Staff Safety

2015 Annual Report to the Legislature

As required by RCW 72.09.680

December 2015

Dan Pacholke, Secretary
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This report is the fifth annual report to the Legislature as directed by Engrossed Senate Bill 5907 (2011) and contains information on staff safety concerns and mitigation strategies completed by the Department of Corrections.

Washington State Department of Corrections
2015 Annual Report on Staff Safety to the Legislature

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Staff Safety

2015 Annual Report to the Legislature

Foreword

"It is the intent of the legislature to promote safe state correctional facilities. Following the tragic murder of Officer Jayme Biendl, the Governor and Department of Corrections requested the National Institute of Corrections to review safety procedures at the Monroe Reformatory. While the report found that Monroe Reformatory is a safe institution, it recommends changes that would enhance safety.

The legislature recognized that operating safe institutions requires ongoing efforts to address areas where improvements can be made to enhance the safety of state correctional facilities. This act addresses ways to increase safety at state correctional facilities and implements changes recommended in the report of the National Institute of Corrections."

— Legislative Declaration, RCW 72.09.680 [2011 c 252 §1]

Executive Summary

Background

Following the murder of Officer Jayme Biendl in 2011, the National Institute of Corrections (NIC) was asked to review systems, policies, and procedures and submit recommendations to mitigate safety and security vulnerabilities at the Washington State Reformatory.

The NIC findings and recommendations led to the introduction of Engrossed Senate Bill 5907 (ESB 5907), at the request of Governor Gregoire, with the intent to promote safer prisons. ESB 5907 was signed into law (RCW 72.09.680) by the Governor on May 5, 2011.

Report Overview

The Department of Corrections (DOC) promotes a culture that encourages: personal responsibility for safety and security; initiative in addressing security and safety concerns and deficiencies; and continual monitoring for safety and security improvements in all work areas, practices, procedures, policies and physical plant layout. In this fifth annual report to the Governor and Legislature, DOC conveys the implementation status of legislative mandates to incorporate the recommendations made by NIC and its dedication to the safety of all employees, offenders, and members of the public.

Commitment to Safety

Washingtonians deserve and expect to be safe and protected in their communities, and this is a priority of Governor Inslee as recognized in Results Washington Goal 4: *Healthy and Safe Communities*. The DOC's highest priority is embedded in the mission to improve public safety and one of the key goals is safer operations. The DOC, using Results DOC, measures success related to safer operations with both outcome and process measures that include staff safety, offender safety, workforce development, ensuring safe environments, and managing emergencies.

The DOC employs staff from many disciplines to work with offenders in total and partial confinement facilities, as well as within the community. Staff responsibilities include working with offenders in unpredictable and often dangerous settings. Despite great personal risk, staff continue to perform their duties with the utmost professionalism and pride. They do this because they believe in improving public safety and desire to work together for safer communities. Staff safety and facility security are disciplines that must be practiced by everyone at all times.

The DOC promotes a culture of safety and security and remains deeply committed to, and actively engaged in, improving employee, offender, and community safety. In the words of Secretary Dan Pacholke, *"Safety in all of its forms has been and will remain my core goal. It will be the hallmark of this administration. We will endeavor to keep people safe – those who work within the correctional system, those who are housed within the correctional system and those who live in our communities."*

Prison Safety

Security Advisory Committees

The Security Advisory Committees are comprised of local and statewide committees that have supported and encouraged staff to take the initiative in identifying and reporting staff safety concerns and facility security gaps as well as furnish an avenue to address them. Employees continue to provide innovative solutions to everyday challenges and actively engage in the process to increase their own safety as well as the safety of others. The success of this approach can be attributed to the support received from all levels of the agency. By incorporating multidisciplinary staff from all classifications, the submittals are broad and diverse; the work is progressive and impactful; and the resolutions highly effective. Table 1 provides a summary of the suggestions submitted to date.

Table 1. Security Concerns & Suggestions

Year	Total Received	Completed at Local Level	Referred Statewide	Completed Statewide
2011	548	488	40	32
2012	714	626	39	24
2013	756	693	15	12
2014	466	285	11	4
*2015	378	229	11	5
Total	**2,862**	**2,321**	**116**	**77**

*As of October 2015

Local Security Advisory Committees

Local Security Advisory Committees are very active in all 12 prisons and continue to meet regularly. These committees are chaired by the senior facility security/custody staff (Captains or Lieutenants) and include employees from a variety of disciplines who review and discuss security concerns and suggestions that have been submitted locally.

When a local security suggestion is submitted by a staff member to the facility's Security Specialist, the suggestion is then queued for review by the Local Security Advisory Committee. Using a facility-wide, multidisciplinary approach, the local committees examine each suggestion for not only the staff safety and security benefits that may be gained if the suggestion is endorsed, but for any negative impacts the suggestion may produce for other areas or staff within the facility.

Examples of submissions of local safety and security concerns at individual prisons that resulted in subsequent changes in practice or routine in 2015 are summarized below:

- One-Way Movement – This request from Monroe Correctional Complex (MCC) noted that during periods of offender movement, offenders were allowed to travel both to and from work/program areas at the same time. This made it difficult to assess which direction or location an offender should be

traveling to, impacting staff safety and facility security. This suggestion implemented locally changed the movement periods to one-way travel with a separate movement period in the opposite direction.

- Improved Sightlines – This request from Washington Corrections Center (WCC) pointed out security concerns within the Correctional Industries (CI) Warehouse. Staff noted that the CI building's internal sightlines were restricted, increasing the risks to staff and compromising staff accountability. WCC and CI management agreed and windows were installed in key internal areas which improved sightlines and contributed to greater staff accountability.

- Volunteer Safety – This request from Mission Creek Corrections Center for Women (MCCCW) noted that volunteers are frequently alone with offenders in education building classrooms without an easily accessible means to notify staff in the event of an emergency. Since volunteers are not issued radios or office keys, and staff telephones are secured in offices to prevent offender access, the request suggested phones that are secured and provide restricted dialing could be installed in the classrooms for volunteer use. MCCCW staff designed and installed secured phones in the classrooms that are unlocked by staff when volunteers are present. These phones can only dial internally within the facility which provides a means for volunteers to request assistance while maintaining restricted offender access to external lines.

Each local committee's work has proven to be highly effective. Even when a security suggestion initially appears to offer safety improvements, committee members are able to examine the complex level of detail that involves multiple job classes and program areas to ensure there are no unintentional effects or other viable solutions. This vetting process has brought about a strong local commitment to safety and security through the exchange of ideas, involvement of all staff and program areas, and a better understanding of how each employee contributes to the safer operations of the facility.

Statewide Security Advisory Committee

In some cases, a Local Security Advisory Committee may determine a security suggestion might have statewide impact, requires a change to DOC policy, or the costs to implement the suggestion is beyond facility or DOC budget capacity. In these, as well as other situations, the suggestion is forwarded to the Statewide Security Advisory Committee for review and consideration.

The Statewide Security Advisory Committee meets quarterly to evaluate safety and security concerns and suggestions forwarded from local committees that may impact DOC policy or require legislative approval and funding. Committee work includes evaluating suggestions, making recommendations, and taking action on multiple safety and security concerns affecting statewide policies and practices. In addition, the Statewide Security Advisory Committee assists in the development of safety curriculum presented to staff as part of Annual In-Service training for the Prisons Division.

Examples of statewide safety and security concerns that resulted in statewide safety and security improvements in 2015 are summarized below:

- K9 Program - A request from Cedar Creek Corrections Center (CCCC) noted that the loss of the majority of the K9 Contraband Detection ('drug dog') positions through budget reductions in 2008 linked to an increase in the amount of illegal contraband being discovered. The suggestion not only pointed out that K9 programs find hidden contraband, but act as a deterrent to the introduction of contraband through a visible presence in public access areas. The Statewide Security Advisory Committee reviewed the suggestion and agreed that expanding the K9 positions is an effective solution to reduce contraband. DOC was able to shift existing funds to expand the K9 program at two prisons, bringing the total K9 positions to four.

- Behavior Observation Entry - A request from Coyote Ridge Corrections Center (CRCC) was to consider creating an electronic offender behavior record that would follow the offender through incarceration and community supervision. The suggestion noted current methods to document offender behavior that does not warrant an infraction, termed 'onsite warnings', is through log book style records kept in each living unit or program area. The request offered a suggestion to incorporate offender behavior reports into the official offender electronic database. The Statewide Security Advisory Committee reviewed the suggestion and agreed an electronic offender behavior report would improve documentation of offender behavior across the correctional continuum. In September 2015, the Behavior Observation Entry (BOE) went into effect and is now available electronically in the Offender Management Network Information (OMNI) database. Additionally, DOC policy was created that outlines the expectations for the BOE (Appendix A).

- Religious Property - A request from MCC was to move the sourcing, ordering, and delivery of all offender allowed property items to a single source/vendor. Access Secure Pak currently provides this service for the majority of property items, such as offender commissary, musical equipment, typewriters, etc., however, religious property and hobby craft items were not included. If an offender was approved for religious property items, multiple vendors were sourced to provide the items, often shipped directly to the prisons without a statewide security review. In the summer of 2015, religious property was added to the sole-source offender property catalog only available through Access Secure Pak. Now, both offender property and religious property are prescreened for security concerns, items are continually reviewed, and the catalog updated as needed. In addition, discussions are currently underway to move the last of the offender property items, in-cell hobby craft, to Access Secure Pak as well.

Each of the examples above represents the complex work involved in evaluating and reviewing suggestions submitted for statewide consideration. Members of the Statewide Security Advisory Committee review each suggestion in detail, may ask for additional information, or may need time to review with their local committee members or labor representatives before making a final recommendation. Meanwhile, security management staff are conducting similar in-depth reviews with other statewide program areas. This statewide review may include information technology, religious programs, Correctional Industries, human resources, prisons leadership, or the budget office.

This complex, multidisciplinary process ensures each security suggestion that is implemented, as in the case of the examples noted for 2015, multiple staff and program areas have reviewed and agreed to support the

suggestion. By the time a security suggestion is implemented, abundant sources of information have been consulted, numerous details have been worked out, and any potential negative impacts have been mitigated.

Staff Safety Performance Audit

The Washington State Auditor's Office is concluding a Performance Audit on Prisons Safety and Security (see Appendix B for summary) which will assess whether the DOC could do more to ensure the safety and security staff and facilities. The audit seeks to answer the following questions:

- Does DOC's prison safety and security program meet widely accepted practices and standards, and in areas where it does not, why?
- Have recent changes in the DOC's prison safety and security program improved the safety and security of prison staff?
- What information does DOC use to understand whether its program is improving prison staff safety and security and is the information adequate for managing the program?
- What additional changes could DOC make to improve the safety and security of prison staff?

The audit team completed site visits at 12 prisons, staff training centers and headquarters throughout much of 2015. The State Auditor's Office is currently reviewing and processing all the information compiled during the audits and anticipates publishing a draft report by January 2016.

Prisons Division Training

Prison Safety Series Curriculum
DOC promotes a culture that encourages personal responsibility for safety and security in prisons and has invested in extensive staff training programs. DOC continues to develop curriculum adapted from *Keeping Prisons Safe, Transforming the Corrections Workplace*, C. Young, D. Pacholke, D. Schrum, and P. Young, (2014). The content, discussions, and activities delivered through annual in-service training target strategies for improving personal safety, the safety of others, and the safety and security of the work place. The previous lesson in this series focused on the Human Error Model, while the current lesson focuses on Managing Complexity (Appendix C).

Lesson Objectives are to:

- Recognize how complexity and change influence goals and safety,
- Examine solutions for minimizing risk caused by organizational gaps,
- Identify how documentation supports prison safety, and
- Connect daily work to the vision and mission of DOC.

The curriculum for this series was developed by a multidisciplinary team, reviewed by the Statewide Security Advisory Committee, and is being offered to all prison staff as a requirement in the Fiscal Year 2016 Annual Agency Training Plan (Appendix D).

Corrections Fatigue to Fulfillment™

Through a technical assistance grant from NIC, DOC was able to offer Corrections Fatigue to Fulfillment™ Instructor Training. The four day train-the-trainer course was designed to prepare and certify instructors in the proprietary course material titled Corrections Fatigue to Fulfillment™, so that they may facilitate instruction with agency staff.

Corrections Fatigue to Fulfillment™ contains material which addresses the psychological challenges experienced by correctional employees due to workplace stressors and offers ways to overcome them. The DOC instructors delivered 24 seminars in early 2015 to over 270 participants. Results showed that over 70% of participants recommended this training to other employees. In response to the overwhelming support, DOC will provide an additional 26 seminars to employees by December 2015.

Electronic Security Technology

Staff Accountability Systems

Earlier this year, the Statewide Security Advisory Committee participated in an exercise designed to group and prioritize the list of statewide security concerns and suggestions, such as staffing, equipment, and personal safety. Although many of the same themes from previous lists remained consistent, it is important to note DOC's safety and security strategies and needs continue to evolve. However, even as new strategies are studied, the items below continue to rank among the top 5 security improvements to consider for expansion to other facilities.

The Washington State Penitentiary (WSP) was chosen as the pilot site for a proximity card electronic staff accountability system. This system has been operational since 2012 and has significantly increased the ability to confirm staff accountability when needed. The Statewide Security Advisory Committee supports the expansion of the proximity card system statewide, and DOC submitted a decision package to the Office of Financial Management for consideration in the 2015-2017 supplemental budget.

MCC/Washington State Reformatory Unit (WSRU) was chosen in 2011 as the pilot facility for a body alarm project. This technology has been fully operational since 2012 and has been tremendously successful both in terms of usability and staff acceptance. The Statewide Security Advisory Committee continues to support the expansion of the body alarm system statewide based on available funding.

Narrow-Banding Project

The DOC was required to replace radio equipment following a Federal Communications Commission (FCC) mandated change to radio frequency usage nationwide, and this project is now 100% complete. The DOC completed the narrow-banding effort within required time frames and approved budget.

800 MHz Re-Banding Project

The FCC mandated a reallocation of the spectrum of radio communication frequencies nationwide in order to reduce interference between commercial entities and Public Safety Radio systems. All 12 prison radio system components (base stations, portables, mobiles, and mountain top repeaters) are complete and operating on new frequencies. In addition, hundreds of radios (portable and mobile) were able to be redeployed to from prisons to community corrections, strengthening officer safety in community settings.

There remains a couple of small reprogramming projects, such as the last of the community corrections radios and a headquarters radio system, both of which are currently in progress and expected to be complete by November 2015. Project time and cost analysis is currently in process with an estimated submittal to Sprint/ Nextel for reimbursement in January 2016.

Community Corrections Safety

The Community Corrections Division (CCD) continues to implement new policies and procedures aligned with evidence based corrections and a recently adopted supervision model. The implementation of these changes is made with the underlying principle of focusing on staff safety and offender accountability.

Community Corrections Security Advisory Committee

The Community Corrections Security Advisory Committee continues to meet quarterly to evaluate safety and security concerns and suggestions that may impact DOC policy, budget, and workload. The committee is co-chaired by a CCD Program Manager and a representative of the Washington Federation of State Employees. In addition, the committee membership is comprised of the CCD Officer Safety/Security Specialist and employees from around the state and a variety of job classifications. Committee work includes evaluating and making recommendations regarding staff and office safety and security concerns affecting statewide practices.

Examples of 2015 submissions of statewide community corrections safety and security concerns that resulted in statewide safety and security improvements are summarized below:

- Smart Phones - The primary communication tool for community corrections officers is DOC issued cellular phones for use in both every day and emergency situations. To enhance the ability to communicate using this option, officers have been issued smart phones which allow for greater connectivity to their work. This upgrade in phones allows for telephone and text communication, email access, locating offender addresses though mapping applications, and enhanced picture/video capabilities to assist in documenting evidence collected.

- Handheld Scanners - To assist in controlling the movement of contraband, and deter the introduction of dangerous and or illegal items into Work Release facilities, handheld metal detecting wands have been purchased. In the Work Release environment, the potential for the introduction of contraband is greatly increased simply due to the amount of community access offenders have. The use of handheld detectors is an additional tool to ensure officer safety and facility security.

- <u>Ballistic Vest Replacement</u> - All community corrections officers are issued a high quality ballistic vest which must be replaced every 5 years. Because of the 5 year span between issue and replacement, officers were often not aware of the expiration date and were not ordering replacements within the manufacturers recommended timeframes. This concern was reviewed by the Security Advisory Committee and a plan was developed for the officer and their supervisor to be notified 90 days prior to the vest's expiration date. This process will ensure ballistic vests are ordered, officers are measured for proper fit, and replacements arrive prior to the expiration date of their current vest.

Community Corrections Division Training

Training in community corrections continues with an emphasis on skills that increase positive engagement with offenders. The ability to engage offenders, and intervene in high-risk offender behaviors, promotes both staff and community safety.

Arrest Planning & Implementation (API) Phase II

In 2013, CCD partnered with the Training Development Unit to develop and deliver a three-day training for all employees with arrest authority. The overarching premise of the training was on safety and its applicability to planned arrests and standard field contacts.

In March 2014, API Phase I was implemented into CCD annual in-service and was made mandatory training for all Community Corrections Officers, Specialists, and Supervisors. API Phase II curriculum is currently in development with a target delivery date of spring 2016.

Critical Incident Response

Training was developed and delivered to all CCD Supervisors regarding response to critical incidents that could occur as part of the daily operations. Written materials were developed which provided instructions regarding roles and responsibilities, necessary notifications, applicable policies, as well as a resource guide. Critical incident response training focuses on the safety, protection, and support of all staff involved in critical incidents. Subsequent to supervisory training, the program was then delivered to staff at the office/unit level. Staff were provided information regarding what they could expect from their supervisor and management if they were involved in a critical incident while performing their duties.

Security Equipment Enhancements

Electronic Control Devices (ECD)

Following the 2013 ECD pilot in the Community Corrections Division, DOC made the decision to expand the ECD program division wide and now provides training and equipment to any community corrections officer that requested to carry an ECD. To date, approximately 450 CCD staff have been trained and certified to carry an ECD. In addition, training plans were developed and implemented as a component of the Community

Corrections Officers Academy as well as during annual training per the Fiscal Year 2016 Annual Agency Training Plan (Appendix D).

Beginning in January 2015, the Prisons Division began piloting the use of ECD's to provide an additional use of force option only during high-risk offender transports and routine intrastate and interstate transportation. The Prisons Division has trained and equipped Special Emergency Response Team members, offender transport staff, as well as interstate transportation lieutenants with ECD's and related equipment. DOC Policy 410.205 Electronic Control Devices – Prisons (*dissemination restricted)* was established to provide directives and procedures for the use of an ECD. The results of the pilot will be used to determine if any additional staff or areas may be considered in the future.

Community Corrections Officer Safety Equipment

CCD implemented a tiered officer safety equipment distribution process which ensures staff receive all necessary safety equipment as they progress through training. To accomplish this, a centralized ordering process was implemented which ensures staff are uniformly supplied with quality officer safety equipment while DOC remains fiscally responsible.

Radio Communication

To further enhance communications among officers in the field, radios have been deployed throughout CCD. These radios are part of our consistent focus on improving officer safety. This equipment, which includes the radios, holsters and charging stations, has been instrumental in enhancing communication between officers while conducting work in the field (arrests, house searches, planned contacts, etc.). In addition to communication between CCD officers, these radios also provide a common statewide law enforcement frequency, and in some cases local law enforcement, to enable officers to communicate with partnering law enforcement agencies during joint operations or incidents and significant events.

Appendix A

Behavior Observation Entry

REVIEW/REVISION HISTORY:

Effective: 9/18/15

SUMMARY OF REVISION/REVIEW:

New policy. Read carefully.

APPROVED:

Signature on file

_____
BERNARD WARNER, Secretary
Department of Corrections

8/11/15
_____
Date Signed

REFERENCES:

DOC 100.100 is hereby incorporated into this policy; DOC 460.000 Disciplinary Process for Prisons; DOC 460.130 Violations, Hearings, and Appeals; DOC 460.135 Disciplinary Processes for Work Release

POLICY:

I.   The Behavior Observation Entry (BOE) is the official electronic record to document and share information on offender behavior in a consistent method to improve safety and accountability in Department facilities and the community. Its primary purposes are to:

A.   Inform case managers of offender behavior to be considered for follow-up.

B.   Collect information on observed behavior, including patterns of improvement.

C.   Replace local behavior/onsite adjustment logs.

D.   Inform disciplinary and incentive processes.

E.   Enable employees and contract staff to document and review offender application of skills and behaviors.

II.   Individual behavior information will be used to make data-driven decisions regarding case management and identify patterns of behavior that may require follow-up. Aggregate data on offender behavior will be considered during safety related reviews and may also be used to inform policy/procedure decisions and resource deployment.

DIRECTIVE:

I.   Behavior Observation Entry

A.   Employees and contract staff will document observed, off baseline offender behaviors in BOEs. These entries will be made in the Behavior Observation section of the offender's electronic file as part of his/her permanent record.

1.   Case managers may enter information into the Behavior Observation section of the offender's electronic file not otherwise addressed. Case managers are not expected to duplicate documentation.

B.   Entries will specify if observed behavior is Positive, Negative, or Neutral.

1.   Positive behavior is desirable behavior that indicates individual progress.

2.   Negative behavior is undesirable behavior that is not necessarily rule violation behavior.

a.   In Prisons, rule violation behavior addressed through an onsite adjustment will be documented in a Negative behavior BOE.

     b.   Rule violation behavior addressed through an infraction or violation report will be documented per the applicable disciplinary policy:

        1)   DOC 460.000 Disciplinary Process for Prisons
        2)   DOC 460.135 Disciplinary Processes for Work Release
        3)   DOC 460.130 Violations, Hearings, and Appeals

3.   Neutral behavior is behavior that is not necessarily positive or negative, but could be useful for employee/contract staff awareness. For example:

     a.   Prison/Work Release – "Offender is sitting alone in the corner of the dayroom when he would usually interact with others."

     b.   Field – "Offender reports to the office. He is usually outgoing and talkative, but today he is reserved and quiet."

C.   BOEs must be factual and will not contain opinions or conclusions drawn about the documented behavior.

II.   Case Manager Expectations

    A.   The assigned case manager will receive an electronic notification when a BOE is added in the offender's electronic file.

    B.   The case manager will review the BOE and follow up with the offender by acknowledging positive behavior, discussing neutral behavior, and addressing negative behavior as close to the event as possible. In the absence of the assigned case manager, the appointed designee will follow up.

        1.   The case manager will clear the notification flag upon review of the BOE or when the behavior has been addressed.

    C.   The case manager will consider recorded observations when developing and modifying the offender's case plan.

DEFINITIONS:

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Case Manager, Off Baseline Behavior. Other words/terms appearing in this policy may also be defined in the glossary section.

ATTACHMENTS:

None

DOC FORMS:

None

Appendix B

Performance Audit on Prisons Safety and Security

Washington State Auditor's Office
Performance Audit Description

Integrity • Respect • Independence

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March 2014

Prison Safety and Security

Program Background

In response to the January 29, 2011, on-duty murder of Correctional Officer Jayme Biendl by an offender at the Monroe Correctional Center, the Legislature passed Senate Bill 5907 at the governor's request, requiring the state to implement new safety measures for prisons and community corrections.

The Department of Corrections (DOC) has since made changes to the safety and security program in its 12 prisons. Changes include additional safety and security training for staff, changes to Department policies, and new safety committees at each prison to review the staff's concerns. The Department also created a statewide security committee to evaluate concerns and suggestions that may impact department policy or require funding from the legislature.

Even with these changes, significant challenges remain. Members of DOC's Statewide Security Advisory Committee have noted a decline in the number of incidents, but also raised concerns about the severity of incidents, as well as rising mental health issues and gang involvement in the offender population. The state correctional officers' union expressed concerns that the reforms have not done enough to ensure their safety.

Scope and objectives

The objectives of this performance audit are designed to assess whether the Department could do more to ensure the safety and security of its correctional officers. The audit will seek to answer the following questions:

- Does the Department's prison safety and security program meet industry leading practices and standards, and in areas where it does not, why?
- Have recent changes in the Department's prison safety and security program improved the safety and security of prison staff?
- What information does the Department use to understand whether its program is improving prison staff safety and security, and is the information adequate for managing the program?
- What additional changes could the Department make to improve the safety and security of prison staff?

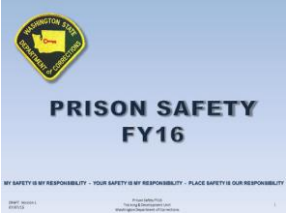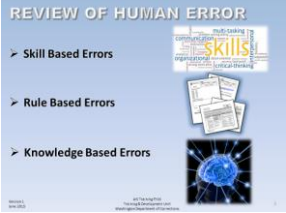We plan to hire subject matter experts to assist us in conducting this audit.
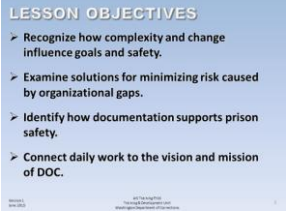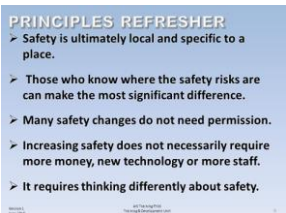
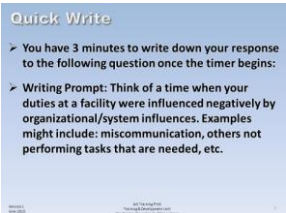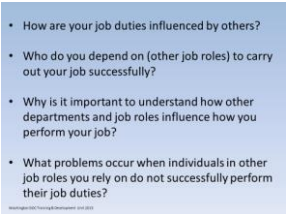### Timing

Audit results will be released in summer 2015.
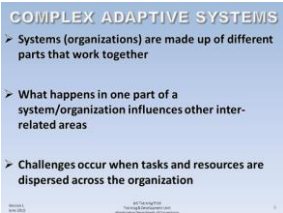
Appendix C

Prison Safety Curriculum: Managing Complexity

Lesson Objectives:		Performance Expectations	
1. Recognize how complexity and change influence goals and safety. 2. Examine solutions for minimizing risk caused by organizational gaps. 3. Identify how documentation supports prison safety. 4. Connect daily work to the vision and mission of DOC.		• Apply various practices for safety and security in the facility to minimize risk.	

Instructional Aids:	Student Handouts:	NOOK Appendix Materials :
• PPT Presentation: AIS Prison Safety FY16 • IA1: Post Order Shakedown Activity • IA2: Small Changes Activity	SH#1: DOC Policy 890.00 Safety Program SH#2: Small Changes Student Activity SH#3: F-Map ** Special Instructions – The F-Map is required to be printed directly from the website for use in the classroom. Please go to: **iDoc→Agency→Operations→Results DOC→Fundamentals Map** to print the handout prior to class	

Delivery Preparation:	Classroom Materials/Equipment:	Reference Documents:
SH#3: F-Map ** Special Instructions – The F-Map is required to be printed directly from the website for use in the classroom. Please go to: **iDoc→Agency→Operations→Results DOC→Fundamentals Map** to print the handout prior to class. **Table Groups:** If possible set up table groups with multi-disciplinary teams	• Chart Paper & Easel or Dry Erase Board • Markers • Computer & Projector • Paper & Writing Utensils	• Cheryl Young, Dan Pacholke, Devon Schrum and Phillip Young, *Keeping Prisons Safe Transforming the Corrections Workplace* (Washington: Prisons Division Washington Department of Corrections, 2014), 117-160 • Cheryl Young, Dan Pacholke, Devon Schrum and Phillip Young, *Keeping Prisons Safe Field Guide* (Washington: Prisons Division Washington Department of Corrections, 2014), 93-114

Creation & Revision Dates:	Instructor Resources:
Creation: May 2015 *Revision:*	**Subject Matter Expert Contact(s**): Brandon Marshall & Jamison Roberts **TDU Contact(s):** Alena Dicke & Trevor Setvin

Final: Version 2
7/14/2015
AIS Prison Safety
Training & Development Unit 2015
Washington Department of Corrections
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#	Topic (Content reference, page or NOOK location)	Instructor Notes (Instructional purpose, related objectives, key points & terms/definitions)	Strategy/Activity (Instructional method with directions for setup & debrief)	Materials (Equipment, PPT slides handouts etc.)	Time
1	**Lesson Overview**	Through previous in-service lessons staff have looked at personal practices as well department practices regarding safety and discussed how to improve safety in the workplace. They have explored vulnerabilities and identified how staff can improve safety in the workplace by individual and team accountability. Safety is a continuous improvement priority in the department and staff have had the opportunity to learn, grow, and see the changes in the department that have been driven by safety statewide. DOC is dedicated to correcting the human and system errors that have led to serious incidents in our prison facilities. ESB 5907 set our guidelines and goals to improve safety and reduce risks within our facilities.	**Instructor Introduction:** **Show PPT#1**: • Welcome students to the training. • Introduce yourself and co-instructor(s). Instructor should say something about themselves, their level of knowledge and their passion for teaching this course. **Previous Lesson Review:** **Show PPT#2:** Human Error Reference previous trainings. Remind students of AIS Prison Safety and Physical Plant Safety. Talk about how these lesson have helped safety mindset and practices at their worksites. **Ask:** After attending these trainings what things in your facilities did you notice that you didn't notice before? • *What were some of the possible solutions for safety that you noticed at your facility?* • *What safety models are in place at your facility?* **Lesson Objectives:** **Show PPT#3**: Lesson Objectives. – Review the objectives and answer any questions. The purpose of this lesson is to share information, learn from each other, and develop ways to address organizational gaps and inefficiencies that may contribute or lead to safety risks.	**PPT#1:** **PPT#2:** **PPT#3:**	5 min

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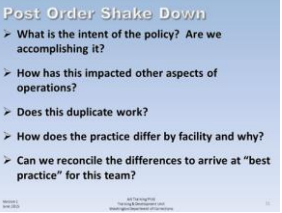| | | **Note:**
It is important to discuss the book/workbook for several reasons:

1. Staff will know that their experiences, input and feedback were included in this book/workbook to improve safety and change our culture.

2. The book focuses on more than just complex adaptive systems, but gives attention to improving human error issues as well.

3. Most of the exercises and activities in these books have been tested in forums, workshops, musters, training, and committees over the past three years. This is the other testament to the input staff have had in the creation of this work.

The book and workbook were written by Dan Pacholke, Cheryl & Philip Young and Devon Schrum with input from DOC staff.

Where to Find the Book
Each facility's Training Unit will have several copies available for loan within this coming year.
If you get a chance to read them, it may help to improve your safety perspective. | **The Book: Keeping Prisons Safe**

Show PPT#4: Prison Safety Resource

• The questions you just discussed and the activities we will be using in this lesson are derived from a published book and workbook titled Keeping Prisons Safe – Transforming the Corrections Workplace.

• This book is a testament to the nature of our work and gives correctional staff the opportunity to talk about safety. Line staff have solutions to many of the safety concerns that come up on the job.

• A design group brought together subject matter experts from across the state and the principles guiding this group became clear and the issues suddenly became about EACH of us and ALL of us. | **PPT#4**

PRISON SAFETY RESOURCE | |

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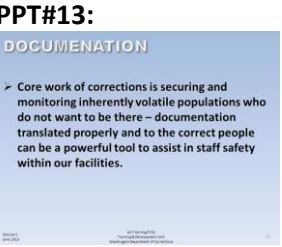
Introduction			Show PPT#5: Safety Models	PPT#5:	10 mins
			– The safety models reviewed in the book are:	SAFETY MODELS ➢ Human Error ➢ Latent Cause and Effect: Situational Safety ➢ Sense-Making: Creating Place Safety ➢ Complex Adaptive Systems: Organizational Safety	
			▪ Human Error		
			▪ Latent Cause and Effect: Situational Safety		
			▪ Sense-Making: Creating Place Safety		
			▪ Complex Adaptive Systems: Organizational Safety		
			• Each chapter in the book contains three parts:		
			– Part 1 introduces a safety model and describes that model's explanation for how accidents happen and where to look for causes and solutions.		
			– Part 2 of the chapter brings the model into the correctional context.		
			– Part 3 operationalizes the model with practices relevant to the corrections workplace.		
			• This book draws heavily from DOC forums, started as a way to change our safety climate. The first of these lessons was annual in-service two years ago; My Safety, Your Safety, Place Safety.		
			• This year we will be reviewing Chapter Four which focuses on the Complex Adaptive Systems model.	PPT#6: PRINCIPLES REFRESHER ➢ Safety is ultimately local and specific to a place. ➢ Those who know where the safety risks are can make the most significant difference. ➢ Many safety changes do not need permission. ➢ Increasing safety does not necessarily require more money, new technology or more staff. ➢ It requires thinking differently about safety.	
			Show PPT#6: Principles		
			Review the principles on the slide and clarify any student questions.		

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2	Complex Adaptive Systems	**Lesson Objective #1** **Note:** You will need a clock or other timer for this activity. **Table Groups:** If possible set up table groups with multi-disciplinary teams	**Activity: 3 Minute Quick Write** Tell participants not to start writing until you say go. In any facility it is necessary to work with others. With that in mind, you have 3 minutes to write down your answer on the following prompt. **Show PPT#7**: Quick Write Have students write as individuals on their own paper.	**PPT#7:**	20 mins
			1. Think of a time when *your duties* at a facility were influenced negatively by the facility, groups or co-workers influences. Examples might include: miscommunication, others not performing tasks that are needed to complete your job, etc. 2. Now that time is up, ask the table groups to debrief some of the problems that people wrote about.		
		Read to class: "Each division, department, unit and function is generating goals, measures, plans, initiatives, policies, budgets, staffing constraints and timelines. This requires the part of the organization where the work is being done to interpret and reconcile multiple requirements and inputs in real time." p. 120	3. Display **PPT#8** as an introduction to the discussion. 4. **Discuss:** Pose the following questions regarding organizational complexity. Emphasize the connections between different organization/system components. Refer back to the situations the staff came up with. • *How are your job duties influenced by others?* • *Who do you depend on (other job roles) to carry out your job successfully?* • *Why is it important to understand how other departments and job roles influence how you perform your job?*	**PPT#8:**	

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			• *What problems occur when individuals in other job roles you rely on do not successfully perform their job duties?* Report out to the class **Show PPT#9**: Complex Adaptive Systems **Explain: Complex Adaptive Systems** Use the below information to introduce the topic of adaptive systems. 1. Organizations are complex and are made up of different parts that are meant to function together. 2. What happens in one area of an organization influences other, interrelated parts of the organization. When one part of the system changes, there can be changes in other areas of the system. 3. As tasks, projects, and resources are dispersed across the organization, challenges often emerge.	**PPT#9:** COMPLEX ADAPTIVE SYSTEMS ➤ Systems (organizations) are made up of different parts that work together ➤ What happens in one part of a system/organization influences other inter-related areas ➤ Challenges occur when tasks and resources are dispersed across the organization	
3	**Minimizing Risk**	**Lesson Objective #2** "…divisions can end up working at cross-purposes, communications can break down, gaps can happen and information can be lost." p. 119	**Show PPT#10**: Minimizing Risk and Gaps **Discussion: Gaps** • Each part of the organization has a different approach to executing tasks. While different parts of the organization are attempting to implement the same work, difficulties happen due to complexity. • External factors also contribute to the organization. The external factors, such as federal law, impact how policies are crafted and implemented by practitioners.	**PPT#10:** MINIMIZING RISK AND GAPS How can we use the information below to minimize risk? Drivers, Resources, & Constraints Goals / Adapt Conflicts / Resolve Obstacles / Anticipate Hazards / Accommodate Data / Cope Behaviors / Close gaps Practitioners / Detect/Recover See / Act Evolving and Escalating Situations	30mins

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We need to recognize that while some parts of our job are driven by organizational policy from the top, there needs to be an awareness of our roles in shaping those policies through the work we do.

Refer to page 121 of *Keeping Prisons Safe Transforming the Corrections Workplace* for more information

- Examine solutions for minimizing risk caused by organizational gaps.

Describe Diagram from PPT#10:

The model illustrates the importance of observations (being aware of different aspects of the organization) and actions (responses to observations). These different elements are present in our daily work.

Ask: Responding to Gaps (Chart answers)

- *How do you respond to changing workplace conditions?*
  Resistance
  Excitement

- *How do you resolve conflicts with competing priorities?*
  Ask for help
  Set up a plan to get things done
  Talking to co-workers/supervisors

- *What strategies can you use to anticipate potential hazards?*
  Be aware of surrounding
  Work with co-workers/Supervisors to set up potential plans
  Run drills/practice scenario responses

- *How do you cope with surprises and work around obstacles?*
  Take time to process
  Put the surprise or obstacle in perspective to the work

- *What strategies could you employ to close gaps between plans and reality?*
  Be part of the implementation

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			Actively participate in discussions during planning		
4	Coping & Adapting		**Show PPT#11**: Coping and Adapting	**PPT#11:**	30 mins
			Explain: Coping and Adapting to Complexity		
			• Working faster is not always better. Taking the necessary time to locate information and execute tasks is important. Acting too hastily can cause more problems in many instances.		
		Note: Policies for the department are written for general organizational guidelines and have to be translated to the practices in the workplace.	• Maintaining quality is important. However, quality does sometimes cost more.		
			• Being more efficient can cause gaps in the system or organization.		
			• Performing "to standard" may not be appropriate in some situations so you adapt		
			• Just because something is on time does not mean it is complete.		
			Activity: Post Order Shakedown – USE IA#1 to work through this activity	**IA#1: Post Order Shake Down**	
			• Put staff into groups and review the purpose of the shakedown.		
			• Hand out **SH#1: DOC Policy 890.000 Safety Program**	**SH#1: DOC Policy 890.000 Safety Program**	
			• Use the following questions to help the groups go through the policy and think about how policies affect the work.		
			Activity Questions **Display PPT#12:** Post Order Shake Down	**PPT#12:**	
			• *What is the intent of the policy? Are we accomplishing it?*		

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			• *How has this impacted other aspects of operations?* • *Does this duplicate work?* • *How does the practice differ by area and why?* • *Can we reconcile the differences to arrive at a "best practice" for this team?* What have we learned?	Post Order Shake Down slide	
	BREAK				5 - 10 min
5	**Documentation**	**Lesson Objective #3** **Note:** Data trails and paperwork are required to document what is going on in the facility/workplace. The process of following the outlined documentation requirements ultimately contributes to the safety of the agency. Connect the daily work to documentation to help staff understand the importance of safety in documentation. Documentation allows for staff to provide communication that tells the story of the facility and helps staff move from shift to shift with awareness and security mindset to enhance staff safety and facility safety.	**Show PPT#13**: Documentation **Explain: Documentation** Core work of corrections is securing and monitoring inherently volatile populations who do not want to be there – documentation, translated properly and given to the correct people, can be a powerful tool to assist in staff safety within our facilities. *What could be Documentation? (Chart answers)* • Daily logs • Observations • Missing Tools • Contraband Located • Inmate Behavior • Suicidal We use documentation to communicate critical information to staff on other shifts. It is a way to "talk to" people we don't otherwise have access to. It is a way for all staff in an area to work together and to pass information "up" the chain so that staff in other areas benefit as well (see page 137).	**PPT#13:** DOCUMENTATION slide	40 min

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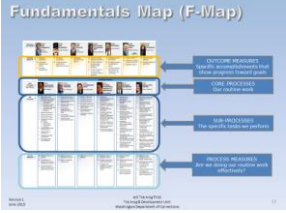
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Daily logs and observations on current behaviors and daily happenings contribute to the critical information needed to safely operate on a day to day basis.

Each document takes time to write which competes with the daily tasks and then can result in documentation that can be lacking in quality and/or details in the documentation.

In turn, it also takes time to review and read documentation so the reports that are available are not always reviewed thoroughly based on time constraints.

Discuss: What is the point and importance of documenting in corrections? (Chart answers)

- Information Sharing – sharing between shifts, areas and levels of management helps to inform facility of the happenings and temperature of the facility.

- Record of Incidents – when things happen in the facility keeping a record can support changes that may need to occur, patterns that may be developing.

- Warnings – identifying and sharing information at the warning level helps the facility to identify and correct problem/issues before they may have a bigger impact.

- Right Information to the right people – by ensuring that information is going to the right people we are communicating.

- Anticipation to the facility & safety needs – documentation provides a record of the facility and helps staff see the bigger picture and in turn solve problems at the lowest level making sure the facility is safe and operating in the most efficient way possible.

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Information Transfer: Information may be relevant and available however, if there is not a vested interest or if the information is not sought out then information is not used.

Knowledge Management: How to manage, distribute, interpret, and archive information both for individual staff and facilities as a whole.

Right Information to the right place: It is important to identify who should get what information – if you are sharing information with someone that it does not mean anything to the information is lost.

Time: Time will always be a barrier. With the daily duties and tasks that need to be completed we need to ensure that we respect the time each staff have and make sure the information we are sharing is purposeful and applicable to the information at hand.

Explain & Ask for examples: What can be the barriers? Have students identify each area. (Chart answers)

- Information transfer
- Knowledge management
- Right information to the right place
- Time

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| | | Small Changes Activity Purpose:

This activity helps staff connect the dots for what changes they can make and have control over, and how the small changes at an individual/team level can affect the broader organizational level.

Documentation is a small change to show what staff have control over. | **Activity: Small Changes**
Use SH#2 and IA#2 to conduct this activity
Follow IA2 for this activity **(Chart answers)**

Activity Debrief:

• *What could we do in our facilities?*
• Considerations of additional actions within span of control.
• *Who needs to know and why?*

Explain: Treat successes as failures
Looking at small changes we can make we can continually grow and look at the analysis of the small changes and successes we make.

• Look for near misses – "If it hadn't been for……"
• Analyze near misses – pay closer attention to discuss what could have happened and what we could do differently.
• Track Small Failures – shows possible patterns that could add up
• Practices – Being active in your facility for you, the facility and your co-workers.

Ask: *What type of small successes have you seen around your facility? Think about it in the context of using documentation as a communication tool.*

Highlight the importance of small wins, safety does not depend on major changes taking place. | **IA#2: Small Changes Activity**

SH#2:Small Change Student work | |
| | **BREAK** | | | | 5 - 10 min |

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| 6 | Standardization and Alignment | **Lesson Objective#4**

Note:
Standardization is a way of clarifying the boundaries for a job. No job can be completely and accurately specified but places and practices are dynamic and localized.

Red Flag:
These discussions may become passionate due to the nature of talking about different job classes and duties. Remember to work with the group and explain the differences also bring us together and help us become a safer agency.

Situational Variables:
Each situation has similarities that help us define the policy and boundaries but each situation also has its own set of identifying factors or variables. By standardizing work we define the similarities but we still need to account for the individual situations that arise. | **Explain: Standardization**
Standardization is the condition in which a process or object is used consistently throughout an organization or system.

• In corrections standardization must be an organizational decision to pass on successfully throughout our facilities and job classes.

• By having a standard established, the daily work within our organization helps eliminate human errors and establish procedures that ultimately help to keep our facilities and staff safe.

Discussion: *What type of standard procedures do you follow in your daily work?* (**Chart Answers)**

Look for and help guide discussion:
• Standardize operating procedure across job classes.
• Integrating procedures and cross checks.
• Log checklists.
• Checklist that are meaningful.
• What protocol says to do.

Explain:
"Standardization is a way of clarifying the boundaries for a job. These are boundaries within which there must be latitude for situational variables." p. 156-157

Activity: Standardizing Work Processes
1. Use the list from the previous discussion (Standard processes) regarding daily work standard processes. | | 25 mins |

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Note:
Standardization leads to alignment across the job functions of the agency. We can look at post orders and identify gaps to look at what we can do as individuals and an agency to align with our procedures and practices.

2. Identify standard processes from the group discussion.
3. Have each group take a task or two dependent on how big the list is.
4. In each group:
   - Identify how the standard applies to different job classes.
   - Determine what barriers there could be to the standards.

Discussion: Alignment
- While debriefing the group work, highlight alignments in the standards across job classes.

- Point out the contributions of each job class and how each correlates to the overall alignment of standards and the agency mission and goals.

Explain:
Team Responsibility
The base of team responsibility starts with personal accountability. Each team member has to be accountable for themselves and accountable to the team. By holding each other and ourselves accountable we build a foundation for the team to be accountable as a group.

How do we as an agency promote team responsibility?

- Safety Forums
- Safety Musters

How can we do things better?

- Practice how to back up one another

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				PPT	
			• Designate staff to communicate to make sure that communication happens • Review with staff what needs to be done		
7	**Fundamentals Map**	**Note:** The Fundamentals Map (i.e., F-Map) connects everyone's daily work to DOC's five key goals. • The F-Map links our key goals to the strategies and processes that will achieve the Department's desired outcomes. • It is a document that identifies who in leadership is responsible for each core process. The process within the F-Map are how local supervisors can connect staff work to the core processes of DOC.	**Discussion: Fundamentals Map** The Fundamentals Map is a structure for DOC to do business and connect the different organizational goals through a structured process that keeps the goals connected and visible throughout the agency. The Fundamental Map connects drives practices, policies, procedures throughout the agency and in turn can affect the processes we follow for safety within our agency. **Activity: F-Map** **Show PPT#14:** Fundamentals Map If we are doing our routine work well, it should all lead to positively impacting offenders. 1. Hand out the F-Map **See Special Instructions 2. Introduce the class to the F-Map (what is it and what function does it serve). Have staff discuss in table groups then report out to the class: • What area(s) do you see your position affecting. What kinds of things can we do to support the F-Map?	**PPT#14:** **SH#3: F-Map** ** Special Instructions – The F-Map is required to be printed directly from the website for use in the classroom. Please go to: **iDoc→Agency→Operations→Results DOC→Fundamentals Map** to print the handout prior to class	15mins
8	**Summary**		**Discussion: Summary** **Show PPT#14**: Summary Thinking back to what we talked about today:	**PPT#14:**	10 min

| | | | • *How does organizational complexity impact your jobs and duties?*

 When you return to your job duties, keep safety in the front of your mind.

 Ask yourself these questions:

 • *What can you do to address organizational gaps?*

 • *How will you respond and cope with complexity?*

 • *What will you do to increase prison safety?*

 We will continue reviewing these types of issues during the annual in-service prison safety series each year.

 However, please continue having these discussions on a daily basis with each other.

 • Let someone know when you feel uncomfortable or unsafe.

 • If you notice gaps, implement strategies to address them.

 • Continue open/honest discussion during your Place Safety Musters.

 • Report safety/security concerns. | Summary
 ➢ Consider the ways in which complexity influences goals and safety.
 ➢ Be sure to identify solutions for minimizing risk caused by gaps.
 ➢ Be aware of the importance of documentation.
 ➢ As you perform your duties, connect with the mission and values of the DOC. | |
| **9** | **Evaluation** | Collect the forms from the debrief and give to local FPC. | **Handout Class Evaluation Form and Explain:**

 Your input is valued, please take some time to give us your feedback. | **Class Evaluation Form** | 5 mins |

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Appendix D

Fiscal Year 2016 Annual Agency Training Plan

Annual In-Service Training – FY16

Training and Development Unit

Learning   Performance   A better place to work   A better place to live

Overview

Annual In-Service (AIS) training encompasses a broad range of training topics designed to meet statutory, accreditation, and other departmental requirements. It also exists to provide staff specialized training opportunities designed to enhance existing skills, instill new skills/knowledge, and foster continuing professional development. The goal for this training is to meet the requirements, while creating a meaningful learning experience for staff through knowledge or skill acquisition that helps them better perform their jobs.

This document outlines the mandatory requirements and the AIS based training prioritized for FY 2016 business needs.

Annual In-Service Requirements FY16

The following are the requirements for each staff as indicated by the Organizational/Division Unit and position.

COS/AOD/HQ/CI-HQ/ISRB

AUDIENCE	Course	Hours To Complete	Frequency Required	Format	
				Classroom	On-Line
All staff	DOC Infectious Disease Control FY16	.5	Yearly		X
	WA-State Sexual Harassment	1.5	Every 3 years		X
	WA-State IT Security Awareness Training – Initial Training	<.5	Yearly		X
	DOC Fire Extinguisher FY16	.5	Yearly		X
	DOC PREA Annual FY16	.5	Yearly		X
	DOC Outdoor Heat Exposure FY16	<.5	Yearly		X
	DOC Slip, Trip, and Fall FY16	.5	Yearly		X
	DOC Results DOC & Fundamentals Map FY16	.5	FY 16		X
	DOC Suicide Prevention FY16	2	Yearly	X	
	DOC Emergency Management System HQ FY16	2	Yearly	X	
Health Services	DOC PREA for Health Services Online FY16	.5	Yearly		X

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Community Corrections Division

Audience	Course	Hours To Complete	Frequency Required	Format Classroom	Format On-Line
	DOC Infectious Disease Control FY16	.5	Yearly		X
	WA-State Sexual Harassment	1.5	Every 3 years		X
	WA-State IT Security Awareness Training – Initial Training	<.5	Yearly		X
	DOC Fire Extinguisher FY16	.5	Yearly		X
	DOC PREA Annual FY16	.5	Yearly		X
	DOC Outdoor Heat Exposure FY16	<.5	Yearly		X
	DOC Slip, Trip, and Fall FY16	.5	Yearly		X
	DOC Results DOC & Fundamentals Map FY16	.5	FY 16		X
	DOC Suicide Prevention FY16	2	Yearly	X	
	DOC Emergency Management System CCD FY16	8	Yearly	X	
CO, CCO, CCS, Armed FA & Specialist	DOC Control Impedance Tactics/OC FY16	8	2x yearly	X	
Armed Staff	DOC Firearms Qualification FY16	8	2x yearly	X	
Taser Carrying Staff	DOC EID XP26 TASER	6 (time estimated)	Yearly	X	

Prison Division/Staff Working in a Prison

Audience	Course	Hours To Complete	Frequency Required	Format	
				Classroom	On-Line
All Staff	DOC Infectious Disease Control FY16	.5	Yearly		X
	WA-State Sexual Harassment	1.5	Every 3 years		X
	WA-State IT Security Awareness Training – Initial Training	<.5	Yearly		X
	DOC Fire Extinguisher FY16	.5	Yearly		X
	DOC PREA Annual FY16	.5	Yearly		X
	DOC Outdoor Heat Exposure FY16	<.5	Yearly		X
	DOC Slip, Trip, and Fall FY16	.5	Yearly		X
	DOC Results DOC & Fundamentals Map FY16	.5	FY 16		X
	DOC Suicide Prevention FY16	2	Yearly	X	
	DOC Emergency Management System FY16	3	Yearly	X	
	DOC Prison Safety FY16	3	Yearly	X	
Health Services	DOC PREA for Health Services Online FY16	.5	Yearly		X
Custody	DOC Control Impedance Tactics/OC FY16	16	Yearly	X	
	DOC Firearms Qualification FY16	8	Yearly	X	
Transport Staff	DOC EID XP26 TASER	4-6 estimate	Yearly	X	

SERT, ERT, and IRT Members: have additional requirements added to the above courses