DEPARTMENT OF CORRECTIONS

Policy Number:	**301.140**
Title:	**Emergency Management and Continuity**
Effective Date:	**9/18/25**

PURPOSE: The Minnesota Department of Corrections (DOC or agency) is committed to providing a safe and resilient workforce by equipping staff with the knowledge, skills, and tools necessary to prevent, mitigate, prepare for, respond to, and recover appropriately from an emergency. To provide standard operating procedures for use during all emergencies, non-routine incidents, and continuity of time-sensitive business operations in the event of disruption of services. To effectively control risk and provide resiliency for the agency.

APPLICABILITY: Agency-wide;

DEFINITIONS:

Agency Duty Officer – designated staff assigned to receive a request for assistance at an expanding incident to activate additional resources to support the incident command post.

Agency Emergency Operations Center (EOC) – also referred to as "Area Command." This is a central command for coordinating emergency response, management, and preparedness functions. The Agency EOC is where executive leadership, decision makers, and others as needed provide support for incident command post functions and expanding needs.

Command Post – The location from which the incident commander oversees all incident operations. Incident command, finance, logistics, operations, and planning are the sections that are set up at this location during incident operations.

Continuity of operations plan–a documented strategy that outlines how DOC addresses continuation of critical priority services after a disruption of normal activities.

Emergencies – sudden or unexpected events that impact life, safety, health, or work environment. Emergencies require subsequent actions to protect or provide information to impacted persons.

Emergency Operations Plan – a document that outlines the actions to be taken in the event of an emergency.

Emergency response team (ERT) – a multi-discipline, approved, and highly trained team activated under an expanded incident command system (ICS). This team is a combination of department-trained members from the following disciplines: crisis negotiations team, marksman observers, special operations group, canine team, special operation response team and other resources.

Incident Management Team (IMT) – a team with advanced training in incident management. This team is capable of supporting and assisting in the management of manmade emergencies, disasters, and acts of terrorism, as well as of large-scale pre-planned agency events.

Officer of the Day (OD) – staff person designated by the warden/superintendent or the field services district supervisor to assist with, advise on and address incidents.

PROCEDURES:

A. System/Framework

1. The Minnesota Department of Corrections (DOC) uses the incident command system (ICS) any incident in a facility to activate a response.

2. ICS is a component of the National Incident Management System (NIMS). DOC staff use this system along with mutual aid agreements in the management of incidents that occur outside normal operations.

3. The DOC uses and maintains the Emergency Operations Plan that is the framework for response and recovery using the ICS for expanded emergencies. An incident may start small and then expand. As the incident grows in scope and its complexity increases, there may be a need to activate the incident management team (IMT) and/or the emergency response team (ERT), or other resources to maintain an appropriate span of control.

4. The DOC may activate continuity of operations plans if the agency's services are interrupted by an incident with the potential for a loss of location, a disruption with vendors, the loss of information technology, or a loss of staffing (for example, a pandemic).

5. Business unit continuity plans, containing timelines, team membership, and recovery strategies, are maintained as separate documents accessible to specifically-designated employees and is not accessible to the public as it is considered security information as defined in Minn. Stat. § 13.37.

6. No less than annually, and upon notification by the agency business continuity coordinator, each business unit must review their Business Impact Analysis (BIA) and Business Unit Continuity Plan.

7. The DOC agency business continuity coordinator must ensure any revisions to continuity plans are reviewed and approved by the appropriate plan owner(s) and agency executive.

8. Each business unit must maintain two system administrators to maintain the plans in the continuity software.

9. DOC leadership designates a staff member as the agency's emergency preparedness response contact/coordinator for the agency. That coordinator serves as the point of contact for the Minnesota Department of Public Safety Division of Homeland Security and Emergency Management (HSEM) and other agencies about emergency preparedness and response issues and represents the agency on the Minnesota

Emergency Preparedness and Response Committee (EPRC) in accordance with Executive Order 24-01.

10. The DOC carries out the general emergency preparedness, planning, response, recovery, hazard mitigation, continuity of operations, and service continuation responsibilities described in Executive Order 23-13 and the Minnesota Emergency Operations Plan (MEOP).

11. The DOC provides support in response to a statewide emergency in accordance with the MEOP by fulfilling security functions to support the state's incident management, search and rescue, evacuation, traffic control, and other security. The DOC provides transportation assets and material handling equipment, if necessary. The DOC supports resource management functions to include providing storage facilities, if needed and available.

12. The DOC may deploy the agency's IMT in support of a statewide emergency, by request of the HSEM division of the governor's office.

B. Roles and Responsibilities

1. The commissioner designates the agency duty officers who are responsible for the DOC's ICS and business continuity functions:
   a) Agency emergency manager;

   b) Business continuity and risk management; and

   c) Emergency operations.

2. DOC staff have a responsibility to perform work as assigned during emergency situations. Staff are not required to carry out responsibilities for which they are untrained or unqualified, or assignments that put them into immediate danger of serious injury or death. Staff may, however, be asked to perform duties other than their normal job responsibilities during an emergency.

3. DOC leadership designates an emergency operations coordinator to coordinate the development and maintenance of the agency-specific Emergency Operations Plan (EOP).

4. DOC leadership designates a continuity coordinator to coordinate the development of agency-specific continuity plans and support of the Continuity of Government in accordance with the Governor's Executive Order 24-01.

5. Each facility's leadership and central office leadership must assign a captain/designee who is responsible for ICS coordination at their location. Each captain/designee is supported by an assigned ICS coordinator who ensures the development and consistency of the ICS structure and how it is applied and practiced by all staff.

6. Each facility's warden is responsible to ensure the facility's ICS readiness is maintained in accordance with this policy.

7. Captains/designees are responsible for maintaining the facilities' command posts with essential equipment and documents pertaining to emergency response.

8. Each DOC business unit maintains the necessary business continuity plans to be used in the event of a disruption in services.

C. Notification and Activation

1. For emergencies, DOC must use the state enterprise continuity management software and employee mass notification software in accordance with Executive Order 24-01 and Minnesota Management and Budget (MMB).

2. In emergencies, DOC must be prepared to respond quickly and develop notification procedures for responding to incidents that impact staff, facilities, and the incarcerated population.

3. The warden/officer of the day (OD) must report emergencies that may require expansion of the ICS structure, ERT activations, or IMT activation to the agency duty officer.

4. Staff must report information technology (IT) interruptions to the MNIT Service Desk.

5. All incidents that rise to the level of command post activation must be reported to the agency duty officer.

6. Activation of the business unit continuity plan(s) in conjunction with the ICS must be considered for any incident that may disrupt the facility's/facilities' ability to continue normal operation.

7. Staff from the emergency operations center, which may include the agency's IMT, may respond with guidance, advice, or to provide support services while maintaining communications with the incident command post.

D. Inter-Agency Assistance and Mutual Aid

1. All requests for inter-agency assistance from ERTs, including: marksman observer (MO) team, crisis negotiation team (CNT), canine (K-9) team, special operations group (SOG), IMT, or another facility's special operations response team (SORT), must be made directly to the agency duty officer.

2. Assistance from the Minnesota Bureau of Criminal Apprehension (BCA), Minnesota National Guard, or other state agencies must be requested through agency duty officer/emergency operation center.

3. Each captain/designee must maintain a list of local support agencies, the primary contact person, and contact numbers. Central office maintains all mutual aid agreements. Mutual aid agreements include such examples as:
   a) Law enforcement;

   b) Fire department;

   c) Emergency medical services;

   d) Emergency management center (local);

   e) Bomb disposal unit;

   f) Hazmat response unit; and

   g) Other federal, state, or local support agencies.

4. Each captain/designee must maintain a list of local stakeholders who may need notification during an incident at a facility, including such examples as:
   a) Schools;

   b) Neighbors;

   c) Hospitals;

   d) Local businesses; and/or

   e) Utility companies.

5. All facilities must have a trained public information officer (PIO) for incidents and to be available for the MCF's command post. The MCF PIO must notify and consult with the agency PIO during the incident.

E. Debriefing:
1. After a serious incident, the incident commander and the emergency operations coordinator must convene and facilitate a debriefing to review and analyze the response of staff, and correct deficiencies/improve responses to similar situations in the future.

2. After a serious incident, the emergency operations coordinator/designee must convene and facilitate a tactical response debriefing to review the response of the ERTs.

3. The person facilitating the debriefing must document date/time, and attendance, and summarize recommendations for improvements.

4. For more information on incident debriefings, see also Policy 103.090, “Critical Incident Stress Management.”

F. Training and Exercise

1. Training successful integration of ICS and continuity into daily operations must be reinforced by training exercises.

2. An exercise is a staged incident in which staff respond with planning, directing and communicating, as if the incident were actually occurring.

3. The purpose of exercises is to provide training and positive reinforcement of ICS and continuity strategies, principles, and practices.

4. At least annually, each site must review or “tabletop” a continuity event to test the team’s ability to recover the service(s).

5. The agency conducts at least one large-scale multi-agency ICS exercise every three years.

6. The agency will conduct response trainings and exercises at MN Correctional Facilities whenever feasible and practical to create a comprehensive and reality-based experience.

7. The agency emergency operations coordinator and the business continuity coordinator must maintain a shared Intranet site which makes exercise information available to others, as appropriate.

8. The agency main functions responsible for the Incident Command System and Business Continuity will determine the training curriculum for all staff and approve any specialty training for ERT.

9. At least one DOC staff person must complete and maintain the Continuity Professional Certification in compliance with Executive Order 24-01.

10. At least one DOC staff person must complete the emergency management training curriculum as determined by HSEM in accordance with Executive Order 23-13.

11. After-Action Report and Improvement Plan

a) Upon the conclusion of any exercise or expanded incident, debriefings must be conducted with all involved staff to prepare an After-Action Report and Improvement Plan (AAR/IP).

b) Reports must be reviewed by the team members involved with planning for the exercise.

c) The AAR/IP will be shared with the appropriate executive team and Agency leaders.

d) The Plans must be revised when necessary.

G. Work and Leave During an Emergency

1. During an emergency, Minnesota Management and Budget (MMB) HR/LR Policy #1437, as well as applicable bargaining unit and/or current policy language, must govern work provisions and/or leaves during an emergency, including recall of staff on vacations.

2. In circumstances where cancellation or recall cannot be avoided, applicable bargaining unit and/or current policy language may apply.

INTERNAL CONTROLS:

A. All documentation pertaining to emergency response and continuity must be retained by the emergency preparedness unit according to the appropriate retention schedule.

B. Other documentation, including ICS forms, are attached to incident reports at the conclusion of all incidents, and retained at the facility according to retention schedules.

REFERENCES: Minn. Stat. §§ 13.37 and 43A.04, Subd. 4
Governor of Minnesota, Executive Order 23-13, "Updating Emergency Responsibilities Assigned to State Agencies," October 2023, and Executive Order 24-01, "Directing the Development and Maintenance of the Minnesota Continuity of Government Plan and Agency Continuity of Operations Plans," January 2024
Minnesota Emergency Operations Plan (MEOP)
MMB HR/LR Policy #1437, "Emergency Closure of State Agency Facilities"
MMB HR/LR Memo #2019-1, "Emergency Closure of State Agency Facilities – FAQ"
State of Minnesota Bargaining Agreements and Plans
Policy 300.036, "Emergency Assistance Non-State Systems"
Policy 101.310, "Media Contacts"
Policy 300.300, "Incident Reports"
Policy 301.079, "Juvenile Restrictive Procedures"
Policy 301.081, "Response to Resistance, Restraint Systems, and Escape"
Policy 102.010, "Quarterly Reports"
Policy 103.090, "Critical Incident Stress Management"
Policy 500.012, "Offender Emergency Health Care"
Policy 500.015, "Employee and Visitor Emergency Health Care"
Federal Emergency Management Agency (FEMA) National Incident Management System (NIMS) at http://www.fema.gov/

REPLACES: Policy 301.140, "Incident Command System," 18/6/19; Policy 105.012, "Continuity of Operations," 3/17/20; and Policy 301.160, "Emergency Plans," 7/17/18.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: None

APPROVALS:
Commissioner of Corrections