

Robert A. Barton  
Inspector General

Office of the Inspector General

# 2014 ANNUAL REPORT



January 2015

**Fairness ♦ Integrity ♦ Respect ♦  
Service ♦ Transparency**

# Office of the Inspector General 2014 ANNUAL REPORT



Robert A. Barton  
*Inspector General*

Roy W. Wesley  
*Chief Deputy Inspector General*

Shaun R. Spillane  
*Public Information Officer*

January 2015

# Table of Contents

<b>FOREWORD</b>	<b>1</b>
<b>OIG OUTREACH</b>	<b>3</b>
<b>ORGANIZATIONAL OVERVIEW</b>	<b>6</b>
<b>FUNCTIONS OF THE OFFICE OF THE INSPECTOR GENERAL</b>	<b>7</b>
<b>Statewide General Intake</b>	<b>7</b>
<b>CDCR Oversight Activities</b>	<b>8</b>
<b>Monitoring Activities</b>	<b>9</b>
<b>Medical Inspections</b>	<b>10</b>
<b>Warden/Superintendent Vetting</b>	<b>11</b>
<i>Blueprint</i> <b>Monitoring</b>	<b>11</b>
<b>California Rehabilitation Oversight Board</b>	<b>12</b>
<b>Special Reviews</b>	<b>13</b>
<b>CDCR CORRECTIVE ACTION PLAN UPDATE</b>	<b>14</b>
<b>Status of Recommendations Made to CDCR During 2014</b>	<b>14</b>
<b>Status of Recommendations Made to CDCR During 2013</b>	<b>14</b>
<b>APPENDIX: REPORTS RELEASED IN 2014</b>	<b>15</b>

# FOREWORD

## **OIG Mission**

*To safeguard the integrity of the State's correctional system by providing oversight and transparency through monitoring, reporting, and recommending improvements on policy and practices of the California Department of Corrections and Rehabilitation.*

## **OIG Vision**

*To transform the State's correctional system into a model for inmate rehabilitation, employee conduct, health care delivery, and transparency in correctional programs.*

This report recounts the activities of the Office of the Inspector General (OIG) for the 2014 calendar year. It also encompasses the third full year and marks the halfway point of my six-year term as Inspector General. I am proud of the accomplishments of my staff. We continue to provide transparency for the California Department of Corrections and Rehabilitation (CDCR or the department). With our ongoing monitoring of various CDCR practices, we aim to provide confidence to the Legislature, citizenry, and Governor that our correctional system is functioning properly. We seek to add value to the department by providing recommendations that improve the crucial public safety mission of CDCR. To that end, we have employees inside the prisons on a daily basis interacting with CDCR staff and inmates in a multitude of areas, and we compile reports in several of those categories, which can be found on our website ([www.oig.ca.gov](http://www.oig.ca.gov)).

It is my goal moving forward to become more active assisting the department in the arena of inmate rehabilitation. This last year, legislation was passed that revised the number of meetings and reports required by the California Rehabilitation Oversight Board (C-ROB). However, it was not done because the OIG's role in assessing rehabilitation efforts by the department decreased; in fact, just the opposite is true. Due to the OIG's monitoring of CDCR's adherence to *The Future of California Corrections: A Blueprint to Save Billions of Dollars, End Federal Court Oversight and Improve the Prison System* (the *Blueprint*), we found we were duplicating the efforts of our office and the department in compiling and reporting on the same rehabilitative efforts. Now we concentrate on taking a more in-depth look at what is occurring in programs within the prisons. We are expanding the scope of our review to include those rehabilitative opportunities created not only by CDCR, but also by outside providers and inmates themselves. We will also be looking to other states and countries to see what is working elsewhere that might be effective here. It is increasingly clear that to continue a reduction in crime and incarceration, the State has to provide realistic opportunities for rehabilitation. Through collaboration and communication with CDCR's Division of Rehabilitative Programs, Office of Correctional Education, and Division of Adult Institutions, it is our sincere hope that California can reduce recidivism rates in the future.

I have reached out to stakeholders and attended conferences and workshops to become better informed on the obstacles and challenges to successful societal reentry faced by those who are released. I have continued to visit CDCR institutions and facilities both in and out of State. Many of those visits have coincided with the statutory requirement to evaluate and recommend prospective wardens to the Governor. In 2014, 11 vettings were completed, with an average completion time of 55 days.

The OIG continues to respond to the concerns and complaints of staff, inmates, and the public and address those issues with CDCR as part of our Intake function. We have also responded to legislative requests for authorized reviews. This year the Senate Public Safety Committee requested the OIG assess and report back on the state of electronic monitoring of sex offender parolees. That report was published November 6, 2014.

Our Semi-Annual Reports detail our work monitoring CDCR's disciplinary process, contraband surveillance watch, use of force, and critical incidents. We have also completed a comprehensive update and pilot project for our medical inspections. Beginning in 2015, medical inspection reports will include both a policy adherence component, as in the past, and a new qualitative analysis component. We also continue to analyze and, when necessary, investigate both Prison Rape Elimination Act (PREA) and retaliation complaints.

The Office of the Inspector General is dedicated to protecting the interests of the taxpayers and ensuring the integrity of the correctional system, the safety and security of staff and inmates, and meaningful opportunities for rehabilitation.



Robert A. Barton  
Inspector General

# OIG OUTREACH

The OIG is constantly looking for opportunities to better assess and positively impact the operations of CDCR. This requires communication with departmental staff, the institutions, and outside stakeholders. The OIG also tries to educate those same entities about the OIG mission and solicit input from them. Finally, the OIG searches for ways to learn about best practices that might be recommended within the State's system.

The OIG's vision is that it will be able to point to what is possible in redemptive programming for offenders. The OIG would like to recommend strategies and workable solutions to the largest system of incarceration in the nation, with the goal of effectively reducing that population and fostering success for those already caught in it. In November 2014, the Inspector General was invited by the Rockefeller Foundation to attend an international conference. The delegates brainstormed and collaborated regarding various strategies and methods of programs for inmates and staff to equip them for release and reintegration into society.

As an oversight agency with broad monitoring mandates throughout a huge correctional system, there may be no other area more critical to success right now than effective rehabilitative programming for offenders. The Inspector General sees over-incarceration, recidivism, and the attendant tragedies as a worldwide social issue to be addressed at every level. Whatever gains currently being experienced will only become long-term realities by providing effective rehabilitation and community resources for those at risk.

The OIG provides public transparency for the State's correctional system. One of the ways to have an impact and become aware of issues within corrections is to have a personal presence within the institutions. In addition to

daily presence through OIG staff monitoring and providing on-scene response to incidents, the Inspector General or Chief Deputy Inspector General visits every adult institution and youth correctional facility at least once annually. In 2014, the Inspector General conducted 21 institution visits and visited Ventura Youth Correctional Facility in person. The Chief Deputy Inspector General conducted 18 institution visits and visited O.H. Close Youth Correctional Facility, N.A. Chaderjian Youth Correctional Facility, and Baseline Fire Camp. In addition, the Inspector General and Chief Deputy Inspector General visited the four out-of-state correctional facilities that house California inmates—Tallahatchie County Correctional Facility in Mississippi, North Fork Correctional Facility in Oklahoma, and La Palma Correctional Center and Florence Correctional Center in Arizona. In total, the Inspector General and Chief Deputy conducted 47 institution visits in 2014. In addition to staff assigned to monitor systems within the prisons on a daily basis, there is staff specifically tasked to assess the rehabilitation and education operations as part of a review for the California Rehabilitation Oversight Board and *Blueprint* monitoring function at least twice per year.

The Office of the Inspector General staff make presentations to the CDCR Office of Internal Affairs academy regarding the role and function of the OIG. Presentations are also made by the OIG to correctional officer candidates in the Galt academy, and at CDCR leadership conferences.

The OIG continues to maintain a close liaison with senior management at the department. The Chief Deputy Inspector General has continued monthly meetings with the Director of Adult Institutions, the Director of Adult Parole Operations, the Director of Internal Oversight and Research, and the Deputy Director for the Office of Internal Affairs. These meetings allow for a high-level

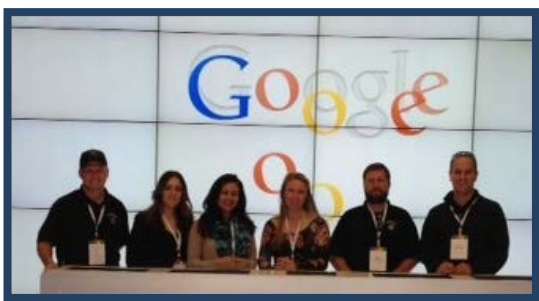
discussion of issues and problems and their timely resolution. In addition, the Assistant Chief Deputy Inspector General has monthly meetings with the Chief Counsel for the Employment Advocacy and Prosecution Team, the Chief of Field Operations, the Office of Internal Affairs, the regional Assistant Chief Counsels for the Employment Advocacy and Prosecution Team, and regional Special Agents in Charge for the Office of Internal Affairs. These meetings delve into more day-to-day operational issues and have been extremely helpful in resolving issues at the field level.

The Inspector General and OIG staff also attend noteworthy events throughout the State to maintain contact with the department and the public in order to educate and establish working relationships with stakeholders.

#### Additional Outreach Events

The Inspector General personally:

- Attended the reception welcoming the University of California President Janet Napolitano (1/14)
- Attended a reception hosted by the California State Association of Counties (2/19)
- Spoke at a Soroptimist International of Metropolitan Sacramento meeting (2/20)
- Visited Friends Outside headquarters in Stockton and met with the director (3/10)



*The Inspector General and staff at Google headquarters*

- Attended a leadership retreat for State agencies at Google headquarters (3/19)
- Attended the *Community Justice 2014: International Summit* hosted by the Administrative Office of the Courts (4/22–4/24)
- Attended APSEA’s *Navigating Leadership 2014—Conversations in Leadership Workshop: Redefining Leadership and Innovation* (4/29)
- Attended the Ford Foundation’s *Renewing Communities: Improving Educational Access in California’s Correctional Facilities and Beyond* (5/8–5/10)
- Met with the co-founder of the Pain of the Prison System (POPS) club and the Executive Director of Centerforce (6/5)
- Spoke at the University of California, Davis, Police Accountability Board Meeting (7/23)
- Spoke at the CDCR *Executive Development Orientation Program* (8/25)
- Spoke at the Division of Adult Parole Operations Northern Region District Administrator Meeting (8/26)
- Monitored the initial Board of Parole Hearing Panel Attorney Appointment Process (8/26)
- Attended and presented at the National Association for Civilian Oversight of Law Enforcement conference (9/14–9/18)
- Spoke to the Alameda County Children of Incarcerated Parents Partnership and the San Francisco Children of Incarcerated Parents about the role of the OIG and its activities relevant to children and families of the incarcerated (10/1)
- Attended the *Doing Life as a Family* seminar, presented by Life Support Alliance, the leading advocate for California lifers (10/4)

- Attended and addressed a Pain of the Prison System (POPS) club meeting at Venice High School (10/15)



*Pain of the Prison System (POPS) club meeting at Venice High School*

- Attended and presented at APSEA's Navigating Leadership Symposium 2014 along with other State agency leaders (11/13)



*Presenting at APSEA's Navigating Leadership Symposium*

- Attended an international conference on redemptive rehabilitation held by the Rockefeller Foundation (11/18–11/21)

#### Staff of the OIG:

- Attended the Yolo County Realignment Presentation in West Sacramento (4/10)
- Attended the *Get on the Bus* event at Central California Women's Facility (5/9)
- Attended the Division of Juvenile Justice commencement at Mary B. Perry High School (6/20)
- Attended CDCR's Medal of Valor Ceremony (9/18)

Staff also attend briefings on public safety realignment, parole populations, crime trends, and prison capacity challenges held at the Public Policy Institute in Sacramento.

At the request of the Secretary of California Health and Human Services, the OIG consulted with the Department of State Hospitals on its internal affairs process in order to assist in the creation of a workable system and provide a report requested by the Legislature. The OIG worked closely with the Secretary's office and provided detailed reviews of the various strategies and proposals developed. The OIG collaborated with the California Health and Human Services Agency to provide the "lessons learned" that the OIG experienced in its monitoring of the CDCR disciplinary and investigation process.

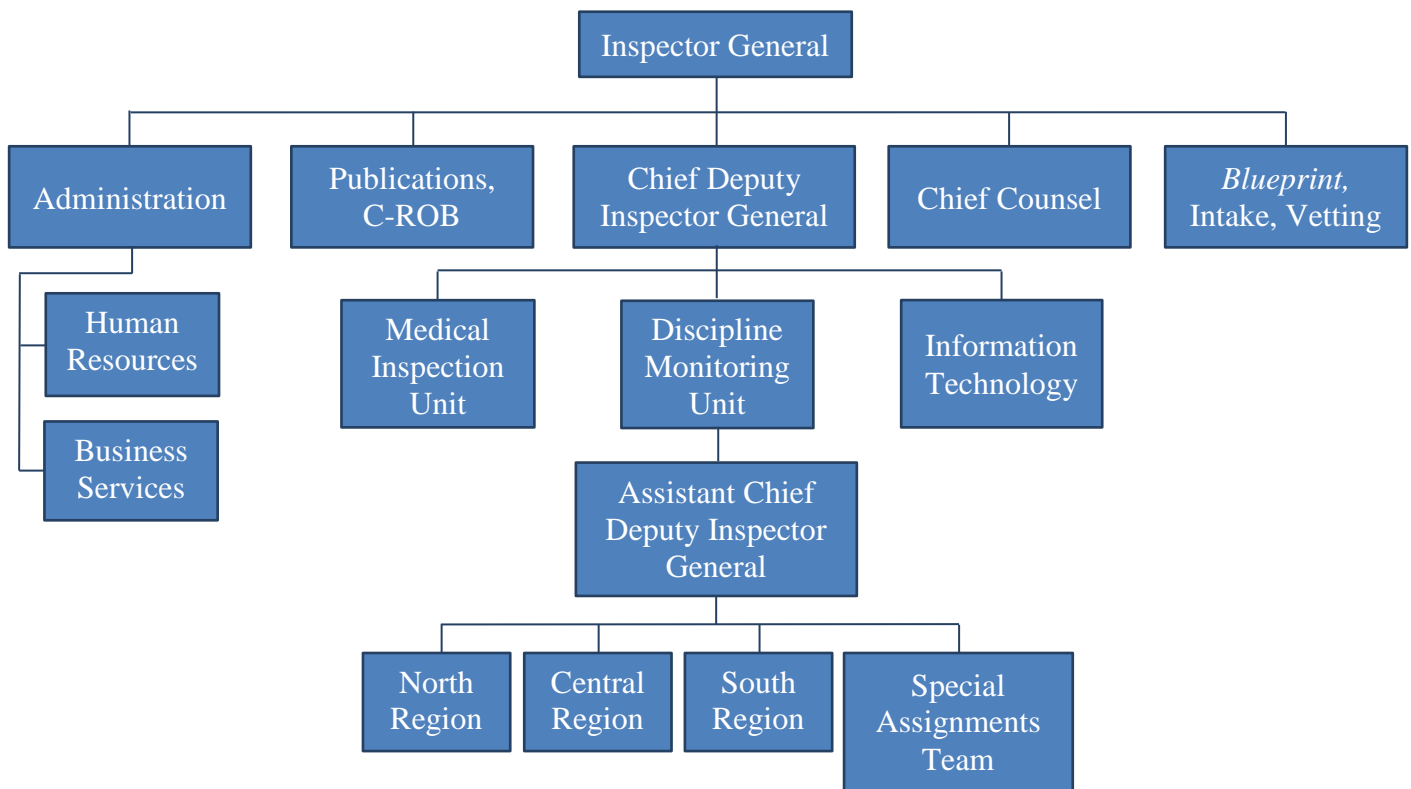
The OIG held an annual All-Staff Meeting to allow for cross-training and cooperation across agency, hierarchical, and functional boundaries. This included invitations to outside stakeholders to address and interact with OIG Staff. As a State agency, the OIG's goal is to continue to strive for excellence, including the training of staff.



# ORGANIZATIONAL OVERVIEW

- California Penal Code Sections 2641 and 6125 et seq. provide the statutory authority for the OIG’s establishment and operations.
- The OIG comprises a skilled team of professionals, including attorneys with expertise in internal affairs investigations, criminal law, and employment law, as well as inspectors experienced in correctional policy, operations, and investigations. The OIG now also has a cadre of medical professionals in the Medical Inspection Unit. There are also analysts and various support staff within the OIG, all of whom are integral in achieving the OIG mission.
- The OIG is organized into three regions: North, Central, and South. The North Region is co-located with executive and administrative operations in Sacramento (Rancho Cordova), the Central Region is in Bakersfield, and the South Region is in Rancho Cucamonga.

**2014 OIG Organizational Chart**



# FUNCTIONS OF THE OFFICE OF THE INSPECTOR GENERAL

California Penal Code Section 6125 establishes the Office of the Inspector General as an independent agency and provides for the Inspector General to be appointed to a six-year term by the Governor, subject to Senate confirmation. Robert A. Barton was appointed on August 29, 2011, and his term will expire in 2017.

California Penal Code Sections 2641 and 6125 set forth the functions of the Office of the Inspector General.

## Statewide General Intake

The OIG maintains a statewide intake process to receive communications from any individual regarding allegations of improper activity within CDCR. Other than PREA and retaliation complaints, the OIG cannot independently conduct investigations. However, any instances of misconduct are brought to the department's attention.

The OIG Intake Unit logs, reviews, analyzes, and responds to every non-duplicative complaint it receives. Intake Unit staff screen all complaints within 24 hours of receipt to identify potential safety concerns. Staff directly contact institutional personnel in order to remedy issues that may be addressed informally, such as failure to accept an appeal, failure to schedule a classification hearing, or failure to schedule medical appointments. In addition, during 2014, Intake Unit staff contacted institutions 42 times based on letters and messages left on the toll-free public phone line, calls received on the main OIG telephone number, and complaints submitted electronically. These communications expressed potentially unsafe conditions, such as enemy concerns, threatening

behavior, or other indicators that there may be a safety or security risk for staff or inmates. Intake Unit staff require CDCR to provide a status of the situation to ensure the department rectifies any safety concerns and provides appropriate intervention to mental health inmates.

The Intake Unit focuses OIG staff resources on the most serious complaints by using a matrix of common prison issues that receive priority attention. Lack of access to grievance processes or health care, serious due process violations, unnecessary extended stays in segregation units, sexual abuse, serious staff misconduct, and inappropriate uses of force are included in the matrix. However, if a trend of lesser policy violations is identified, the Intake Unit makes efforts to remedy any potentially systemic problem. In most instances, the Intake Unit encourages complainants to utilize CDCR's grievance processes to resolve their issues before contacting the OIG; therefore, lack of access to the grievance process or unjustified rejection of appeals by CDCR staff often receive the most attention from Intake Unit staff.

When Intake Unit staff find potential misconduct or policy violations after reviewing complaints and corresponding CDCR documents, the cases are presented at a semimonthly meeting with the Inspector General for consideration of referral to OIG regional field staff. In the field, OIG staff work directly with CDCR administrators to remedy identified issues, usually resulting in simple, informal fixes, such as the training of staff, the initiation of inquiries, or use-of-force reviews to determine whether misconduct may have occurred. If CDCR initiates a formal investigation, OIG regional staff monitor it in accordance with the OIG's normal discipline monitoring activities and report the findings in the Semi-Annual Report.

Complaints alleging theft, fraud, or waste of State resources concerning CDCR are also presented to the Inspector General for consideration of referral to the California State Auditor.

In 2014, the OIG's Intake Unit received 2,139 general complaints submitted by inmates, parolees, families, CDCR employees, and advocacy groups, including 57 complaints the Office of the Governor assigned the OIG to review. Based on the OIG screening criteria, Intake Unit staff conducted additional research into matters or requested clarifying documentation from CDCR institutions for 653 of these complaints.

Seventy-eight complaints were referred to the OIG's regional operations teams to bring the matters to the attention of the specific institutions and to monitor departmental response at the local level. The OIG's Intake Unit received 76 complaints alleging inappropriate healthcare, a lack of access to healthcare, or both. OIG Intake or medical staff conducted additional analysis of these medical, dental, and mental health complaints. The OIG referred these complaints to CDCR's Division of Correctional Health Care Services for remedy where the OIG determined potential violations of medical policies or procedures occurred.

## **CDCR Oversight Activities**

### **Retaliation Claims**

California Penal Code Sections 6128 and 6129 require the OIG receive and review complaints of retaliation levied against members of CDCR management by CDCR employees. The OIG's Legal Unit analyzes the allegations of each complaint to determine whether the complaint states a prima facie case of retaliation. If the complaint meets this initial legal threshold, the OIG initiates an investigation into the

allegations and determines whether retaliation has occurred. If the OIG determines a CDCR employee has been subjected to unlawful retaliation, the OIG's Intake Unit provides a report of its findings to CDCR along with a recommendation of the appropriate corrective action.

In 2014, the OIG received 11 complaints of retaliation. Of these 11 complaints, the Legal Unit determined nine did not state a prima facie case of retaliation. The Legal Unit is currently in the process of completing its review of the two remaining complaints.

In addition, the OIG's Legal Unit partnered with the law firm Liebert Cassidy Whitmore to provide retaliation investigation training to OIG employees.

### **Sexual Abuse in Detention Elimination Act Ombudsman Claims (also referred to as Prison Rape Elimination Act claims)**

California Penal Code Section 2641 directs the OIG to act as the ombudsman for complaints related to sexual abuse in detention. The OIG is tasked with reviewing allegations of mishandling sexual abuse investigations within correctional institutions, maintaining the confidentiality of sexual abuse victims, and ensuring impartial resolution of inmate and ward sexual abuse complaints. CDCR notified the OIG of 122 sexual abuse allegations during 2014, including 71 with an inmate as the alleged perpetrator and 51 with a staff member as the alleged perpetrator. The OIG monitors CDCR's handling of all sexual abuse allegations and all subsequent investigations of staff involvement.

The OIG received and reviewed 86 complaints relating to inadequate investigations of sexual abuse in detention and sexual harassment by staff. The Intake Unit referred ten of those allegations to OIG regional staff for remedy. The remaining

76 complaints went through the regular intake process.

## Monitoring Activities

California Penal Code Section 6133(b)(1) mandates the OIG publish a Semi-Annual Report of its oversight of CDCR internal affairs investigations, employee discipline, and use of force.

The OIG's Discipline Monitoring Unit provides contemporaneous oversight of CDCR's internal affairs investigations and employee discipline process. The OIG also oversees CDCR's response to critical incidents within the institutions. Furthermore, the OIG monitors the department's contraband surveillance watch process and use-of-force reviews.

### Internal Affairs and Employee Discipline Monitoring

The OIG's monitoring of CDCR's internal affairs and employee discipline cases includes the allegation intake process, the investigative phase by CDCR's Office of Internal Affairs, the decision-making process by the hiring authorities, and the handling of the matter by the CDCR Employee Advocacy Prosecution Team attorneys (referred to as "vertical advocates"). Monitoring includes all case activity, up to and including State Personnel Board proceedings, if necessary. The Semi-Annual Reports document the department's adherence to its operating rules and procedures regarding employee discipline.

The closed discipline cases monitored by the OIG are reported in Volume I of the OIG's Semi-Annual Report, available at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

## Critical Incident Monitoring

The OIG maintains regional on-call staff who can respond on site 24 hours per day to critical incidents reported to the OIG from any of the State's correctional institutions. During the July through December 2013 and January through June 2014 time periods, the OIG monitored 203 critical incidents.

The OIG monitors a critical incident and any subsequent investigation with special emphasis on determining what led up to the incident, whether it was handled appropriately, and what, if any, action should be taken afterward. If the OIG suspects neglect or misconduct, the staff will recommend and subsequently monitor any investigation. The OIG may recommend policy changes to prevent future occurrences and conform to best practices. In some instances, the OIG has identified systemic issues and made recommendations statewide or at a specific institution.

The critical incident table and summary is found in Volume II of the OIG's Semi-Annual Report, available at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

### Contraband Surveillance Watch

The OIG began its formal monitoring of the department's contraband surveillance watch process July 1, 2012, to ensure the process is conducted within departmental policy and not used for punitive purposes.

Department staff notify the OIG any time an inmate is placed on contraband surveillance watch. The OIG reviews all relevant data regarding the use of contraband surveillance watch. Additionally, whenever the department keeps an inmate on contraband surveillance watch longer than 72 hours, the OIG goes on scene to inspect the condition of the inmate and ensure the department is following its policies. This on-scene process

continues every 72 hours until the department removes the inmate from contraband surveillance watch. The OIG immediately discusses serious breaches of policy with institution managers. In 2014, the OIG was notified of 483 contraband surveillance watch cases, 118 fewer than in 2013. Of the 483 notifications in 2014, the OIG monitored the 123 cases that extended beyond 72 hours, as compared to 181 cases extending beyond 72 hours in 2013. The decrease in the need and length of contraband surveillance watch is a positive trend.

Contraband surveillance watch reports are found in Volume II of the OIG's Semi-Annual Report, at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

### Use-of-Force Monitoring

In 2014, CDCR reported 6,503 use-of-force incidents in the adult system. The OIG reviewed 3,968 incidents involving force while attending 705 use-of-force review meetings. The OIG performed an additional 598 use-of-force reviews outside of the review meetings. The OIG also participated as a non-voting member of CDCR's Deadly Force Review Board.

The OIG's monitoring activities are detailed in its Semi-Annual Reports, available on the OIG's website at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

### Medical Inspections

Pursuant to California Penal Code Section 6126(f), the OIG conducts an objective, clinically appropriate, and metric-oriented medical inspection program to review delivery of medical care at each of the adult institutions in California.

After the completion of the Cycle 3 inspections in May 2013, the OIG engaged in a comprehensive dialogue with the stakeholders and the federal court to discuss the shortcomings of the OIG inspection program identified by the federal court experts. The OIG inspection process was originally designed to be a compliance-only audit without a qualitative component. All parties agreed that a qualitative component was essential to a thorough assessment of the medical care delivered in the prison setting.

After reaching consensus on the need for a qualitative assessment, the OIG hired additional clinical staff, including medical doctors and another nurse, to develop and implement a qualitative assessment process to complement the compliance testing. The result is an updated medical inspection tool that will now not only address compliance with policy, but also examine quality of care.

During 2014 the OIG conducted five Cycle 4 pilot medical inspections (Deuel Vocational Institution in March; California Institution for Women in May; California State Prison, Sacramento, in September; High Desert State Prison in October; and California Men's Colony in October), and non-public pilot inspection drafts were provided to external stakeholders to assess the program developed by OIG. Those stakeholders include the *Plata* court medical experts, the Receiver's Office, the Office of the Attorney General, CDCR management, and the Prison Law Office. The OIG worked collaboratively with the stakeholders receiving their feedback for the improvement of its testing instruments. The next cycle of inspections is starting in January 2015.

Past and future medical inspection reports can be found on the OIG's website at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

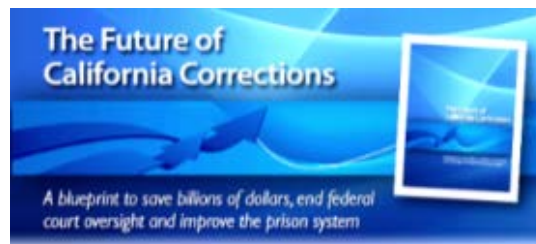
## Warden/Superintendent Vetting

Penal Code Section 6126.6 requires that the OIG evaluate the qualifications of every candidate whom the Governor nominates for appointment as a State prison warden or a youth correctional facility superintendent, and report the recommendation in confidence to the Governor within 90 days of the request to evaluate the candidate. Candidates have typically been acting wardens for at least three months before the OIG process begins. The OIG is keenly aware of the need for stability in management and, therefore, strives to complete its part of the vetting process as expeditiously as possible.

The OIG uses a three-phase vetting process with an internal completion goal of 60 days, and this year has an average completion time of 55 days. In addition to conducting a background investigation of the candidate and surveying designated stakeholders, the first phase consists of a site visit conducted by a team of inspectors, which provides the OIG with an overview of the institution's operations. During the second phase, the Inspector General personally consults with outside stakeholders, conducts a management review, and tours the facility with the candidate. In the final phase, the Inspector General reviews all of the information gathered during the vetting process and evaluates the candidate's suitability for the position of warden or superintendent after a one-on-one interview. The Inspector General then submits a confidential recommendation to the Governor.

Due to the high rate of attrition within CDCR management, the OIG anticipates a continual demand for warden vetting in 2015. Currently, there are 12 institutions without permanent wardens.

## Blueprint Monitoring



In 2012, the Legislature passed and the Governor signed legislation mandating the OIG periodically review delivery of the reforms identified in *The Future of California Corrections: A Blueprint to Save Billions of Dollars, End Federal Court Oversight and Improve the Prison System* (the *Blueprint*).

The department continued to show progress in implementing the goals of the *Blueprint* in 2014. With regard to the standardized staffing model, the department is meeting the *Blueprint* goals at every institution. In addition, the department has established and is adhering to the new inmate classification score system, showing a trend toward overall reduction in higher-level inmate placements. Also, the comprehensive housing plan outlined in the *Blueprint* is generally on schedule, and the department is housing inmates at *Blueprint*-prescribed levels. The department still needs to show progress in its rehabilitative program goals, as its biggest challenge remains increasing the percentage of inmates served in rehabilitative programs to 70 percent of its target population by June 30, 2015.

In October 2014, the department completed its 24-month pilot implementing its new prison gang management system by conducting case-by-case reviews for 37 percent of its total Security Threat Group population. Although there were no benchmarks identified in the *Blueprint* to complete a specific number or percentage of case-by-case reviews, a more rapid pace of reviews may have been expected by the

Legislature and stakeholders. The OIG is committed to monitoring and making recommendations to the department in its pursuit of these goals.

The OIG published its third *Blueprint* Monitoring report in March 2014 and its fourth report in October 2014.

*Blueprint* monitoring reports are available on the OIG's website at:  
[www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)

## California Rehabilitation Oversight Board

The Public Safety and Offender Rehabilitation Services Act of 2007 (AB 900) established the 11-member California Rehabilitation Oversight Board (C-ROB). Chaired by the Inspector General, California Rehabilitation Oversight Board meetings are conducted to examine CDCR's various mental health, substance abuse, education, and employment programs for inmates and parolees. With the passage of the Governor's 2014–2015 budget, the frequency of C-ROB board meetings was changed from quarterly to biannually, with additional meetings as needed, and the reporting requirement was amended from biannual reports due on March 15 and September 15 to one annual report due on September 15.\*

In 2014, C-ROB staff, in collaboration with the OIG's *Blueprint* monitoring team, visited all 35 adult institutions to observe rehabilitation programs and identify successes or challenges in programming. C-ROB staff reviews a variety of rehabilitative programming, including substance abuse treatment, academic education programs, career technical

education programs, and volunteer rehabilitative programming.

C-ROB published two reports in 2014. These reports commended the department for its dedication and progress in implementing rehabilitative programming and made several recommendations for improvement. The March 15, 2014, report outlined the many changes the department was making as a result of the *Blueprint*. C-ROB focused on the department's plan to improve access to rehabilitative programs and to create sufficient capacity for approximately 70 percent of the department's target population. Additionally, C-ROB underscored the importance of implementing proper assessment and case management Programs, which are essential components of the California Logic Model. In the September 15, 2014, report, C-ROB focused on successes and challenges identified from site visits, and provided a summary of the areas working well, and those posing challenges to effective rehabilitation programming. In this report, C-ROB commended the department for making good progress filling vacancies and expanding academic and career technical education programs, as well as for improving data collection efforts with out-stationed eligibility workers for health benefit enrollment. The board also recognized the department for working toward incentivizing substance abuse treatment completions with the formation of an incentives subcommittee.

The board recommended the department continue to work toward developing a case management plan, as well as a system to effectively track and report on milestone credits earned and applied. C-ROB would like to see the department add a bilingual component for the rehabilitative programs to eliminate language barriers in accordance with the significant percentage of the inmate population that is Spanish speaking.

---

\* Section 6141, as amended by Stats, 2014, Ch. 26, Section 33.

Lastly, C-ROB emphasized the importance of a reentry center located in every institution, and recommended the staffing shortage of librarians be solved.

California Rehabilitation Oversight Board reports are available on the OIG's website at: <http://www.oig.ca.gov/pages/c-rob.php>

## Special Reviews

A special review process is codified in Penal Code Section 6126. Upon request of the Governor, the Speaker of the Assembly, or the Senate Rules Committee, the OIG will conduct a review of CDCR policies, practices, or procedures set forth in the review request. Upon completion of the review, the OIG will report its findings and recommendations to the authorizing entity and publish a public report.

### Special Review: Electronic Monitoring of Sex Offenders on Parole and the Impact of Residency Restrictions

On May 14, 2014, the Senate Rules Committee requested the OIG conduct a review and assessment of electronic monitoring of sex offenders on parole and the impact of residency restrictions on this same population. To do so, the OIG visited selected parole field offices to conduct interviews with management representatives of CDCR's Division of Adult Parole Operations, sex offenders currently on parole, and parole agents. The OIG also interviewed local law enforcement officials and members of the California Sex Offender Management Board. In addition, The OIG analyzed statistical and demographic data about paroled sex offenders and conducted written surveys of selected district parole administrators throughout the State. In November 2014, the OIG published its report, which contained several findings and recommendations, the most significant being that transient sex offender parolees are more

likely to violate the terms of their parole than those who have a permanent residence. In the most recently completed fiscal year (2013–14), over 76 percent of the sex offender parolees whom the department charged with violating their parole terms were transient. Less than 1 percent of those violations were for new sex crimes.

Special Reviews are available on the OIG's website at: [www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)



# CDCR CORRECTIVE ACTION PLAN UPDATE

In 2014, the OIG completed one special review and published ten formal reports containing 22 recommendations. The recommendations in these reports promote greater transparency, taxpayer savings, process improvements, increased accountability, and higher adherence to policies and constitutional standards.

## Status of Recommendations Made to CDCR in 2014

The OIG made five recommendations to CDCR in the March 2014 Semi-Annual Report, and four more recommendations in the October 2014 Semi-Annual Report. The department has fully implemented three of the nine Semi-Annual Report recommendations and substantially implemented two of the recommendations. One recommendation has not been implemented but is in the developmental process, and the remaining three are currently being reviewed.

The OIG made three recommendations in the November 2014 *Special Review: Electronic Monitoring of Sex Offenders on Parole and the Impact of Residency Restrictions*. Of the three recommendations made in that special review, two have been fully implemented and one has been partially implemented.

There were also six recommendations made in the C-ROB March 2014 Biannual Report and four made in the C-ROB September 2014 Biannual Report. The California Rehabilitation Oversight Board is an independent board, and, unlike the OIG, does not have authority to request specific responses to recommendations; however, the department has fully or substantially implemented five of the six recommendations from the March 2014 C-ROB report, and is currently reviewing the four most recent recommendations from the September C-ROB report.

## Status of Recommendations Made to CDCR in 2013

The OIG issued the *Special Review: Female Inmates Serving Security Housing Unit (SHU) Terms in the California Department of Corrections and Rehabilitation* in 2013, which included nine recommendations. The department reported full implementation of all nine recommendations; however, the OIG asserts that the majority of these recommendations have not been adequately implemented. The department did not address the OIG's concerns with the department's proposed corrective action plan at the time of the report and has not yet adequately addressed the issues identified by the OIG. The OIG has now elevated the issues to the Division of Adult Institutions Director for appropriate response and resolution.

# APPENDIX: REPORTS RELEASED IN 2014



## Annual Report

-  2013 OIG Annual Report (January 28, 2014)



## Semi-Annual Reports

-  OIG Semi-Annual Report July–December 2013 Volume I (March 27, 2014)
-  OIG Semi-Annual Report July–December 2013 Volume II (March 27, 2014)
-  OIG Semi-Annual Report January–June 2014 Volume I (October 14, 2014)
-  OIG Semi-Annual Report January–June 2014 Volume II (October 14, 2014)


## California Rehabilitation Oversight Board (C-ROB)

-  C-ROB March 15, 2014 Biannual Report (March 14, 2014)
-  C-ROB September 15, 2014 Biannual Report (September 15, 2014)

## Blueprint Monitoring Reports

-  Third Report on CDCR's Progress Implementing its Future of California Corrections  
*Blueprint* (March 19, 2014)
-  Fourth Report on CDCR's Progress Implementing its Future of California Corrections  
*Blueprint* (October 27, 2014)

## Special Review Reports

-  Special Review: Electronic Monitoring of Sex Offenders on Parole and the Impact of  
Residency Restrictions (November 6, 2014)

All Reports are available on the OIG's website at:  
[www.oig.ca.gov/pages/reports.php](http://www.oig.ca.gov/pages/reports.php)



## **2014 ANNUAL REPORT**

### **OFFICE OF THE INSPECTOR GENERAL**

Robert A. Barton  
INSPECTOR GENERAL

Roy W. Wesley  
CHIEF DEPUTY INSPECTOR GENERAL

**STATE OF CALIFORNIA**  
January 2015