

**Cabinet and Governor Appointed Agencies' Performance Audit Action Item(s) & Status****Improving Staff Safety in Washington's Prisons**

(See also [cabinet agency response](#) for full context to Washington State Auditor's Office (SAO) [report](#), March 2016)

The Department of Corrections (DOC) was audited for this performance audit.

SAO Conclusion: The department's staff safety initiatives are innovative and unique.

SAO Issues Summary:

1. Staff feedback points to need to improve communication.
2. There are opportunities to improve implementation of staff safety initiatives.
3. Gaps exist between correctional leading practices and those used by the department.
4. The department needs more specific performance goals and measures to improve the effectiveness of its staff safety initiatives.

SAO Recommendations (Rec) Summary:

1. Address the issues with implementation of the staff safety initiatives the SAO's experts identified, including clarifying policies and procedures related to staff accountability, radios for non-custody staff, duress alarm testing, cameras, security specialists, place safety musters, and the local security advisory committees.
2. Address the gaps identified by our experts between the department's safety related policies, procedures and practices and correctional leading practices. Specifically:
  - a. Develop policies, procedures and practices to conduct staff searches
  - b. Evaluate and update the staffing model to ensure staffing levels are adequate and appropriately utilized to meet all the requirements placed on staff
  - c. Develop a more focused approach to monitor and audit the implementation of the staff safety initiatives to provide feedback on how well staff understand and are following relevant policies and procedures
  - d. Evaluate whether making further changes to department policies, procedures and practices to address additional identified gaps would be beneficial, including cell searches, issues with visibility, searching people entering facilities and access to facility control centers
3. Enhance approach to assessing the effectiveness of staff safety initiatives and implementation to provide additional opportunities for improvement. To do so:
  - a. Develop specific performance goals and measure progress toward meeting those goals.
  - b. Conduct periodic, anonymous staff surveys and focus groups to gather staff input on the effectiveness of the safety initiatives and whether they have improved how safe staff feel.
4. Improve staff communication about safety issues. To do so:
  - a. Provide additional guidance and training to facilitators to improve the effectiveness of the place safety musters, and local and statewide safety advisory committees.
  - b. Evaluate whether the benefit of re-establishing shift musters, which allow staff the opportunity to communicate about potential safety concerns before beginning their shift, outweigh the additional staff time and expense it would incur.
  - c. Provide more specific guidance for the role of security specialist to ensure good communication occurs on staff safety issues at the facilities, including ensuring staff receive feedback on the status of their staff safety suggestions.

The table below shows the current status of action items the agency initiated to address issues identified in the performance audit report. Please see the [cabinet agency response](#) for additional context and any additional steps already taken.

For an explanation of the columns below, [see the legend](#).

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
Rec 1	In progress	Conduct a focused review of policies pertaining to the specific security issues (staff accountability, *radios for non-custody staff, duress alarm testing, duties of security specialists, place safety musters and local security advisory committees in advance of regularly scheduled policy review periods, and clarify policy expectations as needed	DOC	7/16 12/17	*N = Radios for non-custody staff	*Y = Radios for non-custody	N	<ul style="list-style-type: none"> <li>DOC 420.160 Staff Accountability is currently in review. A focus group was conducted to gather feedback and recommended changes.-Adoption of the updated policy delayed pending results of the Facility Access and Control Tracking (FACT) pilot, currently looking to expand this program to all facilities in Washington State dependent on funding and IT support.</li> <li>Review of duress alarm procedures completed June 13, 2017. Alarms work and testing has been incorporated into pre-scheduled drills.</li> <li>*Funds for radio purchase were requested in the 2017-19 budget request to OFM but was not funded. This request will be resubmitted in the 2019-2021 operating budget request. Some radios for non-custody staff were purchased out of operating funds in some locations even under budgetary constrictions however. Updates to radio policy pending</li> </ul>
	Completed							
	Deferred							

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
	Completed							<p>purchase of additional radios for non-custody staff.</p> <ul style="list-style-type: none"> <li>Place Safety Muster original implementation occurred in 2011 with a matured version implemented in 2012. Place Safety Muster 2.0 training is being implemented. Implementation includes a place holder in Supervision and Leadership (July of 2018) for New supervisors and a SharePoint Library (made live 7.6.18) for new and seasoned Supervisors.</li> <li>Expanded the availability of OC spray to certain non-custody staff who volunteer and qualify to receive additional training.</li> </ul>
Rec 1	In Progress	Ensure inclusion of these specific security issues in its regular auditing process to ensure consistency in application and practice	DOC	7/18	Y	N	N	<ul style="list-style-type: none"> <li>Inclusion of security issues noted in SAO report incorporated into audit cycle in the 2017-18 cycle and will continue in subsequent cycles. This recommendation is ongoing due to the need to conduct multiple audit cycles to complete all facilities.</li> <li>Facilities will be reviewed in the 2018-2019 audit period for assessment of improvements made in the 2017-2018 time period.</li> </ul>
Rec 2	Completed	Evaluate the need to expand the random search procedures conducted at some high	DOC	12/16 9/17	Y	N	N	<ul style="list-style-type: none"> <li>A process to search all employees, volunteers and contractors was implemented December 1, 2016 in all major facilities. All MI2 facilities</li> </ul>

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	In Progress	security prisons to other facilities						<p>implemented searches of employees in the 2017/2018 fiscal calendar.</p> <ul style="list-style-type: none"> <li>Allowable Items and Employee Searches Policy was submitted to the policy office January 2017 but this will need to publish simultaneously along with Control Center Policy and Searches of Facilities Policy as they work together to provide direction.</li> </ul>
Rec 2	Completed  In Progress	Submit a decision package to OFM for funding of an external evaluation of its custody staffing model	DOC	9/16	N	Y	Y	<ul style="list-style-type: none"> <li>The request was advanced to OFM for consideration in the 17-19 budget cycle and funding was provided for FY 2019.</li> <li>A request for proposal is out for the prisons staffing model. Estimated performance period for the review is October 1, 2018 through April 1, 2019. The custody portion of the review is to be completed by February 1, 2019.</li> </ul>
Rec 2	In Progress	Ensure inclusion of the specific security items (cell searches, issues with visibility) in their regular auditing process to ensure consistency in application and practice	DOC	7/18	Y	N	N	<ul style="list-style-type: none"> <li>Inclusion of security issues noted in SAO report incorporated into audit cycle in the 2017-18 cycle and will continue in subsequent cycles.</li> <li>This recommendation is ongoing due to the need to conduct multiple audit cycles to complete all facilities.</li> <li>Facilities will be reviewed in the 2018-2019 audit period for assessment of improvements made in the 2017-2018 time period.</li> </ul>



Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
								and was submitted to the policy August 2016. but will need to publish simultaneously along with Allowable Items and Staff Searches Policy and Searches of Facilities Policy as they work together to provide direction.
Rec 3	Completed	Explore additional performance measures specific to the staff safety initiatives for inclusion in its performance measurement system.	DOC	On Going	Y	N	N	<ul style="list-style-type: none"> <li>• Performance measures specific to staff safety are monitored through Results DOC in alignment with Results Washington, and include a goal council for Safer Operations.</li> <li>• Continual improvement efforts are ongoing as agency key goals and outcomes are measured.</li> <li>• Increasing granular, facility specific measurements are being used to engage and inform Appointing Authorities in meeting safety goals.</li> </ul>
Rec 3	Completed	Explore opportunities to use results from the staff safety questions in the annual employee survey to enhance the staff safety initiatives.	DOC	On going	Y	N	N	<ul style="list-style-type: none"> <li>• Employees are engaged annually with specific questions about staff safety and continuous communication occurs through security bulletins and alerts and training to educate staff of potential situations that may impact staff safety or facility security.</li> <li>• Annual in-service prison safety curriculum was revised for the FY2018/19 training cycle adding curriculum of 3 hours to address security issues and associated routines that enhance staff safety and facility security. Annual in-service</li> </ul>

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								prison safety training curriculum is informed by critical incident events and security lapses experienced in the prisons division the year prior.
Rec 4	Completed Completed  Completed  Completed  Completed	Explore ways to improve communication structures such as place safety musters, as well as local and statewide security advisory committees.	DOC	On going	Y	N	N	<ul style="list-style-type: none"> <li>Facilitate work groups to inform training and policy changes.</li> <li>Included place safety muster facilitator training in supervision and leadership class (required for all new prison supervisors) as of July 2018.</li> <li>Developed job aides to assist with facilitating prison safety conversations.</li> <li>Implemented conference calls and quarterly meetings with Security Specialists to share best practices and lessons learned.</li> <li>Added automatic updates to security suggestions. Strengthened expectations of face to face interaction for Local Security Advisory Committee communication with employees who submit suggestions ensuring staff receive status updates pertaining to their security concern.</li> <li>Develop real-time Security Alerts and Bulletins that enhance workplace security and mitigate risk.</li> </ul>
Rec 4	Completed	Conduct a fiscal analysis of the costs associated with re-establishing shift musters	DOC	5/16	N	Y	Y	<ul style="list-style-type: none"> <li>Analysis of costs were conducted, and financial impacts were approximately \$8.5 million per fiscal year and over \$17 million biennially.</li> </ul>

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								<ul style="list-style-type: none"> <li>The request was advanced to OFM for consideration in the 17-19 budget cycle but was not funded.</li> </ul>
Rec 4	Completed	Re-affirm the role of the security specialist in alignment with the position description and related policies	DOC	12/16	Y	N	N	<ul style="list-style-type: none"> <li>Position descriptions and associated duties of Security Specialists were completed and were reaffirmed through conversations with Captains and Superintendents, September 2016.</li> </ul>