, and field operations.

- Private prisons.

- Any other individuals present at the time of an incident or exercise, including but not limited to volunteers, visitors, and vendors.

RESPONSIBILITY

The Deputy Director shall have overall responsibility for the Department's Emergency Planning and Response Program, including the use of ICS.

The Assistant Director for Prison Operations shall ensure that all Wardens:

- Develop and maintain an Emergency Operations and Response Plan for their institution and establish the necessary collaborative relationships with local resource partners and community stakeholders to facilitate planning, response, and training opportunities.

- Collaborate with the Assistant Director for Arizona Correctional Industries (ACI) to ensure that on and off-site ACI operations are appropriately addressed in prison Emergency Operations and Response Plans.

- Collaborate with the Assistant Director for Medical Services to ensure that all Health units and Inpatient Care units are appropriately addressed in the prison Emergency Response Plans.

The Assistant Director for Community Corrections shall collaborate with the Emergency Preparedness Administrator to develop and maintain an Emergency Response and Operations Plan for Reentry Centers, and Community Corrections Offices.

The Assistant Director for Planning, Information and Research shall ensure that the Chief Information Officer (CIO) develops and maintains an Information Technology (IT) Continuity Plan.

The Contract Beds Operations Director shall ensure that private prison Wardens develop and maintain an Emergency Operations and Response Plan for their prisons and establish the necessary collaborative relationships with local resource partners and community stakeholders to facilitate planning, response, and training opportunities in accordance with Department Order #106, Contract Beds.

The Assistant Director for Medical Services shall ensure the Contract Healthcare Provider (CHP) develops and maintains emergency procedures for pandemics and mass causality events.

The Emergency Preparedness Administrator shall:

- Manage the Department's Emergency Preparedness and Incident Response Program.

- Assist in the coordination of ICS-oriented training and exercises.

- Collaborate in the development and maintenance of the Emergency Action Plan and Procedures for all Central Office locations, Community Corrections and regional community corrections offices, the Correctional Officer Training Academy (COTA), and ACI administrative offices.

- Facilitate the development and maintenance of the Central Office Continuity of Operations Plan (COOP).

PROCEDURES

1.0   INCIDENT COMMAND SYSTEM – The Incident Command System shall be activated, when required by Department Order, and/or for any size and kind of incident that occurs outside normal operations requiring the commitment of additional resources. ICS procedures are intended to establish command and effectively manage personnel and resources, while ensuring the safety and welfare of all persons involved. ICS Principles include:

1.1   Common Terminology – All staff shall communicate in plain English during an ICS. Staff shall avoid the use of 10-codes, brevity codes, and abbreviations when possible.

1.2   Management by Objectives – The Incident Commander, or Unified Command, establishes objectives that drive incident operations. Management by objectives includes the following:

1.2.1   Establishing specific, measureable objectives which take into account the ADCRR Tactical Priorities:

1.2.1.1   Provide for the safety, accountability, and welfare of the public, Department personnel, and inmates.

1.2.1.2   Stabilize, isolate and contain the incident and provide for the preservation of life, property and order.

1.2.1.3   Remove endangered persons and obtain treatment for the injured.

1.2.1.4   Limit expenses and damage to State Property.

1.2.1.5   Resolve the incident and return the institution/unit to normal operations.

1.2.2   Identifying strategies, tactics, tasks, and activities to achieve the objectives.

1.2.3   Developing and issuing assignments, plans, procedures, and protocols for various incident management functional elements to accomplish the identified tasks.

1.2.4   Documenting results against the objectives to measure performance, facilitate corrective actions, and inform development of incident objectives for subsequent operational period.

1.2.5   Conducting a verbal debriefing at the conclusion of the incident. The process shall include coordination and feedback about the incident with designated staff of the facility as soon as possible and include, but not be limited to the following: {5-ACI-3B-16}

    1.2.5.1   The debrief process shall include the following designated staff:

        1.2.5.1.1   Incident Commander

        1.2.5.1.2   All involved staff members

    1.2.5.2   The after action review shall consist of the preliminary review of the catalyst leading to the incident. The review shall focus on the following:

        1.2.5.2.1   A review of staff and inmate actions during the incident.

        1.2.5.2.2   A review of the incident's impact on staff and inmates.

        1.2.5.2.3   A review of corrective actions taken and still needed.

        1.2.5.2.4   Plans for improvement to avoid future incidents.

    1.2.5.3   All documentation shall be retained by the institution per the Department's retention schedule.

1.3   <u>Unity of Command</u> – Unity of Command in ICS requires each individual responder involved with the event/emergency to report to only one person.

1.4   <u>Span of Control</u> – The ratio of individuals assigned to one supervisor shall be limited to what is manageable by that supervisor. A five to one reporting ratio is preferred.

1.5   <u>Modular Organization</u> – ICS organizational structures expand and contract based on the size and complexity of the incident. The addition of Command Staff, General Staff, Branches, Divisions, and Groups shall be utilized to manage Span of Control.

1.6   <u>Preparedness</u> – Each shift shall identify individual staff members to serve as ICS responders on a Type 5 Response, Type 4 Response. Only those units assigned as Designated Armed Response Teams (DART) responders for the complex shall identify the DART Team Members and a Camera Operator at the beginning of each shift.

1.6.1   Staff members assigned as a Type 5 Response are identified by the Shift Commander during the shift briefing or at the beginning of shift. Type 5 responders shall respond to all ICS activations unless specifically directed otherwise by the Incident Commander.

1.6.2   Staff members assigned as a Type 4 Response are identified by the Shift Commander during the shift briefing or at the beginning of shift. Type 4 responders shall respond to ICS activations only when requested by the Incident Commander.

1.6.3   Cameras shall be staged in the following areas:

    1.6.3.1   Main Control

    1.6.3.2   CDU Control Room (if applicable)

    1.6.3.3   Yard Control or Supervisor's Office

1.6.4   Camera Operators shall check that all cameras are operable and have fresh batteries and space available on the SD Card at the beginning of shift.

    1.6.4.1   Shift Commanders shall ensure staff assigned as the Camera Operator have a full understanding of their responsibilities and have been properly trained in the use of the camera. Supervisors shall check functionality of cameras each shift. A laminated card containing camera operating instructions shall be affixed to the camera.

1.7   Special Operations and Tactics (SO&T)

1.7.1   Each institution and/or unit shall have teams of staff members trained for the following disciplines:

    1.7.1.1   Tactical Support Unit (TSU)

    1.7.1.2   Chase Team

    1.7.1.3   Special Security Unit (SSU)

    1.7.1.4   Crisis Negotiation Team (CNT)

    1.7.1.5   Command Center Administrative Support Staff

    1.7.1.6   Incident Management Team

1.7.2   Private prisons are exempt from the requirements of this section, unless otherwise specified in the contract agreement.

2.0   **INCIDENT TYPES** – Incident complexity is assessed on a five-point scale ranging from Type 5 (the least complex incident) to Type 1 (the most complex incident). {5-ACI-3B-14 (M)}

2.1   Type 5 – The incident can be handled with resources from within the affected unit.

2.1.1   Command and General Staff positions (other than the Incident Commander) are not activated.

2.1.2   An After Action Review, Form 706-2, may be utilized.

2.1.3   The incident is contained within the first operational period and often within an hour to a few hours after resources arrive on scene.

2.1.4   Documented on a Use of Force/Incident Command Report, Form 804-2.

2.2   Type 4 – Resources from unaffected units are required to resolve the incident.

2.2.1   Command and General Staff functions are activated only if needed.

2.2.2   The incident is usually limited to one operational period.

2.2.3   An Operational Briefing shall be completed for all incoming resources.

2.2.4   An After Action Review form shall be utilized.

2.2.5   Documented on a Use of Force/Incident Command Report form

2.3   Type 3 – Resources from unaffected institutions and/or other agencies are required to resolve the incident.

    2.3.1   An Incident Management Team and Division/Group Supervisors and/or Unit Leader level positions are established.

        2.3.1.1   A statewide Incident Management Team may be activated by the Assistant Director for Prison Operations to manage the incident.

    2.3.2   The ADCRR Emergency Operations Center (EOC) may be activated.

        2.3.2.1   The ADCRR WebEOC may also be utilized.

    2.3.3   The incident may extend into multiple operational periods.

    2.3.4   A written Incident Action Plan (FEMA ICS Forms) is required for each operational period. A Demobilization Plan (FEMA ICS Forms) shall be developed and utilized, as well as the use of a full After Action Review/Improvement Plan.

2.4   Type 2 – This type of incident extends beyond the capabilities for local control and is expected to extend into multiple operational periods. It may require the response of a Type 2 Incident Management Team as well as for resources out of area, including regional and/or national resources, to effectively manage the operations, command, and general staffing, and staffing overhead.

    2.4.1   A written Incident Action Plan is required for each operational period. A Demobilization Plan shall be developed and utilized, as well as the use of a full After Action Review/Improvement Plan.

    2.4.2   Operations personnel do not exceed 200 per operational period and total incident personnel do not exceed 500.

    2.4.3   May be documented on a Use of Force/Incident Command Report form or Incident Action Plan and associated ICS-214 forms.

2.5   Type 1 – This type of incident is the most complex, requiring national resources for safe and effective management and operation.

    2.5.1   All Command and General Staff positions are filled and management by a Type 1 Incident Management Team.

    2.5.2   Operations personnel often exceed 500 per operational period and total personnel will usually exceed 1,000.

2.5.3 A written Incident Action Plan is required for each operational period. A Demobilization Plan shall be developed and utilized, as well as the use of a full After Action Review/Improvement Plan.

2.5.4 May be documented on a Use of Force/Incident Command Report form or Incident Action Plan and associated ICS-214 forms.

3.0 INCIDENT COMMAND SYSTEM FRAMEWORK – The incident command framework consists of the following elements:

3.1 <u>Incident Commander</u> – The first staff member on scene, who initiates the Incident Command System until command is transferred to a higher authority, on scene if needed, based on the incident type.

   3.1.1 The Incident Commander is responsible for the overall management of the incident.

3.2 <u>Command Staff</u> – Depending on the type of incident, the Incident Commander may activate one or more of the following command staff positions.

   3.2.1 Safety Officer – Identifies and assesses hazardous situations; prepares safety plans and ensures messages are communicated.

   3.2.2 Liaison Officer – Serves as the point-of-contact with outside agencies; monitors all operations to identify potential problems as different organizations are brought together.

   3.2.3 Media Relations Office – Organizes information for news releases and conducts media briefings.

3.3 <u>General Staff</u> – Depending on the type of incident, the Incident Commander may activate one or more of the following general staff.

   3.3.1 Operations Section Chief – Responsible for all tactical operations and implementation of the oral or written plan containing the overall strategy for managing the incident.

   3.3.2 Planning Section Chief – Responsible for collection, evaluation and circulation of operational information related to the incident.

   3.3.3 Logistics Section Chief – Provides resources to stabilize the incident and support personnel, systems and equipment (e.g., workspace, media briefing center, transportation, communications equipment, food, water and medical care).

   3.3.4 Finance/Administration Chief – Manages all financial aspects of the incident and provides financial and cost analysis information; records personnel time; maintains vendor contracts, compensation, and claims.

4.0 WEB-BASED EMERGENCY OPERATIONS CENTER

4.1 The Department may utilize WebEOC, an internet-based crisis information management system, for incidents or pre-planned events. The system provides real-time access to critical information that can be shared during the planning, response, and recovery phases of an event.

   4.1.1 ADCRR WebEOC incidents may be used for internal events.

4.1.2   The Director or designee may approve access to an ADCRR WebEOC incident with external partners such as local, county, tribal or State Governments as appropriate.

4.1.3   The Emergency Preparedness Administrator shall be the ADCRR WebEOC Administrator.

4.2   The Incident Commander may activate the ADCRR WebEOC for rapidly escalating events that may require additional resources or may continue across several (multi-operational) shifts.

5.0   CENTRAL OFFICE EVACUATIONS – If an incident at Central Office requires an evacuation of the building, staff members shall follow evacuation procedures below:

5.1   The Building Coordinator shall:

5.1.1   Be responsible for planning, coordinating, preparing and leading workplace building Floor Wardens for emergencies, and implementing organized building evacuation, as needed.

5.1.2   Advise onsite First Responders regarding disabled employees, inmates, visitors and any other occupants requiring evacuation assistance and location of potentially hazardous materials.

5.2   Floor Wardens shall:

5.2.1   Be assigned to each floor and ensure the safe evacuation of all staff, inmates and any members of the public.

5.2.2   Assist occupants with safe evacuation procedures in accordance with their training and ensure disabled persons are positioned appropriately in stairwell refuge areas for First Responder rescue.

5.3   Staff supervising or responsible for inmates/work crews shall:

5.3.1   Ensure the safety and accountability of inmates by evacuating them to the designated assembly area in the building's parking lot and conducting a physical count to ensure custody and control.

5.3.2   Immediately notify the Central Office Communications Center (COCC), the COCC Supervisor, or the Emergency Preparedness Administrator, and the assigned institution for any inmate who is unaccounted for or missing.

5.4   Building Occupants shall:

5.4.1   Be familiar with the State of Arizona Emergency Response Procedures (spiral bound instructions printed on orange paper) posted throughout the buildings.

5.4.2   Know a primary and secondary evacuation route to the assigned meeting area outside the building.

5.4.3   Follow all Floor Wardens' instructions during a drill or emergency.

5.4.4   If assigned an office, exit the office, close the door, hang the orange evacuation tag on the doorknob, and exit the building.

6.0   TRAINING AND EXERCISES

6.1   <u>ICS Simulations</u> – Shift Commanders and Chiefs of Security shall conduct monthly ICS Simulations in accordance with Post Orders, which shall include medical staff responses with medical equipment (e.g., Man-Down-Bag, Automated External Defibrillator (AED), gurney or transport chair).

6.1.1   All ICS Simulations shall include the use of a handheld video camera and be reviewed by the Shift Commander and Chief of Security prior to being deleted.

6.1.2   An After Action Review form shall be completed.

6.2   <u>Training Exercises</u> – The development of emergency exercises for Type 3 ICS shall be compliant with the current Homeland Security Exercise Evaluation Program. Exercises shall be based upon identified threats, hazards and risks. The Emergency Preparedness Administrator shall oversee the Department's Multi-Year Training and Exercise Plan.

6.2.1   A format for the After Action Review documentation shall be included in the Emergency Preparedness Technical Manual along with archival guidance.

6.3   Wardens and Deputy Wardens shall ensure all staff are trained in the implementation of written emergency plans annually. {5-ACI-3B-10 (M)}

<h1 style="text-align:center; color:red">RESTRICTED SECTIONS</h1>

7.0   INCIDENT MANAGEMENT AND ICS ACTIVATION - RESTRICTED

8.0   EMPLOYEE WORK STOPPAGE – RESTRICTED {5-ACI-3B-13}

<u>IMPLEMENTATION</u>

The Emergency Preparedness Administrator shall provide the updated template format for the Emergency Operations and Response Plan for each institution within 30 calendar days of the effective date of this Department Order.

Wardens shall update their existing plans using the template format developed by the Emergency Preparedness Administrator within 90 calendar days of the effective date of this Department Order.

The Assistant Director for Prison Operations shall:

• Develop an Emergency Preparedness Technical Manual addressing provisions outlined in this Department within 90 calendar days of the effective date of this Department Order.

• Update applicable Post Orders to identify ICS Simulation Requirements.

Deputy Wardens of Reentry Centers shall develop/update their existing plans using the template format developed by the Emergency Preparedness Administrator within 90 calendar days of the effective date of this Department Order.

The Assistant Director for Community Corrections shall ensure all Emergency Operations and Response Plans for Reentry Centers are reviewed annually and updated, as necessary.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Building Coordinator
- Central Office
- Emergency Action Plan and Procedures
- Emergency Operations and Response Plan
- Exercise
- Floor Wardens
- Hazard
- Incident Commander
- Incident Command System
- Incident Management Team

AUTHORITY

A.R.S. §49-127, Facilities Subject to Emergency Planning; Facility Emergency Response Plans
Arizona Governor's Executive Order 2013-06 Continuity of Operations and Continuity of Government Planning
National Incident Management System, Third Edition October 2017