

## **2018-106 AUDIT SCOPE AND OBJECTIVES**

### **Correctional Staff—Health and Safety Policies and Procedures**

The audit by the California State Auditor will provide independently developed and verified information related to the policies, practices, and procedures in place from 2009 to the present to protect the health and safety of correctional staff employed at the California Department of Corrections and Rehabilitation's California Institution for Men, Los Angeles County Men's Central Jail, and Alameda County's Santa Rita Jail. The audit's scope will include, but not be limited to, the following activities:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Determine how the prison and jails track, document, and investigate gassing attempts and incidents perpetrated by inmates on employees.
3. To the extent possible, determine the magnitude of the gassing problem at the prison and jails since 2009 by identifying the following:
  - a) The number of gassing attempts and gassing incidents that occurred each year, including:
    - i. The number that were committed by repeat gassing incident offenders.
    - ii. The number that resulted in a conviction or other punishment.
  - b) The number of staff who, following a gassing incident, informed their employer that they had contracted a disease as a result of the incident.
  - c) Whether there was a correlation between the number of gassing attempts and incidents and either the prison or jail's infrastructure, layout or population overcrowding.
4. Review and evaluate the prison and jails' policies and practices for handling the aftercare of employees who have been gassed to determine whether those policies and practices are consistent with applicable laws and regulations.
5. For the most recent three-year period, determine how many employees sought and obtained counseling or medical treatment through their employers following a gassing incident.
6. Evaluate how the prison and jails ensure employees are aware of and comply with policies and procedures related to gassing, including those related to prevention, response, and incident reporting.
7. For a selection of gassing incidents that have occurred during the most recent three-year period at the prison and jails, review and evaluate the following:
  - a) Whether the prison and jails followed their respective aftercare policies and procedures following each gassing incident including whether the gassing substance was tested for disease and, if not, why.
  - b) Whether and how soon after the incident affected employees were informed of the presence of diseases in the gassing substance.

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- c) Whether the prison and jails investigated the incident in accordance with requirements in state law.
- 8. Review and evaluate the strategies the prison and jails use to prevent or mitigate the effect of gassing incidents, including the disciplinary actions used on offenders who have attempted or committed gassing. To the extent possible, determine whether the disciplinary actions are effective in deterring repeat offenders.
- 9. Identify any best practices for preventing, responding to, investigating, or providing aftercare for gassing incidents.
- 10. Review and assess any other issues that are significant to the audit.