

LOS ANGELES COUNTY SHERIFF'S DEPARTMENT



**MANDATORY ROTATION OF LINE
PERSONNEL IN CUSTODY
MEN'S CENTRAL JAIL
NO. 2016-1-A**

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SHERIFF**

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LOS ANGELES COUNTY SHERIFF'S DEPARTMENT
Audit and Accountability Bureau

MANDATORY ROTATION OF LINE PERSONNEL IN CUSTODY
MEN'S CENTRAL JAIL
Project No. 2016-1-A
AUDIT REPORT

PURPOSE

The Audit and Accountability Bureau (AAB) conducted the Mandatory Rotation of Line Personnel in Custody Audit under the authority of the Los Angeles County Sheriff. The audit was performed to determine how the Los Angeles County Sheriff's Department (Department) complied with policies and procedures regarding the mandatory rotation of line personnel assigned to Custody Services Division, specifically at Men's Central Jail (MCJ). This audit also satisfied, in part, the requirements of the Citizens' Commission on Jail Violence (CCJV) recommendations.¹

The AAB conducted this audit under the guidance of the Generally Accepted Government Auditing Standards. The AAB determined that the evidence obtained was sufficient and appropriate, providing a reasonable basis for the findings and conclusions based on the audit objectives.²

BACKGROUND

The CCJV published a report, on September 28, 2012, identifying "problematic and aggressive cliques" at MCJ, which contributed to a significant spike in use of force incidents. The report issued recommendations pertaining to the operation of Custody Services Division. Recommendation 6.8 stated:

Rotations within and among proximate facilities should be implemented. The Department should implement a sensible but steadfast policy that ensures rotation of deputies within Custody without vaguely defined exceptions. This rotation policy should include movement of deputies among proximate facilities as well as rotation among floors.

As a result, on April 18, 2013, the Department implemented Custody Division Manual (CDM) section 3-01/020.05, Mandatory Rotation of Line Personnel in Custody, which required unit commanders in custody to ensure line personnel are rotated between job assignments every six months.

¹ September 28, 2012, the CCJV report was published with recommendations for the Department, which then Sheriff Leroy D. Baca agreed to implement.

² United States Government Accountability Office – By the Comptroller General of the United States, December 2011, Government Auditing Standards 2011 Revision.

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PRIOR AUDIT

In 2014, AAB, formerly known as Internal Monitoring, Performance Audits and Accountability Command (IMPAAC), conducted a Mandatory Rotation of Line Personnel in Custody Audit in which MCJ had a 94% compliance rate. One recommendation was made which stated:

- 1. It is recommended Custody Support Services clearly define CDM 3-01/020.05, Mandatory Rotation of Line Personnel in Custody, by specifying what qualifies as a “rotation” of custody line personnel to preclude individual facility interpretation.*

Status: Recommendation implemented. Custody Division Manual, Section 3-01/020.05 was revised on October 1, 2015. The revision designated a unit order, to be used by all custody facilities, to clearly define what qualifies as a job rotation. Men’s Central Jail Unit Order 5-02-008, Facility Job Rotation, was revised on July 6, 2015, in response to IMPAAC’s audit recommendation, and again on January 18, 2016, in response to the above listed CDM revision. The most current unit order clarified the duration between rotations of various positions at MCJ and designated specific exempt positions.

METHODOLOGY

Scope

This audit encompassed one objective regarding the mandatory rotation of line personnel no less than every six months. The CDM and MCJ unit orders were utilized in the analysis of this audit.

Audit Time Period

The audit time period was from January 1, 2015, through December 31, 2015.

Audit Population

Auditors identified 819 total personnel listed in the Scheduling Management System (SMS)³ who were assigned to MCJ during this audit period. The SMS database was utilized to confirm individual work assignments. The MCJ Unit Order 5-02-008 identified work assignments, which were exempt from the six-month rotation policy. A statistically

³ The SMS is a web application developed to publish daily in-services. It facilitates the creation and adjustments to personnel schedule, identifying and filling vacancies, rotating work schedules and position assignments.

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valid sample of personnel were selected for review.⁴ Among the sampled selection of line personnel reviewed by auditors, those who were assigned to positions exempt from rotation, as well as personnel who were not assigned to MCJ for at least seven months during the audit period, were deselected. Personnel who were deselected were replaced with another randomly selected line employee whose assignment required rotation. A total of 86 line personnel were reviewed for this audit.

SUMMARY OF AUDIT FINDINGS

The management and staff at MCJ were accommodating and cooperative in providing the necessary information to complete the analysis for the audit objective. During this audit period, 85% of the MCJ personnel evaluated met the standard as established by the CDM and MCJ's unit orders.

AUDIT OBJECTIVE

Objective No. 1 – Six-Month Rotation of Line Personnel

Criteria

Custody Division Manual, Section 3-01/020.05, Mandatory Rotation of Line Personnel in Custody, which was revised on September 19, 2013, stated:

*All unit commanders shall ensure line personnel are rotated between job assignments **no less than** every six (6) months.*

During this audit period, the language was determined to have created confusion as to whether the policy required line personnel rotations to occur prior to, or after six-months. To clarify the intent of the policy, Custody Division Manual, Section 3-01/020.05, Mandatory Rotation of Line Personnel in Custody, was again revised on October 1, 2015, which stated:

*All unit commanders shall ensure line personnel are rotated between job assignments **at least once** every six (6) months.*

Men's Central Jail Unit Order 5-02-008, Facility Job Rotation, established procedures for job rotations at MCJ. This Unit Order identified the following assignments excluded from the mandatory six-month rotation: Legal, Logistics (includes various logistics related in-service positions), Operations, Scheduling, Mail Room, Parole Screenings,

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

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Main Control, Facility Accountability System, Watch Deputy, Training Office, Visiting, Attorney Room, 9000 Floor, Roof, and Modules 1700/1750.

Audit Procedures

The sampled employees’ assignments and rotations were identified by utilizing the employees’ cycle schedules in SMS, which were then reconciled with the employees’ monthly calendar of assignments in SMS to determine whether or not the employee rotated between job assignments at least once every six months.

Findings

Seventy-three of the 86 (85%) personnel met the standard for this objective. Thirteen did not meet the standard because the personnel did not rotate between job assignments at least once every six months.

Table No. 1: Summary of Personnel Who Did Not Rotate

Men’s Central Jail Floor	Men’s Central Jail Assignments	Number of Personnel
2000	2500/2700 Prowler/Movement	1
3000	3100 Module	1
	3100/3300 Title-15 #1	2
	3301 Module	1
	3600/3800 Prowler/Movement	2
4000	4000 School Deputy	1
	4700 Module	1
Hospital	7100 Control/Prowler	1
	7100 Title-15	1
	8000 Prowler/Movement #1	1
	8100 Prowler Title-15	1
TOTAL		13

OTHER RELATED MATTERS

Men’s Central Jail Unit Order 5-02-008, Facility Job Rotation (revised January 18, 2016)

On January 18, 2016, the Unit Order was revised to include additional assignments exempt from the six-month rotation. These assignments included positions with minimum contact with inmates and positions requiring high security. However, had MCJ revised the Unit Order prior to implementing the exemption, seven personnel assigned

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to the following assignments would have been exempt from the six-month mandatory rotation: 3100 Module, 3100/3300 Title-15 #1, 7100 Control/Prowler, 7100 Title-15, 8000 Prowler/Movement #1, and 8100 Prowler Title-15, would have been deselected for review. This would have resulted in only six personnel failing to meet the standard and a compliance rate of 93%.

Scheduling Management System

An analysis was conducted to determine if the audited employees' work assignments on the printed time-stamped copy of the in-service roster⁵ matched the individual employee's calendars in SMS. The purpose was to determine if the information contained in the SMS calendars were consistent with the signed copy of the in-services.

Of the 86 line personnel sampled in the audit, three employees' individual SMS calendars did not match the signed in-services. These three signed in-services did not contain any handwritten corrections.

The SMS in-service log entries record all personnel movement within SMS. However, they did not capture the re-assignments of these three employees, which would account for the discrepancies between the in-services and the three employees' SMS calendars.

During this analysis, auditors confirmed with the developer of the SMS database that once the scheduling staff completes the monthly calendars, it is possible for scheduling staff to make changes to work assignments, without evidence of the change being recorded by SMS. The accuracy of SMS was questionable, thereby posing risk to the Department.

CONCLUSIONS AND RECOMMENDATIONS

During the course of this audit, AAB personnel performed an analysis and made assessments to identify areas needed for improvement. The AAB considered the results of this audit to be a helpful management tool for all Department personnel; therefore, made the following conclusions and recommendations:

⁵ The In-Service Roster is a form which reflects the allocation of the employees for each shift, for any given date. It indicates the work assignment for personnel present and the reason for any absences. As best practice, supervisors are required to ensure the accuracy of the roster and shift Watch Commanders will approve the In-Service Roster by providing a signature at the bottom of the roster to validate its' accuracy.

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1. It is recommended MCJ management review which assignments are exempt from the six-month rotation mandate, to ensure the unit order accurately reflects the current needs of the facility as they relate to the CCJV recommendation. (Objective No. 1)
2. It is recommended MCJ scheduling staff routinely review and re-brief the Facility Job Rotation Unit Order to ensure compliance. (Objective No. 1)
3. It is recommended MCJ management collaborate with Data Systems Bureau, Custody Automation Unit to update SMS. The update should permit SMS to record all adjustments with each employee's monthly SMS calendar. (Other Related Matter)

View of Responsible Officials

On August 3, 2016, a copy of the audit report was provided to the Custody Operations command staff and the Office of the Inspector General (OIG), to offer them an opportunity to comment. Custody Operations command staff submitted a formal response on August 12, 2016 concurring with the audit findings; OIG did not provide any feedback.

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This audit was submitted on this 16th day of August 2016, by the Audit and Accountability Bureau.

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