

Memorandum

Date : May 28, 2013

To : Associate Directors, Division of Adult Institutions
Wardens
Chief Executive Officers
Chiefs of Mental Health

Subject : **REVISED ADMINISTRATIVE SEGREGATION UNIT WELFARE CHECK PROCEDURE AND IMPLEMENTATION OF SECURITY INSPECTIONS IN SPECIALIZED HOUSING**

The California Department of Corrections and Rehabilitation (CDCR) implemented the 30-Minute Welfare Check in Administrative Segregation Unit (ASU) procedure, as described in memorandum dated October 31, 2006, 30-MINUTE WELFARE CHECKS OF INMATES PLACED IN ADMINISTRATIVE SEGREGATION UNITS (attached). The process for completing ASU Welfare Checks was subsequently modified on December 12, 2006, via a memorandum titled, REVISED 30 MINUTE WELFARE CHECK PROCESS (attached). Finally, additional clarification and expectations were disseminated on August 6, 2007, in a memorandum titled, ADMINISTRATIVE SEGREGATION UNIT 30-MINUTE WELFARE CHECK LOGGING AND COMPLIANCE REVIEW (attached).

The purpose of Welfare Checks is to limit the opportunity an inmate has to commit acts of self-harm. Since implementation, custody staff completing the ASU Welfare Check process have interrupted many inmate suicide attempts, subsequently saving the lives of the involved inmates. However, CDCR continues to identify opportunities to further reduce the number of completed inmate suicides in prisons. Segregated housing remains a critical area of concern, with a substantial percentage of completed suicides occurring in these areas annually.

Welfare Checks are most effective when staggered and unpredictable to the subject inmate population. Currently, custody staff completes ASU Welfare Checks on inmates during the first 21 days of ASU placement, at intervals not exceeding 30 minutes. Previous versions of the ASU Welfare Check Tracking Sheet may have misled staff into believing the checks were to be completed every 30 minutes. However, the intent of the welfare check process from inception was for ASU Welfare Checks to be completed at staggered intervals not to exceed 30 minutes.

This memorandum is intended to both reiterate prior expectations regarding the completion of ASU Welfare Checks, and introduce a revised ASU Welfare Check Tracking Sheet (Rev. 3-8-13) (attached) to be completed each shift.

*The revised process also focuses on conducting **three** welfare checks per hour at staggered intervals not to exceed 30 minutes.*

In addition, clinical staff may continue welfare checks beyond 21 days on specific ASU inmates when deemed clinically indicated. The requesting clinician shall document the request in a CDCR Form 128-B, Informational Chrono, identifying the inmate, and the requested duration of the extension. The original completed CDCR Form 128-B shall be sent to Records for placement in the Central File, with copies provided to a custody supervisor in ASU, for placement in the segregation file, and to notify custody staff of the need to extend the welfare checks.

The following are critical responsibilities related to completion of the ASU Welfare Checks:

1. Assigned staff shall initiate the form at the beginning of their shift by filling out the top of the form with identifying information, and printing, signing, and initialing the bottom of the form.
2. Assigned staff shall complete welfare checks **three** times per hour at staggered intervals not exceeding 30 minutes.
3. During each welfare check, the assigned staff shall note the time, enter their initials in the appropriate column, and note the inmate(s) behavior under "Staff Observations" correlating to the numbered activities on the form.
4. Institutions shall immediately begin using the attached revised "ASU WELFARE CHECK TRACKING SHEET," which has been modified as described above.
5. ASU custody supervisors shall review and sign the ASU WELFARE CHECK TRACKING SHEET indicating it has been completed and reviewed at the end of each shift. The Watch Commander will be responsible to review and sign for first watch.
6. ASU custody supervisors shall provide appropriate training relative to any discrepancies noted on the completed ASU WELFARE CHECK TRACKING SHEET prior to the end of the shift. For example, training shall be provided if the form is incomplete, completed early, not completed timely, less than three checks completed per hour, or check times are not staggered.
7. Institutions shall retain the original, completed ASU WELFARE CHECK TRACKING SHEET's for a minimum of three years at the institution, and an additional four years in departmental records retention.

In addition to the above expectations with regard to newly placed inmates in ASU, and in an effort to further define the Department's expectations to provide for the safety of all staff and inmates, as well as the security of the institution, the following directive shall be implemented immediately:

- Custody staff assigned to Security Housing Units (SHU), ASU, and Psychiatric Services Units (PSU) on First, Second, and Third Watch shall complete security/custody rounds at least every 30 minutes to ensure all inmates are accounted for and within their assigned housing units.
- The security/custody rounds are to be documented in the housing unit logbook clearly identifying the time and staff member completing the round.

Wardens are to ensure post orders clearly reflect this expectation and staff assigned to SHU, ASU, and PSU are provided training in the form of On the Job Training with regard to this expectation. Wardens are to provide certification that the post order changes have been completed to their respective Associate Director, with copies to Joseph Moss, Chief Deputy Warden, Coleman Team, within 30 days of the date of this directive.

Please ensure your institution's local Operational Procedures are immediately updated to include the processes described in this directive. The revision(s) may be a supplement to be included in the next scheduled revision of the impacted document.

If you have any questions regarding these expectations, please contact Mr. Moss at (916) 464-5672.



KATHLEEN L. DICKINSON
Director
Division of Adult Institutions



TIMOTHY G. BELAVICH, Ph.D., MSHCA, CCHP
Director (A)
Division of Health Care Services

Attachments

cc: M. D. Stainer, Deputy Director, Division of Adult Institutions (DAI)
Kathleen Allison, Deputy Director, DAI
Joseph Moss, Chief Deputy Warden
Christina Phillips, CC-II

ASU WELFARE CHECK TRACKING SHEET	
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PRISON: _____ UNIT: _____ CELL: _____

INMATE 1 NAME: _____ CDCR#: _____

INMATE 2 NAME: _____ CDCR#: _____

START DATE/TIME: _____ END DATE/TIME: _____ WATCH: 1 - 2 - 3

INSTRUCTIONS: COMPLETE **3 WELFARE CHECKS PER HOUR AT STAGGERED INTERVALS NOT EXCEEDING 30 MINUTES** OF INMATES IN SEGREGATED HOUSING FOR THE FIRST 21 DAYS OF ASU PLACEMENT. INMATES PLACED IN ASU SHALL BE HOUSED IN MODIFIED "INTAKE CELLS" FOR THE FIRST 3 DAYS OF ASU HOUSING, UNLESS THEY CAN BE SAFELY DOUBLE-CELLED. ASSIGNED STAFF ENTER THE TIME OF EACH WELFARE CHECK, ENTER THEIR INITIALS, AND NOTE ANY SIGNIFICANT INMATE ACTIVITY UNDER "STAFF OBSERVATIONS," USING THE NUMBERS FROM THE STAFF OBSERVATIONS KEY BELOW.

STAFF OBSERVATIONS KEY:		
1 = SLEEPING / LAYING DOWN	2 = SITTING	
3 = STANDING	4 = EATING	5 = RESTROOM
6 = EXERCISING	7 = WATCHING TV	8 = MUSIC
9 = DRAWING/WRITING	10 = OUT OF CELL	11 = OTHER

[illegible]

Assigned Staff Name (print):

Assigned Staff Signature: _____ **and Initials:** _____

Supervisor Name (print): _____ Sign: _____

Memorandum

Date : October 31, 2006

To : Associate Directors-Division of Adult Institutions
Wardens

Subject: **30-MINUTE WELFARE CHECKS OF INMATES PLACED IN ADMINISTRATIVE SEGREGATION UNITS**

1 COPY REC'D
1 COPY TO CDW *IST*
1 COPY TO AW - BS *IS4*
1 COPY TO AW - CS
1 COPY TO AW - H & P
1 COPY TO AW - RC
1 COPY TO *All Captains*
1 COPY TO _____
1 COPY TO FILE

The California Department of Corrections and Rehabilitation (CDCR) is continuing its efforts to reduce inmate suicides within CDCR. During recent discussion, the recommendation to commence with more frequent welfare checks of inmates during the first three weeks of placement in Administrative Segregation Units (ASU) was approved.

Currently, custody staff assigned to ASU on First and Third Watch are required to perform hourly security checks to ensure inmates are accounted for and secured within their assigned housing units.

In keeping with the October 2, 2006 memorandum titled, "Expectations Regarding Administrative Segregation and Suicide Prevention", all inmates shall have the "INTAKE" identifying marker on the outside of the cell door for the first three weeks of ASU placement.

Additionally, CDCR will immediately begin 30 minute "Welfare Checks" of inmates during the first three weeks of ASU placement. Welfare checks are the "personal observation" of newly placed ASU inmates by Correctional Officers at least every 30 minutes, at irregular intervals, for the first three weeks of ASU placement. These Welfare Checks shall be recorded on the attached "ASU 30-Minute Welfare Check Tracking Sheet".

When possible and practical, ASU new arrival inmates should be housed in cells in close proximity of each other and near high traffic areas or control booths that allow for better observation by staff. The "clustering" of newly placed ASU inmates will better allow for existing resources to complete the Welfare Check function.

If you have any questions, please contact Joseph Moss, Correctional Captain at (916) 323-3578.

Original signed by:

JOHN DOVEY
Director
Division of Adult Institutions

cc: Joseph Moss

Memorandum

WSP-RC Received & Distributed on 12/13/06
By Thomas P. Gaines, Executive Assistant

Date : December 12, 2006

To : Associate Directors – Division of Adult Institutions
Wardens

Subject : **REVISED 30 MINUTE WELFARE CHECK PROCESS**

1 COPY REC'D *IST*
1 COPY TO CDW *ASU Staff*
1 COPY TO AW - BS *Per Assign.*
1 COPY TO AW - CS *Watch Cdr.*
1 COPY TO AW - H & P
1 COPY TO AW - RC
1 COPY TO *all Captains*
1 COPY TO *ISU*
1 COPY TO FILE

On October 31, 2006, institutions were directed to conduct Welfare Checks of inmates during the first three weeks of placement in Administrative Segregation Unit (ASU). This directive was given in an effort to preserve life and improve emergency response to suicide attempts by inmates during the difficult time of change to a more restrictive housing environment.

Many institutions have expressed concerns about this process in regard to workload issues and staffing. However, it is imperative that institution administrators understand that there are no additional staffing resources associated with this change.

In response to suggestions from the institutions, a revised, two-page "ASU 30 Minute Welfare Check Tracking Sheet" has been developed. Effective immediately, the attached, revised form shall be used to document the completion of 30 Minute Welfare Checks of all inmates during the first three weeks of placement in ASU. The revised form shall be used to document the 30 Minute Welfare Checks at start and stop times by unit, section, and tier, rather than the previous form required for each cell. This change should sharply reduce the time used to document the checks, while still achieving the desired reduction in suicides in ASU's.

A *Frequently Asked Questions* (FAQ) page has been attached to provide additional clarification to the Welfare Check process. Please ensure that this memorandum and its' attachments are distributed to staff in all ASU's immediately.

If you have any questions, please contact Joseph Moss, Correctional Captain, General Population III/IV, at (916) 323-3578.

Original Signed by Scott Kernan, Director (A)

SCOTT KERNAN
Director (A)
Division of Adult Institutions

Attachments

cc: D. L. Runnels, Chief Deputy Secretary, Adult Operations
Richard Rimmer, Assistant Secretary, Office of Correctional Safety

Frequently Asked Questions

30-Minute Welfare Checks in Administrative Segregation Units

- Q1) Are staff expected to complete the 30-Minute Welfare Checks at exact 30 minute intervals?
- A1) *No, the Welfare Checks should be conducted at irregular intervals to avoid a discernible pattern. However, the checks should be no more than 30 minutes apart.*
- Q2) If we are no longer completing the "ASU 30 Minute Welfare Check Tracking Sheet" for each cell, how will we know which inmates have been checked?
- A2) *The revised form has space at the top where all cells in the section included in the 30 minute check process are to be listed. This information can be cross-referenced with cell assignment data that is already available via the Distributed Data Processing System.*
- Q3) If the Welfare Checks are only required every 30 minutes, why does the revised form have three sections available per hour?
- A3) *The checks are required to be completed no more than 30 minutes apart, but can be completed at intervals less than 30 minutes. Therefore, it is possible to have more than two Welfare Checks per hour (i.e. – first check at 00:05, second check at 00:30, and third check at 00:55).*
- Q4) Can the standardized form be altered to begin the first checks at the beginning of First Watch (22:00 or 22:30)?
- A4) *No, the revised form shall be used as it has been provided. No changes to the distributed form are authorized at this time. However, if staff have suggestions that they feel will improve the form, they can provide their recommendations to Correctional Captain Joseph Moss at (916) 323-3578.*
- Q5) What is a Welfare Check?
- A5) *A Welfare Check is defined as the "personal observation" of inmates by a Correctional Officer, at least every 30 minutes, at irregular intervals. During the "personal observation", officers should ensure that inmates are alive and are not involved in self-injurious or life-threatening behavior. The Welfare Check does not rise to the level of observation required during the count process (i.e. – living, breathing flesh) in that staff are not required to observe flesh during this process.*
- Q6) Should staff wake up inmates on First Watch to ensure that inmates are alive?
- A6) *If staff can see that the inmates are breathing and not actively involved in self-injurious or life-threatening behavior, there is no need to awaken them. However, if there is any question to the safety of an inmate, assigned staff should take steps to ensure that the inmate is alive. The intent of this process is to ensure inmate safety during the difficult transition to a more restrictive environment, not to further agitate inmates during hours of rest.*

Memorandum

Date August 6, 2007

To Associate Directors-Division of Adult Institutions
Wardens
Regional Medical Directors
Health Care Managers

Tickler #231-07

Subject **ADMINISTRATIVE SEGREGATION UNIT 30-MINUTE WELFARE CHECK LOGGING AND COMPLIANCE MONITORING**

Since the creation of the Administrative Segregation Unit (ASU) 30-Minute Welfare Check process in October 2006, the *Coleman* Court Monitors have reported inconsistencies in the logging of these checks by staff. In response to concerns over these logging inconsistencies, the following clarifications/modifications are being implemented:


1. Custody staff responsible for completing the 30-Minute Welfare Checks shall not record the times associated with each 30-Minute Welfare Check until the check has been completed.
2. The completed 30-Minute Welfare Check must be logged immediately upon completion.
3. Institutions shall immediately begin using the attached, revised "ASU 30 Minute Welfare Check Tracking Sheet", which has been modified to include supervisors' signature blocks.
4. Custody Supervisors responsible for supervision of ASU shall review the "ASU 30 Minute Welfare Check Tracking Sheet", and sign the sheet at the end of each shift indicating that the sheet has been completed.
5. Custody supervisors shall provide appropriate training relative to any discrepancies noted on the completed "ASU 30 Minute Welfare Check Tracking Sheet" prior to completion of the shift.
6. Institutions shall retain original, completed "ASU 30 Minute Welfare Check Tracking Sheets" for a minimum of three years at the institution, and an additional four years in Departmental Records Retention.

Each institution shall provide training on the contents of this memorandum to all custody staff regularly assigned to work in ASU, with copies of on-the-job training sign-in sheets faxed to Mary Neade, Correctional Counselor II, General Population (GP) Levels III/IV, at (916) 323-2886, no later than August 31, 2007.

Wardens
Associate Directors-Division of Adult Institutions
Health Care Managers
Regional Medical Directors
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Please ensure that impacted Post Orders and Operational Procedures are immediately updated to reflect these changes. The revision may be included as a supplement to be included in the next scheduled revision of the impacted document.

If you have any questions regarding these expectations, please contact J. W. Moss, Correctional Captain, GP Levels III/IV, at (916) 323-3578.



LEA ANN CHRONES
Director (A)
Division of Adult Institutions

Attachment

cc: Dwight Winslow, M. D., Statewide Medical Director (A), Division of Correctional Health Care Services
Teresa A. Schwartz, Deputy Director (A), Division of Adult Institutions
J. W. Moss, Correctional Captain, General Population Levels III/IV
Mary Neade, Correctional Counselor II, General Population Levels III/IV