

OFFICE OF THE INSPECTOR GENERAL

• PROMOTING INTEGRITY •

STEVE WHITE, INSPECTOR GENERAL



**MANAGEMENT REVIEW AUDIT
FOLLOW-UP REVIEW**

**SUPERINTENDENT VIVIAN CRAWFORD
FRED C. NELLES YOUTH CORRECTIONAL FACILITY**


JULY 2002

GRAY DAVIS, GOVERNOR

Memorandum

Date: July 11, 2002

To: JERRY HARPER, Director
California Youth Authority

From: STEVE WHITE 
Inspector General

Subject: AUDIT OF THE FRED C. NELLES YOUTH CORRECTIONAL FACILITY

Enclosed is a copy of the final report of the management review audit follow-up conducted by the Office of the Inspector General of Superintendent Vivian Crawford of the Fred C. Nelles Youth Correctional Facility. The report includes Superintendent Crawford's response to the draft report as an attachment.

The follow-up audit was performed because of numerous serious problems identified in an earlier management review audit of the Fred C. Nelles Youth Correctional Facility by the Office of the Inspector General. The follow-up audit found that Superintendent Crawford has made significant progress in improving the operation of the Fred C. Nelles Youth Correctional Facility, but also identified continuing deficiencies in some areas.

Please call me if you have questions concerning this report.

cc: Robert Presley, Secretary, Youth and Adult Correctional Agency
Vivian Crawford, Superintendent, Fred C. Nelles Youth Correctional Facility

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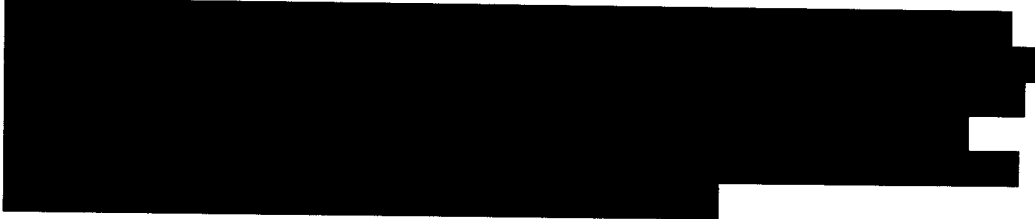
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youth correctional counselor reviews and logs all ward grievances daily. The ward rights coordinator monitors compliance with grievance due dates and reports exceptions weekly to the superintendent and the assistant superintendent. Ward grievance clerks and staff members have received training on the ward grievance process and the new database. Follow-up testing by the Office of the Inspector General confirmed that the new system is functioning as planned.

- The ward information network (WIN 2000) system is now operational at the institution. Fred C. Nelles is one of the California Youth Authority's four institutions to have a fully operational WIN 2000 system. (The other seven institutions are scheduled for full implementation in the future.) Training has been provided to staff members in their respective areas of responsibility. These include the grievance module cited above and the special management program/temporary detention module.

Following are some of the most important instances of partial or non-compliance with the Office of the Inspector General's recommendations:

- Fred C. Nelles High School continues to have a low efficiency rating for the provision of education services. The school's efficiency rating, a measure of actual instruction hours as a percentage of potential ward instruction hours, was 49%—an increase of only four percentage points.

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Of the two recommendations addressed to the California Youth Authority, the department had partially implemented one recommendation and had been unable to implement the other. Both recommendations pertained to facilities maintenance. The partially implemented recommendation was for the department to continue seeking funding for "special repair" projects on a project-by-project basis. The department continued to seek such funding, but the state's current budget problem resulted in a scaling back of the special repair endeavor. The recommendation not implemented was for the department to develop a spring finance letter and to use the money to fund a department-wide facilities assessment.

INTRODUCTION

In January 2001, the Office of the Inspector General issued a report presenting the results of a management review audit of Superintendent Vivian Crawford of the Fred C. Nelles Youth Correctional Facility. The audit, conducted pursuant to *California Penal Code* Section 6051, was intended to assess the superintendent's performance in carrying out the essential functions of the facility and to make recommendations to correct any identified problems.

The management review audit by the Office of the Inspector General found serious longstanding problems at the Fred C. Nelles Youth Correctional Facility. The problems encompassed the full spectrum of the facility's operation, including the core functions of ward treatment services, ward education, and institution security. In her nineteen months at the facility, Superintendent Crawford had recognized many of these problems, but some problems (such as ward education) were out of her control and others needed more detailed analysis.

As a result of the management review audit, the Office of the Inspector General developed ten findings with 59 recommendations. Of the 59 recommendations, 57 were directed to the institution and two were directed to the California Youth Authority. The Office of the Inspector General also recommended that Superintendent Crawford and her management team work with the California Youth Authority to develop a comprehensive strategic plan to correct the various problems noted in the report.

Because of the seriousness of the problems at the Fred C. Nelles Youth Correctional Facility, the Office of the Inspector General conducted a follow-up review to assess the institution's progress in implementing the recommendations from the management review audit.

OBJECTIVES, SCOPE, AND METHODOLOGY

The Office of the Inspector General visited the Fred C. Nelles Youth Correctional Facility and interviewed Superintendent Crawford, members of her administrative staff, education administrators, rank-and-file employees, and wards. The Office of the Inspector General also reviewed various institution records, logs, policies and procedures, reports, and documents. Among the documents were various editions of the institution's quality assurance and risk management plan, which is the institution's strategic plan developed in response to the recommendation by the Office of the Inspector General. The inspectors visited living units and reviewed ward files, observed operations, and inspected equipment and supplies. In certain areas of operation, the Office of the Inspector General also conducted audit tests to verify compliance with recommendations. In other areas, inspectors relied on information reported by the institution.

To assess the progress of the California Youth Authority in implementing recommendations addressed to the department, the inspection team visited the department's Sacramento headquarters and interviewed various administrators. The Office of the Inspector General also reviewed investigation reports and records. Finally, inspectors conducted telephone interviews with department staff.

After completing the on-site follow-up, the inspectors classified the institution's progress in implementing each recommendation into one of the following four categories:

- **Fully implemented:** The institution has implemented the recommendation and no further corrective action is necessary.
- **Substantially implemented:** The institution has implemented more than half of the corrective action necessary to implement the recommendation.

- **Partially implemented:** The institution has implemented half or less than half of the corrective action necessary to implement the recommendation.
- **Not implemented:** The institution has not implemented the recommendation.

The following section lists the recommendations associated with each finding from the earlier management review audit, provides the status of the recommendation, and explains the basis for the status determination. Where appropriate, the Office of the Inspector General has provided follow-up recommendations.

FINDINGS AND RECOMMENDATIONS

ORIGINAL FINDING 1:

The Office of the Inspector General found that Fred C. Nelles Youth Correctional Facility wards have not been provided with required treatment services.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>The Office of the Inspector General recommends that the institution management take the following actions to improve ward assessment and counseling:</p> <ul style="list-style-type: none"> • Ensure that the Truman living unit's orientation curriculum contains a section devoted to the California Youth Authority time-cut policy and that the policy is discussed appropriately with newly arrived wards. Document this discussion in the ward's records. • Develop a casework management system that meets the content and frequency criteria laid out in Section 4000 <i>et seq.</i> of the <i>California Youth Authority Institutions and Camps Branch Manual.</i> 	<p>FULLY IMPLEMENTED</p>	<p>The orientation curriculum now contains a section devoted to the California Youth Authority's time-cut policy. Follow-up testing by the Office of the Inspector General determined that the policy is discussed with newly arrived wards and the discussion is documented in the wards' records.</p>
<ul style="list-style-type: none"> • Develop a casework management system that meets the content and frequency criteria laid out in Section 4000 <i>et seq.</i> of the <i>California Youth Authority Institutions and Camps Branch Manual.</i> 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The institution has developed a comprehensive casework management system that is consistent with the requirements of Section 4000 <i>et seq.</i> of the <i>California Youth Authority Institutions and Camps Branch Manual.</i> Follow-up testing by the Office of the Inspector General determined that substantial progress has been made in providing treatment services to wards. Ninety percent or more compliance was found in the timeliness of the parole agent's initial interview of the ward and the conducting of the initial and progress case conferences. Further, the initial and progress case conferences met all required standards laid out in Section 4000.</p> <p>Although significant progress has been made, continued improvement is needed in the following areas to achieve full compliance:</p> <ul style="list-style-type: none"> • Providing individual and small group counseling to wards. The

		<p>compliance rate for this core function was 65.2 %, up substantially from the 38.1% compliance rate found in the management review audit.</p> <ul style="list-style-type: none"> Assigning the ward to the caseload within three working days of arrival at the living unit. The compliance rate of 82.6% was a significant improvement over the 51.8% compliance rate found in the management review audit. Assigning the ward to an academic or vocational education work assignment within four working days of arrival at the living unit. The 63.6% compliance rate was a substantial improvement over the 15.3% compliance rate found in the management review audit. Providing orientation to the ward within 10 working days of arrival at the institution. The compliance rate of 40%, up from a compliance rate of 14.1% found in the management review audit, shows this area remains a problem.
<ul style="list-style-type: none"> Clarify policies governing assessment and counseling procedures in order to eliminate confusion regarding issues such as 60-day versus 90-day progress conferences. 	<p>FULLY IMPLEMENTED</p>	<p>The institution has developed and disseminated policies and procedures to clarify the required frequency of progress case conferences and other points of confusion. The institution has also conducted workshops on proper case management. As part of the institution's quality assurance and risk management plan, 65 ward files are randomly audited monthly to ensure compliance with all case management policies and procedures.</p>
<ul style="list-style-type: none"> Rotate all peace officer staff assigned to the Nixon and Taft Cottages within the 24-month limitation required by the collective bargaining agreement. 	<p>NOT IMPLEMENTED</p>	<p>The institution has not implemented this recommendation because the collective bargaining agreement, while requiring peace officers assigned to the Taft Cottage to be rotated every two years, does not impose the same requirement for the staff assigned to the Nixon special management program. The Nixon and Taft Cottages operate identical special management programs. Therefore, the institution is employing a double standard in its staff rotation policy.</p>
<ul style="list-style-type: none"> Hold treatment team supervisors, the parole agent III, and the program 	<p>FULLY IMPLEMENTED</p>	<p>The superintendent has implemented a progressive discipline process that holds treatment team supervisors, the parole agent III, and program</p>

<p>administrator accountable for monitoring the work of parole agents, senior youth correctional counselors, and youth correctional counselors and for ensuring proper redistribution of workload when staff are absent and positions are vacant.</p> <ul style="list-style-type: none"> • Ensure that priority is given to preparing and scheduling cases based on their order for annual review from the Youthful Offender Parole Board, rather than on completion by clerical staff. 	<p>FULLY IMPLEMENTED</p>	<p>administrators accountable for monitoring the work of their subordinates. Further, the monthly audits of ward files result in prompt feedback to the parole agents, senior youth correctional counselors, and youth correctional counselors. When these audits find unsatisfactory work, work-improvement discussions are held with the employee and the discussions are documented in the employee's file. In more serious cases, letters of instruction are given to the employee.</p>
<ul style="list-style-type: none"> • Work with the education administrators at the Fred C. Nelles Youth Correctional Facility to ensure teacher availability and participation in ward assessment and counseling. 	<p>PARTIALLY IMPLEMENTED</p>	<p>The institution has developed policies and procedures governing the scheduling of wards' appearances before the Youthful Offender Parole Board. A projected board agenda is now completed by each parole agent five months before each ward is scheduled to appear before the board. The treatment team supervisors and the senior youth correctional counselors use the projected board agendas to ensure that parole agents and youth correctional counselors meet their due dates. The parole agent III developed and implemented a comprehensive case management system (YOPB reports) that tracks and monitors Youthful Offender Parole Board appearances. The superintendent has provided training to the staff on the policies and procedures and the case management system.</p> <p>According to the institution, parole agents are to complete and submit to the program administrator their case conference schedules for each month. The program administrator forwards this information to the education office, and teachers are to attend case conferences twice each month. At the time of the Office of the Inspector General's site visit, this procedure had not been implemented. According to the school principal, the case conference plan was scheduled to take effect in January 2002.</p>
<ul style="list-style-type: none"> • Bring the institution into compliance with all requirements of the suicide prevention, assessment, and response program. Examples of items the institution must address include, but are not limited to: maintaining current suicide risk lists in each cottage; 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The institution has made significant progress in coming into compliance with the suicide prevention, assessment, and response program. For example, the office of the Inspector General found the following:</p> <ul style="list-style-type: none"> • Suicide risk lists were present in each cottage visited; the risk list is also on-line as part of the WIN 2000 system. It is prepared by the senior psychologist.

<p>providing wards under suicide surveillance with safety smocks; isolating wards at risk of suicide from other wards; ensuring that rooms are configured to preclude the passing of items under, over, or around doors; providing cut-down kits to each living unit; hiring a senior psychologist to supervise the program; and requiring the regular attendance by all designated staff at meetings of the institution multi-disciplinary suicide prevention, assessment, and response committee.</p>		<ul style="list-style-type: none"> • Cut-down knives were present in each cottage visited; but the staff required between 20 seconds and one minute to locate the knives in storage cabinets. This is because the knives were not in a standard location inside the cabinet and because the knife's black sheath blended in with the darkened interior of the cabinet. • Paper safety smocks, safety blankets, and safety mattresses were present in the cottages. • Ten rooms in Taft Cottage were in the process of being upgraded to serve as suicide prevention rooms. However, the light fixtures were not recessed into the ceiling, making it possible for a ward to chisel a gap in the corner of the fixture and hang himself. • Suicide prevention, assessment, and response program policies and procedures (and training) have been provided to the staff. • Suicide prevention, assessment, and response program meetings occur every two months. However, the meetings are not regularly attended by some staff members, and there are no sanctions for continued absenteeism.
<ul style="list-style-type: none"> • Make every effort to fill vacant positions, especially in the parole agent and youth correctional counselor ranks. 	<p>FULLY IMPLEMENTED</p>	<p>The institution has developed and implemented a recruitment and retention plan of action to hire staff in the youth correctional counselor, senior youth correctional counselor, and parole agent I classifications. As a result, all ten vacancies in the youth correctional counselor and parole agent classifications had been eliminated in the period between the management review audit and the follow-up review.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the institution do the following:

- Continue its casework management system, including its use of monthly audits and progressive discipline, to improve its compliance rate for providing individual and small group counseling, assigning wards to caseloads and academic and vocational

education, providing orientation to wards, and other frequency criteria laid out in Section 4000 *et seq.* of the *California Youth Authority Institutions and Camps Branch Manual*.

- Rotate all peace officer staff assigned to the Nixon and Taft Cottages at least every 24 months.
- Implement teacher participation in case conferences according to the case conference plan.
- Locate cut-down knives in a standard location such as on the inside door of the storage cabinet, and change the sheath's color from black to a brighter color.
- Recess the light fixture into the ceiling of the suicide prevention rooms in Taft Cottage.
- Develop policies and procedures to improve attendance at suicide prevention and response program meetings. In developing these policies and procedures, the institution should consider disciplinary action for consecutive unexcused absences or expulsion from the suicide prevention and response program for consecutive absences.

ORIGINAL FINDING 2:

The Office of the Inspector General found that Fred C. Nelles Youth Correctional Facility educational and vocational classes are poorly attended and that the wards' academic achievement is low compared to that of other California Youth Authority facilities.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<ul style="list-style-type: none"> • Work with ward representatives and institution education administrators as well as Education Services Branch administrators to provide the best possible learning environment. Within the framework of institutional security, the superintendent should encourage the exchange of ideas through regular meetings and should activate the trade advisory committee. 	<p>PARTIALLY IMPLEMENTED</p>	<p>The Office of the Inspector General's follow-up review of the Fred C. Nelles High School found mixed results. There were significant increases in the delivery of special education services in spite of continued staff shortages and the discontinuation of federal court oversight. Further, there was a decrease in the backlog of individual education plans. The effectiveness rating of 49% found in the follow-up review represents an increase of four percentage points above the 45% effectiveness rating found in the management review audit. Further, the percentage of eligible wards enrolled in school increased from 80% to 91%.</p> <p>Nevertheless, the Fred C. Nelles High School still has systemic problems.</p>

<p>The management of the California Youth Authority Education Services Branch and the institution's education administrators should:</p> <ul style="list-style-type: none"> • Promptly fill teaching vacancies, especially those in academic/special education. Work to provide competitive teacher compensation by upgrading pay scales, using compensation exceptions provided for by law and other suitable methods. • Make every effort to compile a list of qualified substitute instructors so that classes can continue without cancellation when an instructor is sick, takes vacation, or is otherwise absent. 	<p>PARTIALLY IMPLEMENTED</p>	<p>During the follow-up period of December 2000 through November 2001, the number of class cancellations increased to 10,639 class periods compared to 7,369 class periods during the management review audit period. Average monthly class cancellations totaled 887 class periods during the follow-up review period compared to 614 during the management review audit period. In addition, no effective trade advisory committee has been implemented. Finally, the absenteeism rate actually increased from 22% at the time of the management review audit to 24% during the follow-up review period.</p>
<p>The principal and the California Youth Authority's southern department recruiter have conducted two job fairs to identify potential hires. As of December 2001, Fred C. Nelles High School had eight vacancies; six were special education teaching positions and two were school psychologist positions. This represents a reduction of one vacancy from the nine vacant positions found during the management review audit.</p>	<p>PARTIALLY IMPLEMENTED</p>	<p>The principal and the California Youth Authority's southern department recruiter have conducted two job fairs to identify potential hires. As of December 2001, Fred C. Nelles High School had eight vacancies; six were special education teaching positions and two were school psychologist positions. This represents a reduction of one vacancy from the nine vacant positions found during the management review audit.</p>
<p>In a memorandum dated September 17, 2001, Fred C. Nelles High School documented its list of 22 substitute teachers. However, a review of the availability of the individuals on the list shows that:</p> <ul style="list-style-type: none"> • Only three substitutes on the list were able to fill day shifts. • Two substitute teachers were no longer available because they had reached the maximum temporary work limit of 194 days per year. • Six substitutes were able to work only evenings or weekend days. • Five were able to work only summer and holiday breaks. • The list also included four substitute teachers who had not worked for over one year, including one who had not worked for over two and one-half years. 	<p>PARTIALLY IMPLEMENTED</p>	<p>In a memorandum dated September 17, 2001, Fred C. Nelles High School documented its list of 22 substitute teachers. However, a review of the availability of the individuals on the list shows that:</p> <ul style="list-style-type: none"> • Only three substitutes on the list were able to fill day shifts. • Two substitute teachers were no longer available because they had reached the maximum temporary work limit of 194 days per year. • Six substitutes were able to work only evenings or weekend days. • Five were able to work only summer and holiday breaks. • The list also included four substitute teachers who had not worked for over one year, including one who had not worked for over two and one-half years.

<ul style="list-style-type: none"> Comply with all requirements of the <i>Nick O. v. Terhune</i> stipulation and order, including the timely submission of monthly service provider reports. 	<p>FULLY IMPLEMENTED</p>	<p>The number of classes cancelled due to a lack of substitute teachers increased during the follow-up period. From July 1999 through June 2000, classes cancelled because of no substitute totaled 2,979. During the follow-up period, the number of classes cancelled due to no substitute totaled 3,852. During the follow-up period, 36% of all classes cancelled were the result of no substitute teacher available.</p>																
<ul style="list-style-type: none"> Explore ways to lessen the disruption or cancellation of classes due to other types of trade holds. For example, the causes of Unisec failures should be examined and corrected. 	<p>NOT IMPLEMENTED</p>	<p>Fred C. Nelles High School was released from the <i>Nick O. vs. Terhune</i> stipulation and order, thus relieving the school of having to submit special education monthly service provider reports to the Youth Law Center, the federal court monitor. The Office of the Inspector General's testing of the delivery of special education services shows significant increases in all four categories. During the follow-up period of December 2000 through November 2001, the average percentages of wards receiving 90% or more service time are as follows:</p> <table border="0" data-bbox="730 420 893 945"> <tr> <td>Resource Specialist Program</td> <td>73%</td> </tr> <tr> <td>Special Day Classes</td> <td>54%</td> </tr> <tr> <td>Speech/Language Treatment</td> <td>67%</td> </tr> <tr> <td>School Psychologist Therapy</td> <td>84%</td> </tr> </table> <p>By way of contrast, the service rates during the management review audit period were:</p> <table border="0" data-bbox="974 420 1136 945"> <tr> <td>Resource Specialist Program</td> <td>37%</td> </tr> <tr> <td>Special Day Classes</td> <td>19%</td> </tr> <tr> <td>Speech/Language Treatment</td> <td>57%</td> </tr> <tr> <td>School Psychologist Therapy</td> <td>77%</td> </tr> </table>	Resource Specialist Program	73%	Special Day Classes	54%	Speech/Language Treatment	67%	School Psychologist Therapy	84%	Resource Specialist Program	37%	Special Day Classes	19%	Speech/Language Treatment	57%	School Psychologist Therapy	77%
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<ul style="list-style-type: none"> Explore ways to lessen the disruption or cancellation of classes due to other types of trade holds. For example, the causes of Unisec failures should be examined and corrected. 	<p>NOT IMPLEMENTED</p>	<p>According to Fred C Nelles High School administrators, class cancellations have been reduced; however, as shown below, the evidence analyzed for the follow-up period indicates class cancellations attributable to security have increased since the management review audit.</p>																

		<p>Number of Security Class Cancellations:</p> <ul style="list-style-type: none"> Management review audit period: July 1999 through June 2000: 2,294 Follow-up period: December 2000 through November 2001: 3,801 <p>Note: Class cancellation statistics were compiled from spreadsheets supporting monthly average daily attendance reports for each period.</p> <p>The Educational Services Progress Report indicates several changes have been made or are planned to improve attendance:</p> <ul style="list-style-type: none"> The school has gathered data on why wards are not attending classes and is developing a plan to alleviate problems identified. Wards are being released to school cottage by cottage, creating a safer environment. The school will implement a new schedule to address various concerns, including ward safety and attendance. <p>Education administrators and school security work closely to minimize class cancellations.</p>
<ul style="list-style-type: none"> Ensure that all class cancellations are for valid reasons and that all alternatives to cancellation have been explored. 	<p>PARTIALLY IMPLEMENTED</p>	<p>According to the Educational Service Progress Report, Fred C. Nelles High School has implemented a comprehensive plan for vacation, educational, and sick leave. A master calendar has been implemented to address the causes of requests. The school has also performed an analysis to assess the causes of ward attendance failures, including class cancellations. This data may assist the institution in developing policies to improve ward attendance and minimize class closures.</p>
<ul style="list-style-type: none"> Insist on the accurate reporting of ward attendance by instructors. Provide training as necessary and implement supervisory review and signature controls. 	<p>NOT IMPLEMENTED</p>	<p>The Office of the Inspector General's review of the monthly average daily attendance reports during the follow-up period indicated that many key data sections were not being prepared. Some of the missing data can be derived from the supporting spreadsheets, but the Education Services Branch's compilations of the monthly average daily attendance reports do not contain the detail contained in these supporting schedules. It was further noted that some of the data completed on the average daily attendance report did not</p>

<ul style="list-style-type: none"> • Ensure the use of trade advisory committees as outlined in Sections 3410 and 3420 of the <i>Education Services Branch Manual</i>. 	<p>NOT IMPLEMENTED</p>	<p>agree with the data compiled in the spreadsheet summary schedule. In particular, the teacher counts in the average daily attendance reports did not agree with the supporting schedules. Teacher counts and supporting schedules must agree in order for the California Youth Authority to realize its proper reimbursement for average daily attendance.</p>
<ul style="list-style-type: none"> • Comply with all recommendations of the Western Association of Schools and Colleges in order to obtain full accreditation for Fred C. Nelles High School. 	<p>NOT IMPLEMENTED</p>	<p>The institution has not made progress in using trade advisory committees. The education staff reported that a vocational advisory committee met in November 2001, but the staff could provide no meeting minutes. Further, the trade advisory committee roster indicated that three-quarters of the members were California Youth Authority employees, not members of the business and trades community, as intended.</p> <p>The goal of achieving accreditation has not yet been attained, but Fred C. Nelles High School is taking steps prescribed by the Western Association of Schools and Colleges in order to achieve full accreditation.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the California Youth Authority Education Services Branch and the institution's education administrators do the following:

- Promptly fill teaching vacancies, especially those in academic and special education.
- Work to provide competitive teacher compensation by upgrading pay scales, using compensation exceptions provided for by law and other suitable methods.
- Recruit more qualified substitute instructors so that classes can continue without cancellation when an instructor is sick, takes vacation, or is otherwise absent. Especially needed are daytime substitute teachers.
- Continue the self- assessment and analysis to improve school effectiveness and reduce the number of class cancellations.
- Complete all fields of the monthly average daily attendance report and ensure that all fields are accurate and consistent with supporting documents.
- Activate the trade advisory committees as outlined in Sections 3410 and 3420 of the *Education Services Branch Manual* and

ensure the use of meeting agendas and minutes to develop and organize effective committee goals.

- Comply with all recommendations of the Western Association of Schools and colleges in order to obtain full accreditation for Fred C. Nelles High School; ensure that the annual status reports are thorough and professionally prepared.

ORIGINAL FINDING 3:

The Office of the Inspector General found that the Fred C. Nelles management has no way of knowing whether ward grievances have been addressed in a timely and appropriate manner or whether they have been addressed at all. In reviewing the ward grievance process, the Office of the Inspector General found that the training, procedures, and oversight provided by management were so minimal that essentially no assurance was provided that ward grievances were promptly and properly addressed.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<ul style="list-style-type: none"> • Establish a formal process for logging, tracking, and resolving ward grievances that includes the use of pre-numbered grievance forms and the logging of the sequence of grievance form numbers provided to the grievance clerk at each cottage, as well as the date the numbered forms were distributed. 	<p>FULLY IMPLEMENTED</p>	<p>The institution has developed a formal process for logging, tracking, and resolving ward grievances. The process includes pre-numbered grievance forms, the logging of sequentially-numbered grievances by grievance clerks, and the date of issue.</p>
<ul style="list-style-type: none"> • Implement an online database and tracking system that includes the following information: <ul style="list-style-type: none"> • Grievance number • Grievant's name (last and first) • Grievant's California Youth Authority number • Cottage 	<p>FULLY IMPLEMENTED</p>	<p>The institution has implemented an on-line database and tracking system that includes all of the recommended information. Effective November 30, 2001, the new database was on the California Youth Authority's ward information network 2000 (WIN 2000) system. The Fred C. Nelles Youth Correctional Facility was one of the first institutions in the California Youth Authority to implement the WIN 2000-based system, which was scheduled for department-wide implementation January 15, 2002. The new system replaces a stand-alone system the institution developed and used following the</p>

<ul style="list-style-type: none"> • Date filed • Type of grievance • Staff member responsible for action • Due date for response • Appeal status • Due date for appeal • Resolution status <p>This tracking system should be established either on the California Youth Authority ward information system, or, in the short run, on a stand-alone system developed by the facility.</p>	<p>FULLY IMPLEMENTED</p>	<p>management review audit. The data fields are somewhat different, so the systems operated separately.</p> <p>As part of its follow-up, the Office of the Inspector General selected 18 ward grievances from ward grievance clerks and attempted to locate and track the grievances through the old and new systems. In 16 of the 18 cases, the grievances were found and tracked through their resolution. The two not located were from the stand-alone system.</p>
<ul style="list-style-type: none"> • Collect grievance forms from the cottages and enter them into the grievance tracking system daily. 	<p>FULLY IMPLEMENTED</p>	<p>The senior youth correctional counselor reviews, initials, and logs all incoming grievances daily. This staff member also schedules all grievance hearings and notifies the treatment team supervisor of the due date for each hearing.</p>
<ul style="list-style-type: none"> • Make the ward rights coordinator responsible for monitoring compliance with due dates and producing a weekly report listing grievances that are late and identifying the staff members responsible for each late grievance. 	<p>FULLY IMPLEMENTED</p>	<p>The ward rights coordinator has been made responsible for monitoring compliance with due dates and for producing a Section 4200 auditing report for all senior youth correctional counselors. This report lists all outstanding grievances and must be responded to by the senior youth correctional counselor. The response must contain the status of all outstanding grievances.</p>
<ul style="list-style-type: none"> • Require the ward rights coordinator to provide a copy of the late grievance report to the superintendent and all staff involved in the grievance process. 	<p>FULLY IMPLEMENTED</p>	<p>The ward rights coordinator provides a weekly report of late grievances to the superintendent and the assistant superintendent.</p>
<ul style="list-style-type: none"> • Immediately investigate all backlogged adverse action grievances. 	<p>FULLY IMPLEMENTED</p>	<p>The superintendent has investigated all backlogged adverse action grievances that existed at the time of the management review audit. Currently, there are no backlogged adverse action grievances.</p>
<ul style="list-style-type: none"> • Train all staff members and clerks involved in the ward grievance process. The training should cover the procedures 	<p>FULLY IMPLEMENTED</p>	<p>All staff members and ward grievance clerks have been trained in the ward grievance process. Senior youth correctional counselors, treatment team supervisors, and ward grievance clerks received detailed training on the WIN</p>

<p>recommended above, items required by California Youth Authority policy as identified in the <i>Institutions and Camps Branch Manual</i>, and specific procedures unique to Fred C. Nelles or described in its policy and operations manual. Specifically, the superintendent should ensure that:</p> <ul style="list-style-type: none"> • New ward grievance clerks are trained within 10 days of appointment. • All grievance clerks and staff are provided with ongoing training at least annually regarding the ward grievance process. 		<p>2000-based grievance system. In February and March 2001, all Bargaining Unit 6 staff received 7K training in ward rights, including the grievance process.</p> <p>The ward rights coordinator provides ongoing training to ward grievance clerks and staff. In addition to receiving four hours of initial training on their roles and responsibilities as clerks, ward grievance clerks receive training in their twice-monthly meetings with the ward rights coordinator. The ward rights coordinator meets monthly with the senior youth correctional counselors to discuss grievance policies, procedures, and issues.</p>
<ul style="list-style-type: none"> • Ensure that ward grievance clerks are selected by their peers within the parameters, guidelines, and criteria established by the institution. 	<p>FULLY IMPLEMENTED</p>	<p>All five of the ward grievance clerks interviewed by the Office of the Inspector General stated they were elected by their peers. Election results are reviewed and validated by the ward rights coordinator.</p>
<ul style="list-style-type: none"> • Ensure that the ward rights coordinator and the superintendent meet with the ward grievance clerks monthly to provide interaction. 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The ward rights coordinator meets twice per month with the ward grievance clerks to discuss their concerns, late grievances, and to provide the clerks training. In addition, the ward grievance coordinator conducts monthly grievance clerk meetings to discuss wards' concerns and late grievances. The superintendent has met occasionally with the ward grievance clerks.</p>
<ul style="list-style-type: none"> • Establish an oversight function to monitor the ward grievance process, regularly report any deficiencies directly to the superintendent, and hold staff members accountable for their responsibilities relative to the ward grievance process. 	<p>FULLY IMPLEMENTED</p>	<p>The ward rights coordinator is responsible for the overall management of the ward grievance system and reports to the assistant superintendent. The current ward rights coordinator is a highly skilled manager who was instrumental in designing the institution's ward grievance system and installing the grievance database on the WIN 2000 system. The management reports cited above, the ward rights coordinator's hands-on approach to training clerks and staff, his regular meetings with clerks and staff, and his careful monitoring of the ward grievance system have resulted in an effective oversight function.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the superintendent attempt to meet monthly with the ward grievance clerks.

ORIGINAL FINDING 4:

The Office of the Inspector General found that investigative files at the Fred C. Nelles facility are not adequately controlled and cases are not adequately monitored.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>In order to improve the quality of investigations, ensure the timely completion of investigations, and provide for the security and confidentiality of information, the Office of the Inspector General recommends that the institution management take the following actions:</p> <ul style="list-style-type: none"> Establish a formalized case filing system that provides an alphanumerical basis for storing files, facilitates the location and control of files, provides for control over access to files, and establishes procedures for checking out files. 	<p>FULLY IMPLEMENTED</p>	<p>The investigation files are now stored alphabetically by subject name. Only the superintendent's staff has access to the room where the files are stored, and a check out card is used whenever the files are removed.</p>
<ul style="list-style-type: none"> Develop and implement policies regarding the appropriate handling of investigative files and ensure that all investigative staff members have been trained on those policies. 	<p>FULLY IMPLEMENTED</p>	<p>Policies and procedures have been developed regarding the appropriate handling of investigative files. In addition, a Fred C. Nelles Youth Correctional Facility administrative investigation database has been developed for tracking staff action grievances, inquiries, and administrative investigations from point of initiation through case closure. Appropriate training has been provided to staff.</p>
<ul style="list-style-type: none"> Delegate responsibility for the investigative case tracking system to one person with a second person designated as a backup. The person responsible for the tracking system should be able to print reports and 	<p>PARTIALLY IMPLEMENTED</p>	<p>The superintendent's secretary is responsible for tracking investigative reports. She can access the computer and print a log of the investigative reports. She updates the superintendent frequently. The superintendent reports that the director has frequent contact with her regarding the status of staff investigations.</p>

<p>should prepare a monthly status update for the superintendent and the investigators. Time limits and target dates should be projected for each investigation, and the person responsible for the tracking system should send out notices when target dates are pending or have been missed.</p> <ul style="list-style-type: none"> Establish an internal review process, including review of all investigative reports by the superintendent, to ensure that conclusions are appropriate and supported. 		<p>However, the investigation log provided to the Office of the Inspector General was incomplete. Some date fields were filled in with zeros, and one had a due date that was before the assignment date. There is no evidence that as a due date passes, follow-up is performed. The Office of the Inspector General reviewed a list of investigations obtained from the internal affairs unit and found that it reported 21 investigations during the year 2001, but the investigation log provided by the institution reported only 12 investigations for the same period.</p>
	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The California Youth Authority has delegated the responsibility for making investigative findings to the superintendents of the institutions. The superintendent reviews each investigative report and ensures that the proper conclusions are reached. However, the Office of the Inspector General did not review the investigation reports at the institution.</p> <p>The Office of the Inspector General reviewed ten Fred C. Nelles Youth Correctional Facility investigation files at the internal affairs office in Sacramento. Of these, four files were missing signed investigative reports. Other relevant documentation for assessing the investigative process and conclusions was missing for many of the files selected for review.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the institution do the following:

- Use its new database to ensure the accurate, complete, and timely completion of investigations.
- Investigations should be monitored to ensure prompt completion within the framework established by the Public Safety Officer's Procedural Bill of Rights.
- Send notices when target dates are pending or have been missed.

The Office of the Inspector General also recommends that the California Youth Authority ensure that investigation files contain, at a minimum, signed investigation reports and documentation to support the investigative conclusion.

ORIGINAL FINDING 5:

The Office of the Inspector General found that lack of strong administrative procedures and controls, coupled with inadequate maintenance of physical plant and equipment, has weakened the security of the facility and compromised staff safety.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>The Office of the Inspector General recommends that the institution management address deficiencies related to the armory, the multi-hazard plan, perimeter security, safety and monitoring equipment, and general facility upkeep. Specifically, the institution's management should:</p>		
<ul style="list-style-type: none"> Designate specific custody staff, with a rank not lower than sergeant, to be responsible for the security and control of the armory. Post assignments and control staff schedules should ensure that one of the armory supervisors is on duty at all times. Further, all staff should be notified of the identity of the designated staff members and should be advised which of the supervisors is on duty for each shift. 	<p>PARTIALLY IMPLEMENTED</p>	<p>A sergeant has been designated as the armory sergeant, but he was unable to produce post orders for his position. As a result, there is confusion about specific duties and responsibilities of the staff.</p>
<ul style="list-style-type: none"> Conduct a physical inventory of all items in the armory to establish the items currently in stock. Once the base inventory has been established, inventory should be received or disbursed only by an armory supervisor. All receipts should be signed off as received by the armory supervisor on duty, and a copy of the receiving report should be maintained at the armory. 	<p>FULLY IMPLEMENTED</p>	<p>The institution has conducted a physical inventory of the armory, and the results have been entered into the armory database. The armory key is kept in a locked box in the control station. Access to the key is controlled by security supervisors, and key custody is passed from shift to shift. Equipment issued from the armory is noted in the log maintained at the control station.</p>

<ul style="list-style-type: none"> Use a similar logging process for chemical agents and other consumable items, ensuring that serial numbers for chemical canisters are recorded. 	<p>FULLY IMPLEMENTED</p>	<p>The institution inventories all chemical agents except pepper balls by make, model, and serial number. All chemical agents issued are recorded in the control station log. The supervisor issuing the equipment and the staff member receiving it are similarly recorded.</p>
<ul style="list-style-type: none"> Conduct daily physical inventories of weapons and quarterly inventories of ammunition and chemical agents. Hold armory supervisors accountable for maintaining adequate records and ensuring the accuracy and appropriateness of the inventory on hand. 	<p>NOT IMPLEMENTED</p>	<p>The institution created armory policies, procedures, and the armory database. These have been adopted by four other facilities. However, the Office of the Inspector General found that the armory sergeant was unfamiliar with department policies regarding the required frequency for inventorying state-issued firearms, speed loaders, magazines, and chemical agents. The sergeant said that state-issued firearms are inventoried each shift and that the inventories are noted in the log at the control station; however, speed loaders and magazines were kept by the staff. A review of the log for two days in January 2002 disclosed no entries concerning the inventory of state-issued weapons. The Office of the Inspector General found that quarterly inventories of ammunition and chemical agents had been conducted.</p>
<ul style="list-style-type: none"> Assign responsibility for preparing the multi-hazard plan to one staff member, give the individual a deadline for completion, and hold the individual accountable for plan quality and timeliness. Review the plan and keep it current. 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The chief of security is responsible for preparing the multi-hazard plan and keeping it current. The plan has been updated, and it is well-organized and generally complete.</p>
<ul style="list-style-type: none"> [REDACTED] 	<p>NOT IMPLEMENTED</p>	<p>Although a budget request has been submitted, the perimeter fences have been neither repaired nor replaced.</p> <p>Foliage growing against the fence during the management review audit has not been trimmed, resulting in the potential for staff to turn off the fence alarm when branches strike the fence on windy days.</p>

<ul style="list-style-type: none"> • Train staff in the use of available information system resources and clarify their responsibility for inputting, updating, and maintaining the system data. Responsibilities related to maintaining the database should be included in the periodic performance evaluation to ensure that employees are adequately discharging these functions. • Train staff in the various reports, screen prints, and other outputs available that are useful in performing their duties and managing wards and employees. 	<p>NOT APPLICABLE</p>	
<ul style="list-style-type: none"> • Restrict access to the information system consistent with sound general and application controls. 	<p>NOT APPLICABLE</p>	
<ul style="list-style-type: none"> • Establish a process to control and prioritize information system programming requests consistent with the needs of the facility. 	<p>NOT APPLICABLE</p>	
<ul style="list-style-type: none"> • Enforce the above policies and procedures by periodically auditing the information system. 	<p>NOT APPLICABLE</p>	

FOLLOW-UP RECOMMENDATIONS:

None.

<ul style="list-style-type: none"> • If feasible, change the front gate sally port to accommodate larger trucks (up to 40 feet) without the need to open both sally port gates. 	<p>NOT IMPLEMENTED</p>	<p>The size of the sally port remains the same. There is a sally port in the maintenance area that can accommodate large trucks; however, the chief of security said that there are not enough security staff members to cover that location.</p>
<ul style="list-style-type: none"> • [REDACTED] 	<p>NOT IMPLEMENTED</p>	<p>[REDACTED]</p>
<ul style="list-style-type: none"> • Locate the printer and the system alarm in the control booth so the custody staff on duty can monitor employees who are tardy showing up or leaving work via printouts and the audio alarm. Investigate any exceptions promptly to ensure the safety of the staff member in question. 	<p>FULLY IMPLEMENTED</p>	<p>The printer has been moved to the control station.</p>
<ul style="list-style-type: none"> • [REDACTED] 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>At the time of the Office of the Inspector General's follow-up visit, a vendor was on the grounds installing a new intercom and personal alarm system throughout the facility. This project is part of the personal alarm enhancement plan and should enhance the overall effectiveness of the institution's personal alarm system.</p>

<ul style="list-style-type: none"> Repair the intercom system so the control booth staff can monitor activity in the ward cottages. 	<p>FULLY IMPLEMENTED</p>	<p>As cited above, a vendor was installing a new intercom system at the time of the Office of the Inspector General's follow-up visit. This system is linked to the control station.</p>
<ul style="list-style-type: none"> Keep "Unisec" receivers in working order and test them regularly to ensure that systems in all buildings are functioning appropriately. 	<p>FULLY IMPLEMENTED</p>	<p>As cited above, a new personal alarm was being installed. The "Unisec" receivers were being replaced.</p>
<ul style="list-style-type: none"> Repair the "Unisec" system so that the time alarms received are accurately recorded. 	<p>FULLY IMPLEMENTED</p>	<p>As cited above, a new personal alarm system was being installed, thereby eliminating the need to repair the "Unisec" system.</p>
<ul style="list-style-type: none"> Ensure that the debris, surplus items, and scrap materials located by the sports field are cleaned up immediately. 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The area has been cleaned up and most of the scrap materials have been removed. However, the Office of the Inspector General noted some materials remained in the area around the storage shed at the back of the facility. Further, an abandoned football-tackling sled was located adjacent to the fence in the same area. When propped on its side against the fence, the sled could serve as an escape ladder, complete with rungs.</p>
<ul style="list-style-type: none"> Make more frequent tours and inspections of the facilities and grounds to ensure that problems such as accumulated debris do not occur again. 	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>The superintendent has issued directives to all staff requiring that all debris, surplus items, and scrap materials be reported to a supervisor. The Office of the Inspector General noted that, with the exception of the area cited above, the facility grounds were much cleaner than at the time of the management review audit.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the institution do the following:

- Provide post orders to the armory sergeant and ensure that all staff performing armory-related work are familiar with the post orders.
- Conduct and document daily physical inventories of weapons and quarterly inventories of ammunition and chemical agents. Hold armory supervisors accountable for conducting accurate, well-documented inventories and for the appropriateness of inventory on hand.

- Add specific steps for hostage situations to the multi-hazard plan.
- Cut away the foliage adjacent to the perimeter fence.
- Ensure that the security devices related to the perimeter fence are operating as designed.
- Take progressive disciplinary action against employees who continue to ignore the superintendent's directives regarding the bio-scan system.
- Remove the debris from around the shed at the back of the facility. Remove the abandoned football-tackling sled.

ORIGINAL FINDING 6:

The Office of the Inspector General found that the disciplinary decision-making system at the Fred C. Nelles Youth Correctional Facility needs improvement.

ORIGINAL RECOMMENDATION:	STATUS:	COMMENTS:
<p>The Office of the Inspector General recommends that the California Youth Authority and the institution management closely monitor the disciplinary decision-making system to ensure that deadlines are met and that time extensions are granted only rarely, based upon criteria developed by the institution.</p>	<p>SUBSTANTIALLY IMPLEMENTED</p>	<p>Using the ward information network 2000 (WIN 2000) system as a platform, a newly hired treatment team supervisor developed a database to track Level B disciplinary decision-making system actions. This database is intended to ensure that each disposition hearing is conducted within 14 days of the fact-finding hearing that precipitates it. The management review audit found that only 49% of 39 cases sampled had disposition cases within 14 days of the fact-finding hearing. In the follow-up review, 76% of 30 sampled cases had disposition hearings within 14 days of the fact-finding hearing.</p>

FOLLOW-UP RECOMMENDATIONS:

The Office of the Inspector General recommends that the institution do the following:

- Continue to monitor the disciplinary decision-making system by using the new database.
- Provide a monthly report to the superintendent on overdue disposition hearings.
- Take appropriate corrective action when fact finders fail to conduct timely hearings on assigned cases.

ORIGINAL FINDING 7:

The Office of the Inspector General found that maintenance at the Fred C. Nelles Youth Correctional Facility is deficient.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>In order to improve facilities maintenance at the Fred C. Nelles Youth Correctional Facility, the Office of the Inspector General recommends that the institution management and the California Youth Authority take the following actions:</p> <ul style="list-style-type: none"> The California Youth Authority should determine the consultant costs for a department-wide facilities assessment and request the maintenance resources needed through a spring finance letter during the fiscal year 2001-02 budget process. There is no reason to delay addressing this issue until the subsequent budget year. 	<p>NOT IMPLEMENTED</p>	<p>The department did not submit a spring finance letter. The department plans to conduct an internally funded department-wide facilities assessment.</p>
<ul style="list-style-type: none"> The Facilities Planning Division should continue to seek funding for "special repair" projects on an individual project basis through the budgetary process. That approach led to the approval of six projects this year and those efforts should continue at least until the study of the California Youth Authority facility needs is concluded, a facilities plan is developed, and the required level of funding is ensured. 	<p>PARTIALLY IMPLEMENTED</p>	<p>The Facilities Planning Division has continued to seek funding for "special repair" projects on a project-by-project basis. Given the State's current budget limitations, capital outlay funding for the numerous projects needing attention has been difficult to secure. To minimize building deterioration, the institution has developed a preventive maintenance plan. The plan includes a written maintenance schedule for key plant and equipment items such as heating and cooling systems. An automated tracking system monitors completion of the scheduled maintenance.</p>
<ul style="list-style-type: none"> The Fred C. Nelles superintendent should continue to expand the landscaping staff. Ward labor should continue to be used in all areas of the 	<p>PARTIALLY IMPLEMENTED</p>	<p>The need for maintenance staff cited in the management review audit still exists. Current state budget problems will preclude staffing increases in the near future. A committee assessed the potential for using ward labor; but ward labor has not been used extensively because higher priority has been</p>

<p>institution where manual ward labor can safely and effectively be used. In addition, the two areas on the south corner and in the northwest section of the institution described in this report as "unkempt" should be cleaned up immediately. If any of the items that have been discarded in these areas can be used they should be stored neatly, preferably in the plant operations warehouse. The cell doors that are located by the main warehouse should be returned if possible, or transferred to an institution or other agency that can use them.</p>		<p>given to educating wards and providing them with treatment services. Institution security also precludes using wards for many jobs. Nevertheless, wards have been used to a limited extent on maintenance-related projects, such as recycling scrap materials and the roofing of a building. The institution has cleaned up the grounds, including the two areas cited in the report as "unkempt."</p>
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FOLLOW-UP RECOMMENDATION:

The Office of the Inspector General recommends the California Youth Authority and the institution continue to seek capital outlay funding through the means cited in the management review audit.

ORIGINAL FINDING 8:

The Office of the Inspector General found deficiencies in the operation of the Fred C. Nelles Youth Correctional Facility warehouse.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>The Office of the Inspector General recommends that the institution management ensure that the business administrator complete the changes she has begun making to the warehousing function. In addition, the superintendent should:</p> <ul style="list-style-type: none"> Reconfigure or eliminate the entrance to the warehouse so that non-warehouse personnel can be kept out of the warehouse or at least can be escorted when they enter the warehouse. 	<p>FULLY IMPLEMENTED</p>	<p>The main warehouse and the plant maintenance warehouse are now separated, and each has its own entrance. There are access and egress controls in place at each warehouse.</p>

<ul style="list-style-type: none"> Move all plant maintenance items into the warehouse in the plant maintenance facility. 	<p>FULLY IMPLEMENTED</p>	<p>All plant maintenance items are now located in the plant maintenance warehouse.</p>
<ul style="list-style-type: none"> Clearly define the warehouse manager's duties, provide training as necessary, and hold the warehouse manager accountable to the business administrator for the efficient, orderly operation of the warehouse. 	<p>FULLY IMPLEMENTED</p>	<p>The warehouse manager's duty statement has been updated and the warehouse manager has been provided with candid, timely performance appraisals.</p>

FOLLOW-UP RECOMMENDATIONS:

None.

ORIGINAL FINDING 9:

The Office of the Inspector General found deficiencies in the data management system at the Fred C. Nelles facility.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>Implement the California Youth Authority ward information system as soon as possible and provide adequate training and support to users.</p>	<p>FULLY IMPLEMENTED</p>	<p>The ward information network (WIN 2000) system is operational. Training has been provided to the staff in their respective areas of responsibility. These areas include the grievance module and the special management program/temporary detention module. An automation committee meets monthly to monitor WIN 2000 implementation, to discuss system problems and potential improvements, and to discuss the training needs of the staff.</p>
<p>If the ward information system will not be implemented for a significant period of time (six months or longer), the superintendent should:</p> <ul style="list-style-type: none"> Review facility policies and procedures governing the information system to ensure that they accomplish the following: 	<p>NOT APPLICABLE</p>	

ORIGINAL FINDING 10:

The Office of the Inspector General found that staff performance appraisals and probationary reports are overdue.

ORIGINAL RECOMMENDATIONS:	STATUS:	COMMENTS:
<p>The Office of the Inspector General recommends that the superintendent take the following actions to ensure the prompt evaluation of employee performance:</p>		
<ul style="list-style-type: none"> Notify every staff member of the importance of performance appraisals and probationary reports to the mission of the Fred C. Nelles Youth Correctional Facility. 	<p>FULLY IMPLEMENTED</p>	<p>The superintendent issued a directive to all staff outlining the importance of completing thorough and timely performance appraisals and probation reports.</p>
<ul style="list-style-type: none"> Instruct the personnel officer to log all delinquent appraisals and reports, including all contacts with supervisors and managers. This log should be submitted to the superintendent monthly and made a regular topic of management meetings. 	<p>FULLY IMPLEMENTED</p>	<p>The business administrator oversees the personnel department's generation of monthly reports listing all outstanding performance appraisals, probation reports, and duty statements. The reports are provided to the superintendent and discussed at management meetings. Supervisors and managers are notified to take prompt corrective action.</p>
<ul style="list-style-type: none"> Include this responsibility in supervisors' and managers' own performance expectations and performance appraisals. 	<p>FULLY IMPLEMENTED</p>	<p>Supervisors and managers are evaluated on their compliance with the superintendent's directive and expectations.</p>

FOLLOW-UP RECOMMENDATIONS:

None.

ATTACHMENT

VIEWS OF RESPONSIBLE OFFICIAL

DEPARTMENT OF YOUTH AUTHORITY

Fred C. Nelles Youth Correctional Facility, Whittier
Vivian Crawford, Superintendent

Address reply to:

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July 8, 2002

John Chen, Chief Deputy Inspector General
Office of the Inspector General
3927 Lennane Drive, Suite 220
Sacramento, California 95834-8780

Dear Chief Deputy Inspector General Chen,

I wish to again express my appreciation for the professionalism displayed by the audit team during their work at Fred C. Nelles Youth Correctional Facility. The support and assistance of Sam Cochran, Dewey Willis and the rest of the team have been invaluable to the progress made to date.

Attached is the response to the recent Office of Inspector General Follow-up Audit. As you are aware, Finding Seven of the audit report requires attention at the departmental level. The Department is aware of recommendations to address maintenance deficiencies and has continued to seek appropriate funding through the budgetary process. In spring, however, related budgetary requests were not submitted due to the current budget crisis.

We will continue the process of establishing goals and objectives, monitoring and accountability that has proven most useful.

Please let me know if you have any questions or need additional information.

A handwritten signature in cursive script that reads "Vivian V. Crawford".

Vivian Crawford
Superintendent

cc: Richard Kai, Chief Deputy Director
Judy Weiss, Assistant Deputy Director

Fred C. Nelles Youth Correctional Facility



**Office of Inspector General
Response Report**

This report is in response to the Office of Inspector General Management Review Audit Follow-up Review, dated May 2002. It should be noted that the responses below specifically address only those areas requiring further attention.

Finding I:

- **Develop a casework management system that meets the content and frequency criteria laid out in Section 4000 of the Institutions and Camps Manual.**
 - ✓ **Small group counseling**
 - ✓ **Caseload assignment**
 - ✓ **Academic/vocational assignment**
 - ✓ **Ward orientation within 10 working days of arrival**
- 1. Treatment Team Supervisors continue to comply with facility policy requiring a monthly audit of ward cottage files by assigned supervisors. Sixty-five files are audited per month; 780 files will be audited per year. On-going monitoring and staff accountability is projected to achieve full implementation of recommendations during the next 12 months.
- 2. Treatment Team Supervisors continue to attend small groups and case conferences and report findings as part of their monthly report to the Office of the Superintendent.
- 3. Program Administrator monitors I&C Section 4000 mandates via monthly organizational meetings with the TTS, PA1 and SYCC.
- 4. The Program Administrator issued a directive to the TTS's requiring that they conduct formal meetings with assigned parole agents.
- **Rotate all peace officer staff assigned to the Nixon Cottage and Taft Cottage within the 24-month limitation required by collective bargaining.**

In accordance with collective bargaining, Taft Cottage staff rotate every 24 months. Nixon Cottage is not considered a "lock-up" according to the existing interpretation of collective bargaining and, therefore, not subject to the 24-month rotation requirement.
- **Work with the education administrators at the Fred C. Nelles Youth Correctional Facility to ensure teacher availability and participation in ward assessment and counseling.**

1. Effective January 2002, the program administrator forwards case conference schedules to the education office. Continued improvement in this area is required in order to better coordinate treatment and education attendance at case conferences.
2. Program administrator and principal will continue to monitor and report observations to the Office of the Superintendent.
3. Treatment Team Supervisors continue to comply with facility policy requiring a monthly audit of ward cottage files by assigned supervisors. Sixty-five files are audited per month; 780 files will be audited per year. On-going monitoring and staff accountability in casework areas, including the case conference process is projected to achieve full implementation of recommendations.
- **Bring institution into compliance with all requirements of the suicide prevention, assessment and response program. Examples of items the institution must address include, but are not limited to maintaining current suicide risk lists in each cottage.**
 - ✓ **Providing wards under suicide surveillance with safety smocks**
 - ✓ **Isolating wards at risk of suicide from other wards**
 - ✓ **Ensure that rooms are configured to preclude the passing of items under, over, or around doors**
 - ✓ **Provide cut-down kits to each living unit**
 - ✓ **Hire a senior psychologist to supervise the program**
 - ✓ **Require regular attendance by all designated staff at suicide prevention meetings**
1. Wards on suicide receive required safety smocks and blankets. Approval and receipt of safety mattresses is being coordinated through the Institutions and Camps Branch.
2. Wards on suicide watch and who have a GAF score below 41 are programmed separately. A copy of the GAF scores is maintained in the Taft/Nixon Cottage Control Center. Since May 2002, ten rooms on Taft Cottage have been converted to suicide watch/safe rooms and comply with departmental suicide watch room standards.
3. Superintendent issued policy requiring the following: The suicide risk list will be made available via the Ward Information Network (WIN) at all times and will be maintained by the Senior Psychologist or designee. Living unit staff will print a copy of the suicide risk list on a daily basis during the 3rd watch shift. Staff working the 2nd watch staff will ensure that a copy of the list is posted on the cottage Suicide Risk List clipboard located in the control center. In the event of a WIN failure, the lieutenant is responsible for notifying the LAN manager and all other necessary managers and ensure that all living units receive a hard copy of the suicide risk list.
4. Cut down kits are now maintained in a common and readily accessible location on each cottage. The Special Management Program cottages (Taft/Nixon) have been supplied with an additional cut down kit in order to increase accessibility for staff.
5. A senior psychologist was hired on June 1, 2002 and has substantially augmented resources that enable compliance with SPAR mandates. Taft Cottage continues to maintain an office for a psychologist, which is occupied by a psychologist daily.

6. SPAR committee requirements are being achieved. The next SPAR meeting is scheduled for July 25, 2002. The Superintendent will make SPAR committee process and attendance a standing agenda item at management meetings.

Finding 2:

The Office of the Inspector General found that Fred C. Nelles Youth Correctional Facility educational and vocational classes are poorly attended and that the wards' academic achievement is low compared to that of other California Youth Authority facilities.

- **Work with ward representatives and institution education administrators as well as Education Services Branch administrators to provide the best possible learning environment. Within the framework of institutional security, the superintendent should encourage the exchange of ideas through regular meetings and should activate the trade advisory committee.**
- 1. A plan has been developed to provide in-house substitute teachers or teaching assistants in order to prevent classroom closures. While teaching assistants can not provide curriculum instruction, they are able to provide help with research/library skills, self-esteem instruction, etc.
- 2. A recent policy was implemented to provide specific procedures to minimize student absences due to ward acting-out behavior.
- 3. Wards released to general population living units are monitored regularly by the education scheduler to ensure that they are scheduled for a class upon intra-facility transfer.
- **The management of the California Youth Authority Education Services Branch and the institution's education administrators should: Promptly fill teaching vacancies, especially those in academic/special education. Work to provide competitive teacher compensation by upgrading pay scales, using compensation exceptions provided for by law and other suitable methods.**

Currently, the education section does not have a staff shortage problem.

- **Make every effort to compile a list of qualified substitute instructors so that classes can continue without cancellation when an instructor is sick, takes vacation, or is otherwise absent.**

A plan has been developed to provide in-house substitute teachers or teaching assistants in order to prevent classroom closures. While teaching assistants can not provide curriculum instruction, they are able to provide help with research/library skills, self-esteem instruction, etc.

- **Explore ways to lessen the disruption or cancellation of classes due to other types of trade holds. For example, the causes of Unisec failures should be examined and corrected.**

Measures cited by the OIG Management Review Audit Follow-up Report are being pursued as follows: a) the school gathers data on why wards are not attending classes and addresses issue during management meetings. Data is gathered by having education staff conduct living unit visits to assess reason(s) for students not attending class and reporting findings to the Office of the Superintendent; b) wards are being released to school cottage by cottage, creating a safer environment.

- **Ensure that all class cancellations are for valid reasons and that all alternatives to cancellation have been explored.**

Data is gathered by having education staff conduct living unit visits to assess reason(s) for students not attending class and reporting findings to the Office of the Superintendent. This data is addressed during management meetings.

- **Insist on the accurate reporting of ward attendance by instructors. Provide training as necessary and implement supervisory review and signature controls.**

The Education Services Branch is implementing a new average daily attendance record that will be standardized across the Department. Fred C. Nelles YCF is currently piloting implementation of this policy, which will specifically address deficiencies in this area.

- **Ensure the use of trade advisory committees as outlined in Sections 3410 and 3420 of the Education Services Branch Manual.**

This will be addressed by education section management and supervisors.

- **Comply with all recommendations of the Western Association of Schools and Colleges in order to obtain full accreditation for Fred C. Nelles High School.**

The facility is currently progressing in the WASC accreditation process. The facility has remained in constant communication with the WASC office and advised that facility efforts are on track with respect to timely accomplishment of WASC expectations.

Finding 3:

The Facility will ensure that a tracking system, appropriate training and regular meetings with grievance clerks is achieved.

- **Ensure that the ward rights coordinator and the Superintendent meet with the ward grievance clerks monthly to provide interaction.**

Meetings are conducted monthly with the grievance clerks and ward rights coordinator. Assistant Superintendent Teresa Chavira is responsible for meeting with grievance clerks monthly. The Superintendent will also meet with the grievance clerks on a monthly basis.

Finding 4:

Investigations will be adequately controlled and cases monitored.

- **Delegate responsibility for the investigative case tracking system to one person with a second person designated as a backup.**

The Superintendent's secretary will continue to track investigative reports. The Assistant Superintendent's Secretary will be trained as a back-up person for this responsibility.

- **Establish an internal review process, including review of all investigative reports by the Superintendent, to ensure that conclusions are appropriate and supported.**

The Superintendent continues to meet monthly with her secretary and Internal Affairs Unit Investigators to ensure that the investigative process for all matters arrive at a conclusion and are appropriately supported.

Finding 5:

The Office of the Inspector General found that lack of strong administrative procedures and controls, coupled with inadequate maintenance of physical plant and equipment, has weakened the security of the facility and compromised staff safety.

- **Designate specific custody staff, with a rank not lower than sergeant, to be responsible for the security and control of the armory. Post assignments and staff schedules should ensure that one of the armory supervisors is on duty at all times. Further all staff should be notified of the identity of the designated staff members and should be advised which of the supervisors is on duty for each shift.**

The third watch lieutenant and sergeant have been assigned responsibility for security and control of the armory. The lieutenant has been designated as the Armory Administrator and the sergeant is his assistant. The Chief of Security is designated as the Database Administrator. Armory post orders have been developed and issued to responsible security staff, with a copy placed in their work and personnel files.


- **Conduct daily physical inventories of weapons and quarterly inventories of ammunition and chemical agents. Hold armory supervisors accountable for maintaining adequate records and ensuring the accuracy and appropriateness of the inventory on hand.**

Pursuant to a departmental policy issued June 2002 Weapons Inventory and Storage Policy and Procedure speed loaders and unloaded weapons must be kept in a gun locker and inventoried daily by a supervisor. This policy also requires that an inventory control form is to be completed every 24 hours and verification of serial number is done once a week. Staff responsible for weapons inventory and storage are complying with

this departmental policy. Quarterly inventory of all firearms is submitted to the Institutions and Camps Branch.

- **Assign responsibility for preparing the multi-hazard plan to one staff member, give the individual a deadline for completion and hold the individual accountable for plan quality and timeliness. Review the plan and keep it current.**

The Chief of Security has given specific instructions to a lieutenant to update the multi-hazard plan in order to implement the response to a hostage situation. The Department is currently updating the policy relating to hostage situation response.



This recommendation continues to be pursued through the budgetary process, however, the current status of related budgetary requests are delayed due to the current budget crisis. Regular fence alarm checks are conducted every day and the foliage growing against the fence line as identified by the audit team will be trimmed.

- **If feasible, change the front gate sally port to accommodate larger trucks (Up to 40 feet) without the need to open both sally port gates.**

A budget change proposal requesting additional staff was submitted, however, not accepted by the department. For this reason, the front sally port continues to be used. The budget change proposal to build an additional perimeter fence that was submitted and accepted by the department will result in enlargement of the front sally port. The only time that both front sally port gates are opened at the same time is when the area has been cleared of all wards and security staff are temporarily redirected to supervise the trucks.

- **Ensure that ancillary security devices related to the perimeter fence, including the fence alarm system and the camera system, are operating as designed.**

Regular security checks are conducted to ensure perimeter fence security devices that may not be working properly are identified and repaired. As security devices are identified as not functioning, this is reported in the Fence Alarm Check report maintained by the Chief of Security. This information is also recorded in the automated work order system and repair is completed. Every fence alarm zone is checked daily and a Fence Alarm Check report is submitted for review by supervisors and Chief of Security.

(REDACTED)



- **Install intercoms in all rooms used for ward instruction, including the vocational education classrooms.**

The intercom installation is not complete, however, the project will continue to be monitored. The projected completion date for this project is September 2002.

- **Ensure that the debris, surplus items and scrap materials located by the sports field are cleaned up immediately.**

The football-tackling sled was the only remaining concern noted by the Audit Team. The sled has been removed from the original area adjacent to the fence and secured using a lock and chain.

- **Make more frequent tours and inspections of the facilities and grounds to ensure that problems such as accumulated debris do not occur again.**

The Superintendent has issued directives to staff requiring that all debris, surplus items, and scrap materials be reported to a supervisor.

Finding 6:

Closely monitor the DDMS process to ensure that deadlines are met and that time extensions are granted only rarely, based criteria developed by the institution.

1. A concept paper requesting additional staff resources for the Wards Rights Section was submitted and approved. An additional manager was added to the wards the Wards Rights Section, which resulted in a separation in management responsibilities for DDMS and ward grievance system functions. Since December 2001, there are two managers for the Wards Rights Section.
2. DDMS office was relocated to facilitate increased confidentiality for wards and provide more space.
3. The DDMS component of the WIN system is fully implemented and relied upon/accessible to treatment, security and education staff to initiate, complete and track all DDMS matters. The Wards Rights Section collaborated with the Departmental Automation Team in developing the computer-based DDMS monitoring and tracking system that ensures accountability at all levels for dispositions, and timely investigations and fact findings. Training was provided for all treatment, security, education, management, and administrative staff.
4. A report showing outstanding DDMS behavior reports, fact-finding, and disposition hearings are reviewed weekly during management meetings. The report consists of weekly/monthly statistics, fact-finding lists, and disposition setting list.
5. In March 2002, the facility policy was revised to establish shorter time lines for completion of the DDMS process for managers and to streamline procedures.
6. In March 2002, training was provided to treatment, security, and education staff.

7. Managers are held accountable for failure to comply with department and local DDMS policy.

Finding 7:

The Office of the Inspector General found that maintenance at the Fred C. Nelles Youth Correctional Facility is deficient.

- **The California Youth Authority should determine the consultant costs for a department-wide facilities assessment and request the maintenance resources needed through a spring finance letter during the fiscal year 2001-02 budget process. There is no reason to delay addressing this issue until the subsequent budget year.**

The Department will continue to seek appropriate funding through the budgetary process, however, a spring letter was not submitted due to the current budget crisis.

- **The Facilities Planning Division should continue to seek funding for "special repair" projects on an individual project basis through the budgetary process. That approach led to the approval of six projects this year and those efforts should continue at least until the study of the California Youth Authority facility needs is concluded, a facilities plan is developed and the required level of funding is ensured.**

The Department will continue to seek appropriate funding through the budgetary process, however, a spring letter was not submitted due to the current budget crisis.

- **The Fred C. Nelles Superintendent should continue to expand the landscaping staff. Ward labor should continue to be used in all areas of the institution where manual ward labor can safely and effectively be used. In addition, the two areas on the south corner and in the northwest section of the institution described in this report as "unkempt" should be cleaned up immediately. If any of the items that have been discarded in these areas can be used they should be stored neatly, preferably in the plant operations warehouse. The cell doors that are located by the main warehouse should be returned if possible, or transferred to an institution or other agency that can use them.**

The Department will continue to seek appropriate funding through the budgetary process, however, a spring letter was not submitted due to the current budget crisis.