

LOS ANGELES COUNTY SHERIFF'S DEPARTMENT



INMATE SAFETY CHECK AUDIT  
CUSTODY SERVICES DIVISION –  
SPECIALIZED PROGRAMS  
TWIN TOWERS CORRECTIONAL FACILITY  
No. 2018-3-A

JIM McDONNELL  
SHERIFF

March 27, 2018

**LOS ANGELES COUNTY SHERIFF'S DEPARTMENT**  
**Audit and Accountability Bureau**

**INMATE SAFETY CHECK AUDIT – TWIN TOWERS CORRECTIONAL FACILITY**  
**Project No. 2018-3-A**  
**AUDIT REPORT**

**PURPOSE**

The Audit and Accountability Bureau (AAB) conducted the Inmate Safety Check Audit – Twin Towers Correctional Facility (TTCF), under the authority of the Sheriff of Los Angeles County. The audit was performed to determine how the Los Angeles County Sheriff's Department (Department) TTCF adhered to the California Code of Regulations, Title 15 (Title 15),<sup>1</sup> which is enforced by the Board of State and Community Corrections (BSCC), the Department's Custody Division Manual (CDM), and the inmate safety check compliance measures of the United States Department of Justice Settlement Agreement (Agreement).<sup>2</sup>

The AAB conducted this performance audit under the guidance of Generally Accepted Government Auditing Standards.<sup>3</sup> The AAB determined the evidence obtained was sufficient and appropriate to provide a reasonable basis for the findings and conclusions based on the audit objectives.

**BACKGROUND**

The Department's Custody Division Mission Statement states, "It is the mission of the Custody Division to serve the best interest of Los Angeles County by providing a secure, safe, and constitutionally managed jail environment for both staff and inmates."<sup>4</sup> A component of ensuring inmates' safety and welfare is the inmate safety check. According to the CDM, inmate safety checks consist of looking at the inmates for signs of life (e.g. breathing, talking, movement, etc.) and obvious signs of distress (e.g. bleeding, trauma, visible injury, choking, difficulty breathing, discomfort, etc.).<sup>5</sup> These checks must be performed in accordance with Title 15, CDM, and the Agreement.

The Los Angeles County Jail system predominately houses a male inmate population at the TTCF. The TTCF is a Type II facility,<sup>6</sup> consisting of cells and group dormitory type housing. The TTCF is comprised of High Observation Housing (HOH)<sup>7</sup> and Other

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<sup>1</sup> The California Code of Regulations includes Title 15 as one of its 28 titles. It is a codification of the general and permanent rules and regulations announced in the California Regulatory Notice Register by California state agencies, September 2012.

<sup>2</sup> The Department entered into a Joint Settlement Agreement on July 30, 2015, regarding the Los Angeles County Jails and Stipulated Order of Resolution, CV 15-5903.

<sup>3</sup> United States Government Accountability Office – By the Comptroller General of the United States, December 2011, Government Auditing Standards 2011 Revision.

<sup>4</sup> According to the Custody Division Manual, Section 1-00/000.00, Custody Division Mission Statement.

<sup>5</sup> According to the Custody Division Manual, Section 4-11/030.00, Inmate Safety Checks.

<sup>6</sup> California's Board of State and Community Corrections (BSCC) defines a Type II facility as a local detention facility used for the detention of persons pending arraignment, during trial, and upon a sentence of commitment.

<sup>7</sup> Inmates classified as HOH require a high level of observation due to a higher risk of self-harm based on their mental illness.

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Housing.<sup>8</sup> Additionally, TTCF operates an accredited medical facility known as the Correctional Treatment Center (CTC),<sup>9</sup> which houses both male and female inmates who have acute mental health illnesses, as well as moderate observation housing inmates.

Title 15 requires inmate safety checks to be conducted at least hourly through "direct visual observation."<sup>10</sup> The CDM exceeds the Title 15 mandates by requiring Department members to perform safety checks every 15 minutes for those inmates assigned to HOH and every 30 minutes for Other Housing. Furthermore, per Title 15, Section 1005, Other Standards and Requirements, a city or county agency operating a local detention facility is not prohibited from adopting standards and requirements governing its own employees and facilities; provided, such standards and requirements meet or exceed, and do not conflict with these standards and requirements.

The Agreement defines a shared "mutual interest in treating all members of the community with respect, promoting safe and effective custodial care, protecting public safety, and upholding the constitutional rights of prisoners."

Agreement Recommendation No. 57, states:

*Within three months of the Effective Date,<sup>11</sup> The County and the Sheriff will revise and implement their policies on safety checks to ensure a range of supervision for prisoners housed in Mental Health Housing. The County and the Sheriff will ensure that safety checks in Mental Health Housing are completed and documented in accordance with policy and regulatory requirements as set forth below:*

- (a) Custody staff will conduct safety checks in a manner that allows staff to view the prisoner to assure his or her well-being and security. Safety checks involve visual observation and, if necessary to determine the prisoner's well-being, verbal interaction with the prisoner;*
- (b) Custody staff will document their checks in a format that does not have pre-printed times;*
- (c) Custody staff will stagger checks to minimize prisoners' ability to plan around anticipated checks;*

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<sup>8</sup> Other Housing includes: General Population inmates, Inmate Workers and Mental Health Moderate Observation Housing (MOH) inmates require an inmate safety check once every 30 minutes. Inmates classified as MOH require a moderate level of observation due to a lower risk of self-harm based on their mental illness.

<sup>9</sup> The CTC provides in-patient medical, skilled nursing, and psychiatric services to inmates. In October 2005, the State of California, Department of Health Services, issued the Department a full license to operate the CTC.

<sup>10</sup> Title 15 states, "direct visual observation means the direct personal view of the inmate in the context of his/her surroundings without the aid of audio/video equipment. Audio/video monitoring may supplement but not substitute for direct visual observation."

<sup>11</sup> Effective Date is July 1, 2015.

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- (d) *Video surveillance may not be used to replace rounds and supervision by custodial staff unless new construction is built specifically with constant video surveillance enhancements and could only be used to replace 15 minute checks in non-FIP<sup>12</sup> housing, subject to approval by the Monitor;*
- (e) *A QMHP,<sup>13</sup> in coordination with custody (and medical staff if necessary), will determine mental health housing assignments; and*
- (f) *Supervision of prisoners in mental health housing will be conducted at the following intervals:*
  - (i) *FIP: Custody staff will perform safety checks every 15 minutes. DMH<sup>14</sup> staff will perform direct constant observation or one-on-one observation when determined to be clinically appropriate;*
  - (ii) *High Observation Housing: Every 15 minutes;*
  - (iii) *Moderate Observation Housing: Every 30 minutes.*

The Custody Compliance and Sustainability Bureau (CCSB)<sup>15</sup> and the U.S. District Court's appointed monitor (Monitor)<sup>16</sup> for the Agreement inspected and reported that TTCF was in "Partial Compliance" with Agreement Recommendation No. 57.<sup>17</sup>

**PRIOR AUDITS**

This audit was the first Inmate Safety Check Audit at TTCF conducted by the AAB. An Inmate Safety Check audit was conducted at the South Patrol Division (Project No. 2016-11-A) and the audit recommendations are being addressed by South Patrol Division. Additionally, an Inmate Safety Check Audit was conducted at Century Regional Detention Facility (Project No. 2017-3-A) and audit recommendations have been implemented.

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<sup>12</sup> FIP refers to Forensic In-Patient

<sup>13</sup> QMHP refers to Qualified Mental Health Professional.

<sup>14</sup> DMH refers to Department of Mental Health.

<sup>15</sup> The CCSB conducts assessments at each Custody facility to ensure compliance with the provisions of various court actions and adherence to policies and procedures.

<sup>16</sup> The Monitor was appointed by the U.S. District Court to report the Department's compliance with the Agreement to the County, the DOJ, and the Court.

<sup>17</sup> As stated in the United States District Court, Central District of California, Western Division, Monitor's Fourth Report, dated September 1, 2017, Case No. CV 15-5903, TTCF has maintained Partial Compliance. Partial Compliance means that the County and the Sheriff have achieved compliance on some, but not all, of the material components of the relevant provision of this Agreement.

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**METHODOLOGY**

**Scope**

This audit encompassed five main objectives:

- One-hour Jail Inmate Safety Checks – To determine if required inmate safety checks were documented as required by Title 15.
- Inmate Safety Checks – Time Interval – To determine if required inmate safety checks were performed within the allotted time interval, as required by the CDM.
- Shift Floor Sergeant – Unannounced Check – To determine if the Shift Floor Sergeant conducted and documented unannounced checks, and determine if the logs were retained, in accordance with the CDM.
- Shift Watch Commander Weekly Review – To determine if the Watch Commander conducted the weekly review of the Uniform Daily Activity Log (UDAL)<sup>18</sup> in accordance with the CDM.
- Retention of the UDAL – To determine if the UDAL records were retained at the facility for a period of five years, in accordance with the CDM.

The Custody Division Manual mandates that direct visual safety checks must be made for all inmates, housing areas, and vacant cells. Custody personnel document safety checks by using a handheld, wireless, electronic scanner to scan Quick Response Codes (QR barcode) mounted throughout inmate housing areas.<sup>19</sup> The scan points are automatically transmitted to the electronic Uniform Daily Activity Log (e-UDAL).<sup>20</sup> In case of a system failure, the safety checks may also be manually entered into the e-UDAL or the UDAL paper log. Supervisors are required to monitor and document that the safety checks are performed.

**Audit Time Period**

The time period for this audit was December 1, 2017, through December 31, 2017.

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<sup>18</sup> All respective facilities shall maintain sufficient supply of the paper logs (Uniform Daily Activity Log or UDAL) to allow continued documentation in the event there is a system failure.

<sup>19</sup> *Quick Response Code* is the trademark for a type of matrix barcode (or two-dimensional barcode). Barcodes are affixed adjacent to the cell and inmate housing areas. An electronic barcode reader is used by staff to document and record data for inmate safety checks.

<sup>20</sup> The e-UDAL is a web application utilized within Custody Division and all station jails in Patrol Operations for record keeping, inmate tracking, as well as accurate and timely data entry.

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#### **Audit Population**

Auditors were provided a listing of the inmate housing classifications at the TTCF during the audit time period. The list was prepared by the Population Management Bureau (PMB).<sup>21</sup> The PMB list indicated which housing locations were HOH and Other Housing.

For Objectives No. 1 and No. 2, auditors identified 838 HOH scan points requiring 96 scheduled 15 minute checks per scan point, totaling 80,448 safety checks. Additionally, auditors identified 948 Other Housing scan points requiring 48 scheduled 30 minute checks per scan point, totaling 45,504 safety checks. Auditors randomly selected the 24-hour period of December 18, 2017 for evaluation. Auditors evaluated a total sample of 96 HOH inmate safety checks and 96 Other Housing inmate safety checks.<sup>22</sup> Auditors additionally evaluated the total sample to determine if the inmate safety checks were completed within one hour per Title 15 requirements.

For Objective No. 3, auditors identified nine e-UDALs for the HOH locations for all three shifts and all 31 days, for a total of 837 required Shift Floor Sergeant checks. Auditors evaluated all 837 HOH location Shift Floor Sergeant checks. Additionally, auditors identified 16 e-UDALs for the Other Housing locations for all three shifts and all 31 days, for a total of 1,488 required Shift Floor Sergeant checks. Auditors evaluated all 1,488 Other Housing location Shift Floor Sergeant checks.

For Objective No. 4, auditors identified 16 e-UDALs for the HOH locations for all three shifts in four week increments,<sup>23</sup> for a total of 108 HOH Shift Watch Commander weekly reviews. Auditors evaluated all 108 HOH weekly reviews. Additionally, auditors identified 16 e-UDALs for the Other Housing locations for all three shifts in four week increments, for a total of 192 Other Housing weekly reviews. Auditors evaluated all 192 Other Housing weekly reviews.

For Objective No. 5, auditors identified and evaluated nine e-UDALs for HOH and 16 e-UDALs for Other Housing Inmate Safety Check Logs<sup>24</sup> for the required five-year retention period. Auditors selected a random date of December 9, 2017 and evaluated the retention of the e-UDALs preceding December 9, 2017.

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<sup>21</sup> The PMB Classification Unit is the authority regarding housing and classification, and ensures that inmates are classified in a fair and consistent manner.

<sup>22</sup> Using a statistical one-tail test with a 95% confidence level and a 4% error rate, a statistically valid sample was identified.

<sup>23</sup> There were four full weeks for December 2017: December 3, 2017 – December 9, 2017, December 10, 2017 – December 16, 2017, December 17, 2017 – December 23, 2017, December 24, 2017 – December 30, 2017

<sup>24</sup> The Inmate Safety Check Log is the electronic database module under the e-UDAL.

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**SUMMARY OF AUDIT FINDINGS**

The management and staff at TTCF were accommodating and cooperative in providing the necessary information, and in validating the findings.

The TTCF achieved excellent results in the following area:

- Inmate Safety Checks - Title 15 – Mental Health High Observation Housing - One-Hour Safety Checks per Title 15.

The TTCF achieved varied results for the remaining objectives, which did not meet the standard. The results of the audit are summarized in Table No. 1.

**Table No. 1: Summary of Audit Findings**

<b>Objective No.</b>	<b>Audit Objectives</b>	<b>Met the Standard</b>
<b>1</b>	<b>ONE-HOUR JAIL INMATE SAFETY CHECKS PER TITLE 15</b>	
1(a)	<i>Mental Health High Observation Housing - One-Hour Safety Checks</i>	<b>100%</b>
1(b)	<i>Other Housing - One-Hour Safety Checks</i>	<b>94%</b>
<b>2</b>	<b>INMATE SAFETY CHECKS - TIME INTERVAL PER CUSTODY DIVISION MANUAL</b>	
2(a)	<i>Mental Health High Observation Housing - Safety Checks – 15-Minute Time Interval (a minimum of four inmate safety checks were performed per hour)</i>	<b>78%</b>
2(b)	<i>Other Housing - Safety Checks – 30-Minute Time Interval</i>	<b>73%</b>
<b>3</b>	<b>SHIFT FLOOR SERGEANT – UNANNOUNCED CHECK PER CUSTODY DIVISION MANUAL</b>	
3(a)	<i>Mental Health High Observation Housing - Shift Floor Sergeant Unannounced Checks</i>	<b>88%</b>
3(b)	<i>Other Housing - Shift Floor Sergeant Unannounced Checks</i>	<b>90%</b>
<b>4</b>	<b>SHIFT WATCH COMMANDER WEEKLY REVIEW PER CUSTODY DIVISION MANUAL</b>	
4(a)	<i>Mental Health High Observation Housing - Shift Watch Commander Weekly Reviews</i>	<b>32%</b>
4(b)	<i>Other Housing - Shift Watch Commander Weekly Reviews</i>	<b>17%</b>
<b>5</b>	<b>RETENTION OF THE UNIFORM DAILY ACTIVITY LOG PER CUSTODY DIVISION MANUAL</b>	
5(a)	<i>Mental Health High Observation Housing – UDAL Five-Year Retention</i>	<b>33%</b>
5(b)	<i>Other Housing – UDAL Five-Year Retention</i>	<b>19%</b>

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**AUDIT OBJECTIVES**

**Objective No. 1 – One-Hour Jail Inmate Safety Checks per Title 15**

**Objective No. 1(a) – Mental Health High Observation Housing – One-Hour Safety Checks**

**Criteria**

Board of State and Community Corrections – Title 15, Section 1027. Number of Personnel, California Government Code, page 21 (December 2012) states:

*A sufficient number of personnel shall be employed in each local detention facility to conduct at least hourly safety checks of inmates through direct visual observation of all inmates and to ensure the implementation and operation of the programs and activities required by these regulations. There shall be a written plan that includes the documentation of routine safety checks.*

Custody Division Manual, Section 4-11/030.00, Inmate Safety Checks, (November 2015), states:

*The California Code of Regulations, Title 15, section 1027, requires hourly safety checks of inmates. All inmates in our custody shall be visually checked at least once each hour to ensure their safety and welfare. Department policy, however, requires more frequent safety checks of some inmates. If inmate safety checks are required more frequently, it is imperative all personnel strictly adhere to those requirements.*

**Audit Procedures**

Auditors reviewed the Inmate Safety Check reports from the e-UDAL and Closed Circuit Television system (CCTV) to determine if scans were documented in the e-UDAL and if the visual checks were conducted per Title 15 requirements in the HOH housing areas.

**Findings**

Ninety-six of 96 checks (100%) met the standard for this objective.

**Objective No. 1(b) – Other Housing – One-Hour Safety Checks**

**Criteria**

Board of State and Community Corrections – Title 15, Section 1027. Number of Personnel, California Government Code, page 21 (December 2012) states:

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*A sufficient number of personnel shall be employed in each local detention facility to conduct at least hourly safety checks of inmates through direct visual observation of all inmates and to ensure the implementation and operation of the programs and activities required by these regulations. There shall be a written plan that includes the documentation of routine safety checks.*

Custody Division Manual, Section 4-11/030.00, Inmate Safety Checks, (November 2015), states:

*The California Code of Regulations, Title 15, section 1027, requires hourly safety checks of inmates. All inmates in our custody shall be visually checked at least once each hour to ensure their safety and welfare. Department policy, however, requires more frequent safety checks of some inmates. If inmate safety checks are required more frequently, it is imperative all personnel strictly adhere to those requirements.*

**Audit Procedures**

Auditors reviewed the Inmate Safety Check reports from the e-UDAL and Closed Circuit Television system (CCTV) to determine if scans were documented in the e-UDAL and if the visual checks were conducted per Title 15 requirements in the Other Housing areas.

**Findings**

Ninety of the 96 checks (94%) met the standard for this objective. The remaining six checks were completed beyond the one-hour requirement.

**Objective No. 2 – Inmate Safety Checks – Time Interval per Custody Division Manual**

**Objective No. 2(a) Mental Health High Observation Housing (HOH) – Safety Checks - 15 Minute Time Interval (a minimum of four inmate safety checks per hour)**

**Criteria**

Custody Division Manual, Section 4-11/030.00, Inmate Safety Checks, (November 2015), states:

**Housing Types and Corresponding Inmate Safety Check Frequency**

*Listed below are the specific types of housing locations and intervals for the required inmate safety checks.<sup>25</sup>*

<sup>25</sup> The original table within CDM 4-11/030.00, Inmate Safety Checks, includes other time intervals and housing locations that are not applicable to this audit.

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*Housing Area: High Observation Housing HOH/Forensic In-Patient (FIP)*  
*Time Interval At Minimum: Every 15 minutes\*\*\**

*\*\*\* One safety check shall be performed every 15 minutes...In no case shall more than 15 minutes elapse between any two safety checks, regardless of shift change, change in personnel, breaks, or any other circumstance. (A **minimum** of four safety checks shall be performed each hour.)*

**Audit Procedures**

Auditors reviewed the Inmate Safety Check reports from the e-UDAL and Closed Circuit Television system (CCTV) to determine if scans were documented in the e-UDAL and if the visual checks were conducted within 15 minutes, with a minimum of four safety checks per hour, as required by CDM.

**Findings**

Seventy-five of the 96 checks (78%) met the standard for this objective. Twenty-one checks were completed beyond 15 minutes and/or did not comply with the minimum of four safety checks per hour.

**Objective No. 2(b) Other Housing – Safety Checks – 30-Minute Time Interval**

**Criteria**

Custody Division Manual, Section 4-11/030.00, Inmate Safety Checks, (November 2015), states:

*Housing Types and Corresponding Inmate Safety Check Frequency*

*Listed below are the specific types of housing locations and intervals for the required inmate safety checks.*

*Housing Area: Cells (including but not limited to Discipline, Administrative Segregation, Diminished Privilege Environment, Protective Custody, and Station Jails);*

*Moderate Observation Housing (MOH);*

*High Security*

*Time Interval at Minimum: Once per 30 minutes*

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**Audit Procedures**

Auditors reviewed the Inmate Safety Check reports from the e-UDAL and Closed Circuit Television system (CCTV) to determine if scans were documented in the e-UDAL and if the visual checks were conducted within 30 minutes as required by CDM.

**Findings**

Seventy of the 96 checks (73%) met the standard for this objective. The remaining 26 checks were completed beyond the 30 minutes.

**Objective No. 3 – Shift Floor Sergeant – Unannounced Checks**

**Objective No. 3(a) Mental Health High Observation Housing - Shift Floor Sergeant Unannounced Checks**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Shift Floor Sergeant, (February 2016), states:

*A Shift Floor Sergeant shall conduct unannounced checks of each housing area(s) under their supervision not less than once per shift to review the UDAL...*

*...The sergeant will note the time of the visit in the UDAL, and sign the log with his first and last name, and employee number.*

**Audit Procedures**

Auditors reviewed the e-UDAL to determine if the shift floor sergeant conducted an unannounced check during each shift for each HOH location.<sup>26</sup> Additionally, auditors reviewed the e-UDAL to ensure the shift floor sergeant properly documented the unannounced check. Auditors reviewed the nine HOH locations for all three shifts and all 31 days, a total of 837 required checks.

**Findings**

Seven hundred and thirty-five of 837 checks (88%) met the standard for this objective. The remaining 102 checks did not meet the standard because there was no documentation the shift floor sergeant conducted an unannounced check.

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<sup>26</sup> The 24-hour period is subdivided into the following combined three shifts at TTCF: Early Morning (EM) shift – 2100 hours to 0500 hours, Day (AM) shift – 0500 to 1300 hours, and Evening (PM) shift – 1300 to 2100 hrs.

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**Objective No. 3(b) Other Housing - Shift Floor Sergeant Unannounced Checks**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Shift Floor Sergeant, (February 2016), states:

*A Shift Floor Sergeant shall conduct unannounced checks of each housing area(s) under their supervision not less than once per shift to review the UDAL...*

*...The sergeant will note the time of the visit in the UDAL, and sign the log with his first and last name, and employee number.*

**Audit Procedures**

Auditors reviewed the e-UDAL to determine if the shift floor sergeant conducted an unannounced check during each shift for each Other Housing location. Additionally, auditors reviewed the e-UDAL to ensure the shift floor sergeant properly documented the unannounced check. Auditors reviewed the 16 Other Housing locations for all three shifts and all 31 days, a total of 1,488 required checks.

**Findings**

One thousand three hundred and thirty-seven of the 1,488 checks (90%) met the standard for this objective. The remaining 150 checks did not meet the standard because there was no documentation the shift floor sergeant conducted an unannounced check.

**Objective No. 4 Shift Watch Commander Weekly Review**

**Objective No. 4(a) – Mental Health High Observation Housing – Shift Watch Commander Weekly Review**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Shift Watch Commander, (February 2016), states:

*Note: The following policy regarding the Uniform Daily Activity Log refers to the pre-printed Uniform Daily Activity Log (UDAL) books and the electronic Uniform Daily Activity Log (e-UDAL). In the event that there is a problem with the e-UDAL system, each facility shall maintain a sufficient supply of UDAL books.*

*...The UDAL in each housing area shall be reviewed at least one time per week by a Shift Watch Commander or other assigned personnel at the minimum rank*

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*of lieutenant. The watch commander shall document this review by noting the time and signing the log with his first and last name, and employee number....*

**Audit Procedures**

Auditors reviewed the e-UDAL to determine if the Shift Watch Commander conducted a weekly review of the nine HOH locations and if the review was properly documented in e-UDAL. For each of the nine HOH locations, auditors reviewed the e-UDAL for the three shifts for each of the four weeks within December 2017. A total of 108 HOH Watch Commander weekly reviews were required.

**Findings**

Thirty-five of the 108 e-UDALs (32%) met the standard for this objective. Seventy-three e-UDALs did not document the required Shift Watch Commander weekly reviews

**Objective No. 4(b) – Other Housing – Shift Watch Commander Weekly Reviews**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Shift Watch Commander, (February 2016), states:

*Note: The following policy regarding the Uniform Daily Activity Log refers to the pre-printed Uniform Daily Activity Log (UDAL) books and the electronic Uniform Daily Activity Log (e-UDAL). In the event that there is a problem with the e-UDAL system, each facility shall maintain a sufficient supply of UDAL books.*

*The UDAL in each housing area shall be reviewed at least one time per week by a Shift Watch Commander or other assigned personnel at the minimum rank of lieutenant. The watch commander shall document this review by noting the time and signing the log with his first and last name, and employee number...*

**Audit Procedures**

Auditors reviewed the e-UDAL to determine if the Shift Watch Commander conducted a weekly review of the 16 Other Housing locations and if the review was properly documented in e-UDAL. For each of the 16 Other Housing locations, auditors reviewed the e-UDAL for the three shifts for each of the four weeks within December 2017. A total of 192 Other Housing Watch Commander weekly reviews were required.

**Findings**

Thirty-two of 192 e-UDALs (17%) met the standard for this objective. One hundred fifty nine e-UDALs did not document the required Shift Watch Commander weekly reviews.

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**Objective No. 5 – Retention of the Uniform Daily Activity Log**

**Objective No. 5(a) – Mental Health High Observation Housing – UDAL 5-Year Retention**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Retention of the Uniform Daily Activity Log, (February 2016), states:

*Note: The following policy regarding the Uniform Daily Activity Log refers to the pre-printed Uniform Daily Activity Log (UDAL) books and the electronic Uniform Daily Activity Log (e-UDAL). In the event that there is a problem with the e-UDAL system, each facility shall maintain a sufficient supply of UDAL books.*

*...All Uniform Daily Activity Log (UDAL) books shall be maintained at the facility for a period of five years.*

**Audit Procedures**

Auditors reviewed the nine HOH Inmate Safety Check Logs in the e-UDAL for the required retention period of five years. The five-year retention period was from December 2012 to December 2017.

**Findings**

Three of the nine HOH Inmate Safety Check Logs (33%) in e-UDAL met the standard for this objective. Six logs had a time span between a minimum of one month to as many as four months that were not documented within the required five-year retention period. The results of the audit are summarized in Table No. 2 on the following page.

Note: Auditors identified 100% compliance from 2014 to 2017, non-compliance occurred between 2012 to 2013. Corrective actions appear to have been made by the TTCF regarding the retention of the inmate safety check logs in the e-UDAL data base.

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**Table No. 2: Monthly HOH 5-Year Retention Detailed Findings**

Inmate Safety Check Log in e-UDAL	2017	2016	2015	2014	2013	2012
<b>TTCF-M342</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	1 of 1 (100%)
<b>TTCF-T132</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	9 of 12 (75%)	0 of 1 (0%)
<b>TTCF-T141</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T151</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T152</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	1 of 1 (100%)
<b>TTCF-T161</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	1 of 1 (100%)
<b>TTCF-T162</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	0 of 1 (0%)
<b>TTCF-T171</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T172</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	1 of 1 (0%)

**Objective No. 5(b) – Other Housing – UDAL Five-Year Retention**

**Criteria**

Custody Division Manual, Section 4-11/020.00, Retention of the Uniform Daily Activity Log, (February 2016), states:

*Note: The following policy regarding the Uniform Daily Activity Log refers to the pre-printed Uniform Daily Activity Log (UDAL) books and the electronic Uniform Daily Activity Log (e-UDAL). In the event that there is a problem with the e-UDAL system, each facility shall maintain a sufficient supply of UDAL books.*

*All Uniform Daily Activity Log (UDAL) books shall be maintained at the facility for a period of five years.*

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**Audit Procedures**

Auditors reviewed the 16 Other Housing Inmate Safety Check Logs in the e-UDAL for the required retention period of five years. The five-year retention period was from December 2012 to December 2017.

**Findings**

Three of the 16 Other Housing Inmate Safety Check Logs (19%) in e-UDAL met the standard for this objective. Thirteen logs had a time span between a minimum of one month to as many as seven months that were not documented within the required five year retention period as summarized in Table No. 3 on the following page.

Note: Auditors identified nearly a 100% compliance from 2014 to 2017, non-compliance occurred between 2012 to 2013. Corrective actions appear to have been made by the TTCF regarding the retention of the inmate safety check logs in the e-UDAL data base.

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**Table No. 3: Monthly Other Housing Five-Year Retention Detailed Findings**

<b>Inmate Safety Check Log in e-UDAL</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>	<b>2013</b>	<b>2012</b>
<b>TTCF-M322</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	0 of 1 (0%)
<b>TTCF-M331</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-M332</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T121</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	5 of 12 (42%)	0 of 1 (0%)
<b>TTCF-T131</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	9 of 12 (75%)	0 of 1 (0%)
<b>TTCF-T142</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	1 of 1 (100%)
<b>TTCF-T211</b>	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T232</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	1 of 1 (100%)
<b>TTCF-T241</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	0 of 1 (0%)
<b>TTCF-T242</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	0 of 1 (0%)
<b>TTCF-T251</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	10 of 12 (83%)	0 of 1 (0%)
<b>TTCF-T252</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	0 of 1 (0%)
<b>TTCF-T261</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	10 of 12 (83%)	0 of 1 (0%)
<b>TTCF-T262</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	0 of 1 (0%)
<b>TTCF-T271</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	0 of 1 (0%)
<b>TTCF-T272</b>	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	12 of 12 (100%)	11 of 12 (92%)	0 of 1 (0%)

**OTHER RELATED MATTERS**

Other related matters are pertinent issues discovered during the audit, but were not objectives measurable against Title 15, CDM, and the Agreement.

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*Agreement Recommendation No. 57*

Per Agreement sections (a) through (f), auditors determined that TTCF custody staff conducted direct visual observation safety checks and when necessary, made verbal interaction with the inmates. Auditors noted that there were no pre-printed times on any documents due to the electronic scan point system used to document safety checks. Additionally, auditors identified that all safety checks were inherently staggered. Auditors determined that the current video CCTV system was not used to replace the physical and direct visual observation safety checks. Auditors determined the supervision of prisoners in mental health housing was conducted at the respective time intervals.

Auditors did not evaluate if the QMHP, in coordination with custody, determined mental health housing assignments for inmates.

*Display Timers*

During a walk-through of TTCF, auditors observed all the staff stations in the inmate housing areas utilized display timers. The display timers are synchronized with the handheld scanners, which are used to perform the inmate safety checks. At the conclusion of the inmate safety checks, the handheld scanners are placed in the recharging cradle and the scanned information is simultaneously uploaded into the e-UDAL. This resets the display timer alerting the staff of the next impending inmate safety check. The technology of the display timer positively enhances the ability of staff to conduct safety checks within the allotted time intervals.

**CONCLUSIONS**

During the course of this audit, auditors assessed Title 15, CDM, the Agreement, and identified several areas in need of improvement.

**RECOMMENDATIONS**

The AAB considers the results of this audit to be a helpful management tool for all Department personnel and therefore makes the following recommendations:

1. It is recommended that line staff receive and document regular briefings on the Custody Division Manual (CDM), Section 4-11/030.00, Inmate Safety Checks, Documenting Inmate Safety Checks, wherein Quick Response bar codes are to be scanned (Objective Nos. 1 and 2).
2. It is recommended that shift floor sergeants and watch commanders receive and document regular briefings on CDM, Section 4-11/020.00, Uniform Daily Activity Log, Shift Floor Sergeant and Shift Watch Commander duties (Objectives Nos. 3, 4, and Other Related Matters).

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3. It is recommended that the Shift Floor Sergeant conduct inspections of the Inmate Safety Check Logs in the e-UDAL to identify and document any late and missing inmate safety checks and indicate any actions taken (Objective No. 4).
4. It is recommended that TTCF management document and re-brief the Administrative Support Staff of the TTCF to ensure the Inmate Safety Check Logs in the e-UDAL are retained for five years according to CDM, Section 4-11/020.00, Uniform Daily Activity Log (Objective No. 5).

**Views of Responsible Officials**

On March 20, 2018, the Custody Services Division Administration Command Staff submitted a formal response to AAB concurring with the audit findings. A copy of the audit report was provided to the Office of Inspector General.

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This audit was submitted on this 27<sup>th</sup> day of March 2018, by the Audit and Accountability Bureau.

*Original signature on file at AAB*

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**KENJI MASHIKO**  
Project Manager  
Audit and Accountability Bureau  
Los Angeles County Sheriff's Department

*Original signature on file at AAB*

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**M. ROWENA NELSON**  
Head Compliance Officer  
Audit and Accountability Bureau  
Los Angeles County Sheriff's Department

*Original signature on file at AAB*

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**STEVEN E. GROSS**  
Captain  
Audit and Accountability Bureau  
Los Angeles County Sheriff's Department