Los Angeles County Sheriff's Department

Audit and Accountability Bureau

Robert G. Luna, Sheriff

SHERIFF'S AUTOMATED CONTACT REPORTING (SACR) AUDIT

CENTURY SHERIFF'S STATION
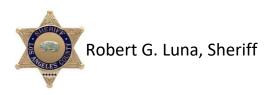
Project No. 2023-4-A

October 10, 2023

LOS ANGELES COUNTY SHERIFF'S DEPARTMENT
Audit and Accountability Bureau

SHERIFF'S AUTOMATED CONTACT REPORTING AUDIT
CENTURY SHERIFF'S STATION
Project No. 2023-4-A

PURPOSE

The Audit and Accountability Bureau (AAB) conducted a Sheriff's Automated Contact Reporting Audit of Century Sheriff's Station (Century Station) under the authority of the Sheriff of Los Angeles County. The audit was performed to determine how the Los Angeles County Sheriff's Department (Department) and Century Station complied with policies and procedures as it relates to the use of the Sheriff's Automated Contact Reporting (SACR) system.

The AAB conducted this audit under the guidance of the Generally Accepted Government Auditing Standards.[1] The AAB determined the evidence obtained was sufficient and appropriate to provide reasonable assurance for the results based on the audit objectives.

BACKGROUND

The California Assembly Bill No. 953 (AB 953), also known as the Racial and Identity Profiling Act (RIPA), was signed into law by the Governor in 2015, enacting section 12525.5 of the Government Code that mandates each state and local agency employing peace officers to submit specific information. This information, referred to as stop data, or RIPA data, is reported to the California State Attorney General, who reports on police practices pertaining to racial and identity profiling.

Specifically, the stop data regulations require law enforcement officers to answer a series of questions regarding their interactions with civilians, based on their perceptions, observations, and actions. These reporting requirements apply when a person is detained or searched (including a consensual search), or property in their possession or control is searched, during an observation stop (traffic, pedestrian, bicycle) or a call for service.

The reporting of RIPA stop data is required by state law. The Department began collecting RIPA data on July 1, 2018, via the Sheriff's Automated Contact Reporting (SACR) system.

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[1] United States Government Accountability Office – By the Comptroller General of the United States, Government Auditing Standards, July 2018 Revision (Technical Update 2021).

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Century Sheriff Station

LASD's Century Sheriff Station serves the unincorporated areas of Florence, Firestone, Walnut Park, Willowbrook, Rosewood, Athens Park, and the City of Lynwood. Century Sheriff Station provides law enforcement services to more than 200,000 residents living within a 13 square mile area in South Los Angeles.

LASD Stops and Detentions Process

LASD's policies on Stops and Detentions are documented under several different Manual of Policy and Procedures (MPP) sections, which are Department-wide policies. Additional stops and detention requirements are found in either Unit Orders, which are only applicable to specific stations or units, or Field Operations Directives, which cover patrol stations and other units conducting enforcement action.

Under these LASD policies, orders, and Directives, deputy personnel who conduct any enforcement or investigative contact (including calls for service or self-initiated "observation" stops and detentions) with the public are required to document the incident on both the in-car Mobile Digital Computer (MDC) and Sheriff's Automated Contact Reporting (SACR). Additional information on the stop such as whether a person was searched, arrested, cited, or detained in the back seat of a patrol car, along with demographic information is also entered by deputy personnel into the in-car MDC system. The MDC data is then stored in the Computer Aided Dispatch (CAD) system.

Additionally, deputies are required to enter much of the same information into the Department's SACR system in order to fulfil the requirements under AB 953.

Sheriff's Automated Contact Reporting (SACR) System

The Sheriff's Automated Contact Reporting (SACR) system was developed in 2018 by LASD's Data Services Bureau (DSB) in order to provide a secondary system for deputies to log stops and calls and capture the required RIPA data. SACR runs independently of the MDC and CAD systems, which were developed in the 1980's and 1990's. The SACR system does not communicate information to or from the MDC or CAD system due to the outdated technology, therefore, the process of logging stops or calls in MDC does not automatically generate a SACR entry. All stops and calls require the entry of a Statistical Code (stat code), which summarizes the incident category with the entry of a three-digit numerical code into the MDC. Each stop or call can be cleared with more than one statistical code.

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SACR Criteria

The AB 953 requires stop data reporting when: "Any detention by a peace officer of a person, or any peace officer interaction with a person in which the peace officer conducts a search, including a consensual search, of the person's body or property in the person's possession or control."

Detentions have been defined by AB 953 as: "A seizure of a person by an officer that results from physical restraint, unequivocal verbal commands, or words or conduct by an officer that would result in a reasonable person believing that he or she is not free to leave or otherwise disregard the officer."

The AB 953 defines people who are required to report as: "All peace officers employed by a reporting agency (any city or county law enforcement agency that employs peace officers), except for probation officers, are subject to reporting."

The following Department personnel will be required to make an entry into SACR when a detention, search of person or property (including consensual search); or arrest occurred during a civilian contact, while working in one of the following assignments:

- All sworn members working a patrol assignment;
- All sworn members working a detective assignment, specialized units, and special task forces;
- All sworn members working Department contracted overtime (parades, concerts, movies, sporting events);
- Any school resource deputies; and
- Any sworn member working in a courthouse or custody facility where there is civilian (public contact)

SACR Clearance Codes

Statistical clearance codes (stat codes) are three-digit numerical codes identified in the Department's Statistical Code Guide and are used to identify the primary incident or crime category for a stop or call. After the Los Angeles County Office of Inspector General (OIG) produced an audit showing significant underreporting of observation-based stops, additional stat codes (SACR clearance codes) were created to improve the capture of RIPA stop data.

On March 1, 2021, the Department required all observation-based stops and calls for service to be cleared with the new SACR clearance codes (940-949) via the in-car MDC. These SACR clearance codes are used to indicate if a SACR entry is required, as

indicated by the third digit (code 940, indicating no entries required), or how many SACR contacts are required to be entered in the SACR system (941-949), based on the number of individuals detained.

PRIOR AUDITS

This is the first SACR audit by the Audit and Accountability Bureau.

METHODOLOGY

Scope

This audit encompassed seven main objectives to determine whether Department personnel at Century Station were complying with policies and procedures as it relates to the SACR system:

- Objective No. 1 – SACR Training Requirements
- Objective No. 2 – Mandatory Use of SACR Clearance Codes
- Objective No. 3 – Proper Use of SACR Clearance Code 940
- Objective No. 4 – Proper Use of SACR Clearance Code 941-949
- Objective No. 5 – SACR Entry Requirements
- Objective No. 6 – SACR Approver Requirements
- Objective No. 7 – Retention of Records

Audit Time Period

The audit time period were the months of December 2022 for Objectives No. 1 to 6, and March 2020 for Objective No. 7.

Audit Population

Some characteristics of the audit objectives require that the audit population differ due to the applicable criteria. Below are details of the audit population that was evaluated to examine the different aspects of the seven audit objectives:

- **Objective No. 1** – Auditors reviewed all patrol personnel assigned at Century Station during the audit period that had an observation or call for service.

- **Objective No. 2** – Auditors reviewed all observations and calls for service during the audit period.

- **Objective No. 3 –** Auditors reviewed all observations and calls for service during the audit period that were cleared with SACR clearance codes 940.

- **Objective No. 4 and Objective No. 5 –** Auditors reviewed a sample[2] of observations and calls for service during the audit period that were cleared with SACR clearance codes 941-949.

Table No. 1 – Summary of Observations and Calls for Service During the Audit Period (by SACR Clearance Code)

SACR Clearance Code	No. of Observations and Calls for Service
940	6,713
941-949	1,103
No SACR Clearance Code	104
No. of Observations and Calls for Service	**7,920**

- **Objective No. 6** – Auditors reviewed all "In Progress" and "Rejected" SACR entries during the audit period.

- **Objective No. 7 –** Auditors reviewed all AB 953 Contact Report forms during the audit period.

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

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SUMMARY OF RESULTS

This audit of the use of the SACR system at Century Station revealed significant issues with training, the accuracy of the stop data information entered in the SACR system, timely approval of SACR entries and retention of records.

Table No. 2 - Summary of Audit Results

Objective No.	Audit Objectives	Met the Criteria
1	**SACR TRAINING REQUIREMENTS**	
	Determine if Department sworn personnel who make civilian contacts or could potentially make civilian contacts that qualify under AB 953 reporting criteria, attended the Department's SACR application training class.	**34%**
2	**MANDATORY USE OF SACR CLEARANCE CODES**	
	Determine if Department sworn personnel cleared all observations and calls for service with a SACR clearance code 940-949. In addition, determine if observations and calls for service not cleared with SACR clearance codes 940-949 had contacts that qualify under AB 953, and if a stop data entry was created in the SACR system.	**99%**
3	**PROPER USE OF SACR CLEARANCE CODE 940**	
3(a)	*Determine if observations and calls for service cleared with SACR clearance code 940 had no contacts that qualify under AB 953.*	**99%**
3(b)	*Determine if the observation or call for service cleared with SACR clearance code 940 that had contacts that qualify under AB 953 is on the exception report; an email notification was sent out to the deputies to make the necessary corrections; and if a "stop data" entry was created in the SACR system.*	**76%**
4	**PROPER USE OF SACR CLEARANCE CODE 941-949**	
	Determine if observations and calls for service cleared with SACR clearance code 941-949 used the correct clearance code.	**99%**
5	**SACR ENTRY REQUIREMENTS**	
5(a)	*Determine if a stop data entry was created in the SACR system for observations and calls for service cleared with SACR clearance codes 941-949.*	**99%**
5(b)	*Determine if the SACR entry was recorded by Department sworn personnel by the end of the shift in which the contact occurred. In addition, to determine if the Department sworn personnel completed the "Report Late Reason" box when the Contact Report form was utilized.*	**66%**
5(c)	*Determine if the stop data information entered in the SACR system is consistent with the MDC log entries.*	**46%**
5(d)	*Determine if the open field narrative area of the SACR entries, such as "Reason for Stop", and "Reason for Search", do not list names, addresses, social security numbers, etc. of any person.*	**100%**

6	SACR APPROVER REQUIREMENTS	
	Determine if SACR entries do not remain as "in progress" status for more than 24 hours, or as "rejected" and if SACR entries have been submitted, corrected, and approved by all concerned personnel in a timely manner.	**0%**
7	RETENTION OF RECORDS	
	Determine if the Contact Report forms used for proxy entries are retained for a period of three years.	**0%**

DETAILED FINDINGS

Objective No. 1 – SACR Training Requirements

Auditors determined if Department sworn personnel who make civilian contacts or could potentially make civilian contacts that qualify under AB 953 reporting criteria, attended the Department's SACR application training class.

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> *Training*
>
> *…All sworn personnel who make civilian contacts or could potentially make civilian contacts that qualify under AB 953 reporting criteria shall attend the Department's SACR application training class at their unit of assignment. Newly assigned patrol deputies shall attend the Department's SACR application training with the Advanced Officer Training Unit while attending patrol school.*

Procedures

Auditors identified a population of 163 sworn personnel assigned to Century Station and had observations and calls for service during the audit period. For each sworn personnel, auditors obtained training records to determine if such personnel attended the required SACR application training class. For sworn personnel who attended patrol school, the patrol school numbers were provided in lieu of actual training dates. For sworn personnel who attended SACR training outside of patrol school, Century Station provided the AB 953 training rosters and curriculum. The sworn personnel met the criteria for this objective if either the patrol school number was provided, or their name was found in the AB 953 training rosters.

Results

Of the 163 sworn personnel evaluated, 56 (34%) met the criteria for this objective. For 107 personnel who did not meet the criteria for this objective, Century Station had no records of personnel attending the required SACR application training class. See Table No. 3.

Table No. 3 – Sworn Personnel Who Attended SACR Training

SACR Training	No. of Personnel
Patrol School	37
Century Station	19
No Records of Attendance	107
No. of Personnel	**163**

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Objective No. 2 – Mandatory Use of SACR Clearance Codes

Auditors determined if Department sworn personnel cleared all observations and calls for service with a SACR clearance code 940-949. Further, auditors determined if observations and calls for service not cleared with SACR clearance codes 940-949 had contacts that qualify under AB 953, and if a stop data entry was created in the SACR system.

Criteria

Field Operations Support Services (FOSS) Newsletter, 21-03, SACR MDC/CAD Clearance Codes, (December 2021), states:

> *A new 94X (i.e., 940-949) STAT code is required to clear **all observations and calls for service** from the MDC. This clearance code must be entered in CAD in addition to the creation of a SACR record entry in the SACR system. All current STAT code usage requirements shall continue without change (e.g., 840, 841, etc.).*

Procedures

Auditors identified a population of 7,920 observations and calls for service during the audit period of December 2022. For each observation or call for service, auditors determined if the deputies utilized the appropriate SACR clearance code.

The observation or call for service met the criteria for this objective if the CAD entry is cleared with SACR clearance code 940-949.

Results

Of the 7,920 observations and calls for service evaluated, 7,816 (99%) met the criteria for this objective. Auditors determined that 104 observations and calls for service did not meet the criteria for this objective because the CAD entry did not contain a SACR clearance code 940-949.

Auditors further evaluated the 104 observations and calls for service wherein the CAD entry did not contain a SACR clearance code 940-949 to determine if the incident had contacts that qualify under AB 953, and if a stop data entry was created in the SACR system. Of the 104 observations and calls for service reviewed, 11 had contacts that qualify under AB 953 and only five had SACR entries.

Table No. 4 – No SACR Clearance Code with AB 953 Contacts

AB 953 Criteria	No. of Observations and Calls For Service
Detention	9
Arrest	2
No. of Observations and Calls for Service	**11**

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Objective No. 3 - SACR Clearance Code 940

Auditors determined if observations and calls for service cleared with SACR clearance code 940 had contacts that qualify under AB 953. In addition, auditors determined if email notifications were sent out to Department personnel to correct any cleared calls where a SACR Clearance 940 code was improperly used.

Objective No. 3(a) – Proper Use of SACR Clearance Code 940

Criteria

Field Operations Support Services (FOSS) Newsletter, 21-03, SACR MDC/CAD Clearance Codes, (December 2021), states:

> *Generally, the handling unit for a call is required to facilitate the documentation of all SACR entries in the SACR system. The handling unit should utilize the appropriate 94X STAT code as indicated below, to identify the total number of persons required within the SACR entry, per incident.*
>
> *The MDC clearance code must match the number of persons entered into each SACR entry, as required by law. The new MDC clearance codes are listed below:*
>
> ● *940 – No SACR entry required;*

Procedures

Auditors identified a population of 6,713 observations and calls for service that were cleared with a SACR clearance code 940, which means "No SACR entry required". For each observation or call for service that was cleared with a SACR clearance code 940, auditors determined if there were contacts that qualified under AB 953.

The observation or call for service met the criteria for this objective if a detention, search of person or property (including consensual search); or arrest did not occur during a civilian contact.

Results

Of the 6,713 observations and calls for service evaluated, 6,639 (99%) met the criteria for this objective. Auditors determined that 74 observations and calls for service did not meet the criteria for this objective because a detention, search of person or property or arrest occurred during a civilian contact. See Table No. 5 on the following page.

Table No. 5 – SACR Clearance Code 940 with AB 953 Contacts

AB 953 Criteria	No. of Observations and Calls For Service
Detention	51
Search (including Consensual Search)	16
Arrest	7
No. of Observations and Calls for Service	**74**

Objective No. 3(b) – Correction of Improperly Used SACR Clearance Codes

Criteria

Field Operations Support Services (FOSS) Newsletter, 21-03, SACR MDC/CAD Clearance Codes, (December 2021), states:

> *Email notifications will be sent out to individual personnel to correct any cleared calls where a 94X STAT code was not used or improperly used. If you receive one of these notifications, log into CAD and edit the clearance appropriately to include a 94X STAT code. After 24 hours of non-correction, calls missing the 94X STAT code will be summarized per station/unit, and an executive notification will be sent.*

Procedures

Auditors evaluated the 74 observation and calls for service identified in Objective No. 3(a) that were cleared with a SACR clearance code 940 but with contacts that qualified under AB 953 and therefore should have been cleared with a SACR clearance code 941-949. For each observation or call for service identified, auditors determined if an email notification was sent out to the Department personnel to make the necessary corrections, by identifying if the tag number was on the exception report. A tag number is defined as a point of reference related to an incident in which Department personnel respond to various calls for service or self-initiated activity. Tag numbers begin with number one at 12 a.m. and continue sequentially through at 11:59 p.m., resetting the following day.

A tag number would appear on an exception report that is generated from CAD for observations and calls for service with either 840, 841 842, or an arrest, and are missing a SACR clearance code 941-949. When a tag is on the exception report, a deputy is notified via email and in-person when the Watch Sergeant conducts their audit for each shift.

The observation or call for service met the criteria for this objective if the tag number appeared on the exception report and the deputies were notified to make the necessary corrections.

<u>Results</u>

Of the 74 observations and calls for service evaluated, 56 (76%) met the criteria for this objective. Eighteen entries did not meet the criteria for this objective because the tag numbers were not documented on the exception report, therefore, the deputies were not notified to make the necessary corrections.

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Objective No. 4 – Proper Use of SACR Clearance Codes 941-949

Auditors determined if observations and calls for service cleared with SACR clearance codes 941-949 used the correct clearance code.

Criteria

Field Operations Support Services (FOSS) Newsletter, 21-03, SACR MDC/CAD Clearance Codes, (December 2021), states:

>   *…The MDC clearance code must match the number of persons entered into each SACR entry, as required by law. The new MDC clearance codes are listed below:*
>
>   - *940 – No SACR entry required;*
>   - *941 – One person SACR entry required;*
>   - *942 – Two person SACR entry required;*
>   - *943 – Three person SACR entry required;*
>   - *944 – Four person SACR entry required;*
>   - *945 – Five person SACR entry required;*
>   - *946 – Six person SACR entry required;*
>   - *947 – Seven person SACR entry required;*
>   - *948 – Eight person SACR entry required; or*
>   - *949 – Nine or more person SACR entry required.*

Procedures

Auditors identified a population of 1,103 observations and calls for service during the audit period that were cleared with SACR clearance codes 941-949. Auditors evaluated a random statistically valid sample of 88 observations and calls for service to determine if the correct SACR clearance code was used. For each observation or call for service, auditors compared the SACR clearance code used with the number of SACR entries submitted and approved for the same tag number.

The observation or call for service met the criteria for this objective if the number of SACR entries submitted and approved for the same tag number, matches the SACR clearance code used.

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<u>Results</u>

Of the 88 observations and calls for service evaluated, 87 (99%) met the criteria for this objective. One entry did not meet the criteria for this objective because the SACR entry was not completed and was still on the pending list as of the review period.

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Objective No. 5 – SACR Entry Requirements

Auditors determined if observations and calls for service cleared with SACR clearance codes 941-949 had stop data entries in the SACR system. In addition, auditors determined if the SACR entries were completed timely, accurately and did not contain personal identifying information.

Objective No. 5(a) – "Stop Data" Entered in SACR System

<u>Criteria</u>

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> *The following personnel shall make a "stop data" entry into the SACR application after conducting a civilian contact. They include, but are not limited to, the following:*
>
> ***Any sworn member working a patrol assignment; Any sworn member working a detective assignment, specialized unit, and special task force (OSS, COPS, parole compliance, federal task force, etc.);*** *Any sworn member working Department contracted overtime (parades, concerts, movies, sporting events); Any school resource deputy; and Any sworn member working in a courthouse or custody facility where there is civilian (public) contact.*
>
> ***AND***
>
> *When any of the following situations occur during a civilian contact (observation such as traffic, pedestrian, bike stops, or calls for service):*
>
> - *Detention;*
>
> - *Search of person or property under person's control (including consensual search); or*
>
> - *Arrest.*

<u>*Exception*</u>

> *Per AB 953 regulations, the following interactions, **shall not be reported as a "stop data" entry:***

Custodial setting/inmates (jail, lock up, station jail, etc.); Mass evacuations (bomb threats, gas leaks, flooding, earthquakes, etc.); Active shooter incident; Routine security screenings (required of all persons entering a building, special event, metal detector screening, and any secondary searches resulting from that screening); Checkpoints or roadblocks where vehicles are randomly selected using a neutral formula (unless additional action is taken); Interaction with a person who is the subject of a warrant or search condition at his or her residence; Interaction with a person who is under home detention or house arrest at his or her residence; Traffic control of vehicles due to a traffic accident or emergency (unless additional action is taken); Crowd control (unless additional action is taken); and Persons detained at a residence only so officers may check for proof of age regarding underage drinking (unless additional action is taken).

Procedures

Auditors evaluated the sampled observations and calls for service from Objective No. 4 to determine if a "stop data" entry was made in the SACR system.

The observation or call for service met the criteria for this objective if a stop data entry was completed in the SACR system for the same tag number.

Results

Of the 88 observations and calls for service evaluated, 87 (99%) met the criteria for this objective. One entry did not meet the criteria for this objective because the SACR entry was not completed and is still on the pending list as of the review period.

Objective No. 5(b) – Timeliness of SACR Entry

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

*...**Per the regulations of AB 953, the "stop data" must be recorded by the end of the shift in which the contact occurred, unless exigent circumstances preclude doing so.***

The SACR application shall be employed to enter the "stop data" via MDC or SDN computer. If there is no access to a MDC or SDN computer due to logistical (specialized unit, specialized event, or outside overtime which does not require or

allow immediate access to a MDC or SDN computer) or technical issues, a Contact Report form (SH-R-636) shall be utilized to record the "stop data." The information from the form shall be used to enter the "stop data" into the SACR application by the sworn employee who conducted the stop, or the unit's authorized proxy, when the application is accessible. If the Contact Report form is utilized, the author must fill out the "Report Late Reason" box, to allow proper documentation when the information is entered into the SACR application at a later time.

Procedures

Auditors evaluated the sampled observations and calls for service from Objective No. 4 to determine if the SACR entry was completed within 24 hours of contact. Auditors used the 24 hours after the "time of contact" criteria to measure compliance rather than "end of shift" because patrol duties may not always allow for the appropriate amount of time to complete the necessary tasks by the "end of shift". Further, per Sheriff's Automated Contact Reporting (SACR) System User Guide for Deputy, if the contact report is entered more than 24 hours later, the deputy must select a reason in the "Late Entry Reason" field. Therefore, the SACR system prompts SACR entries as late when not being entered within 24 hours after the "time of contact" and does not refer to the personnel's "end of shift".

Of the 88 observations and calls for service evaluated in Objective No. 4, 87 had a SACR entry and were evaluated for this objective.

The observation or call for service met the criteria for this objective if the SACR entry was completed within 24 hours after the time of contact.

Results

Of the 87 observations and calls for service evaluated, 57 (66%) met the criteria for this objective. For the 30 observations and calls for service that did not meet the criteria for this objective, the SACR entries were completed more than 24 hours after time of contact. See Table No. 6 on the following page.

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Table No. 6 – SACR Entries Completed Over 24 Hours from Time of Contact

Hours	No. of SACR Entries
25 hours to 48 hours	4
49 hours to 72 hours	5
73 hours to 96 hours	2
Over 96 hours	19
No. of SACR Entries Completed Over 24 Hours	**30**

In addition, a Contact Report Form was not utilized but the "Report Late Reason" box was filled out for all 30 SACR entries. Table No. 7 summarizes the reasons why the SACR entries were not completed within 24 hours after the time of contact.

Table No. 7 – Report Late Reason for SACR Entries Completed Over 24 Hours

Late Reasons	No. of SACR Entries
MDC Down at Time of Incident	18
Missed Reporting Deadlines	11
MDC Network Problems	1
No. of SACR Entries Completed Over 24 Hours	**30**

Objective No. 5(c) – Accuracy of SACR Information

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> … Sworn personnel completing MDC log entries and call clearances as a result of their normal work requirement shall be responsible for maintaining the consistency of data entered between their logs and SACR entries.

Procedures

Auditors evaluated the sampled observations and calls for service from Objective No. 4 to determine if the information in the CAD entries (such as personal information, location, search information, result of contact, etc.) are consistent with the stop data entered in the SACR system.

Of the 88 observations and calls for service evaluated in Objective No. 4, 87 had a SACR entry and were evaluated for this objective.

The observation or call for service met the criteria for this objective if the stop data entered in the SACR system matched the information in the CAD entry.

Results

Of the 87 observations and calls for service evaluated, 40 (46%) met the criteria for this objective. Auditors determined that 47 observations and calls for service did not meet the criteria for this objective because the SACR entries had inconsistent or missing stop data when compared with the corresponding CAD entries. See Table No. 8.

Table No. 8 – SACR Entries with Inconsistent or Missing "Stop Data" Information

Inconsistent or Missing Information	No. of SACR Entries
Missing Search Information in SACR	21
Reporting District Does Not Match	5
Result of Contact Does Not Match	3
Search Information Does Not Match	3
Location or Address Does Not Match	1
Two or More Inconsistent Information or Missing Information in SACR	14
No. of SACR Entries with Inconsistent or Missing "Stop Data" Information	**47**

Auditors identified 27 personnel with SACR entries during the audit period that had inconsistent or missing "stop data" information. See Table No. 9.

Table No. 9 – Summary of Personnel with SACR Entries with Inconsistent or Missing "Stop Data" Information

SACR Entries with Inconsistent or Missing "Stop Data" Information	No. of Personnel
1 to 3	25
4 to 5	2
No. of Personnel	**27**

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Objective No. 5(d) – Personal Identifying Information in SACR Entry

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> *…Per 12525.5(d) GC, law enforcement shall not list or report any personal identifying information of the civilian(s) contacted or sworn personnel conducting the stop, in the narrative fields. Therefore, within the open field narrative area of SACR entries, such as "Reason for Stop," and "Reason for Search," users shall not list names, addresses, social security numbers, etc., of any person. Sworn personnel are permitted to list the civilian's name(s) in the initial entry screen where specified. This information will be used to differentiate and identify contacts, and will not be part of the information submitted to the Attorney General…*
>
> *Approvers and Authorized Proxies*
>
> *…Sergeants and/or unit designated personnel responsible for approving SACR entries shall inspect each entry and ensure the submissions do not contain personal identifying information of any person within the "Reason for Stop," and "Reason for Search" narrative text boxes. The submissions containing personal identifying information shall be rejected and routed back to the submitting sworn employee for correction, or the approver may make the correction, and approve the form…*

Procedures

Auditors evaluated the sampled observations and calls for service from Objective No. 4 and reviewed the "Reason for Stop" and "Reason for Search" fields of the SACR entry to determine if the personnel did not list or report any personal identifying information of the civilian(s) contacted or sworn personnel who conducted the stop.

Of the 88 observations and calls for service evaluated in Objective No. 4, 87 had a SACR entry and were evaluated for this objective.

The observation or call for service met the criteria for this objective if the SACR entry did not contain personal identifying information of civilian(s) contacted or sworn personnel who conducted the stop within the "Reason for Stop" and "Reason for Search" fields.

Results

All 87 (100%) observations and calls for service met the criteria for this objective.

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Objective No. 6 – SACR Approver Requirements

Auditors determined if SACR entries did not remain in an "in progress" status for more than 24 hours, or as "rejected", and if the approver ensured that entries were submitted, corrected, and approved by all concerned personnel in a timely manner.

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> *Approvers and Authorized Proxies*
>
> *…Each unit shall ensure that any entry with an "in progress" status does not remain in the unit's SACR queue for a period of more than 24 hours. An entry with this status indicates it has not been completed and cannot be reviewed for approval. Approvers shall check the date and time stamps of "in progress" entries daily, which is an option on the SACR "Review" screen. The unit shall notify their sworn personnel of all entries listed in the unit's queue as "in progress" for more than 24 hours, or as "rejected" and ensure the entries have been submitted, corrected, and approved by all concerned personnel in a timely manner…*

Procedures

Auditors identified five SACR entries during the audit period that remained in an "in progress" status as of the review date. There were no "rejected" SACR entries during the audit period.

For each SACR entry identified as "in progress", auditors determined if the sworn personnel were notified that their SACR entry had been "in progress" for more than 24 hours by conducting an "Email Notifications Search" in the SACR system. Auditors also verified if the corresponding observation or call for service had contacts that qualify under AB 953 and therefore required a SACR entry.

The SACR entry met the criteria for this objective if the approver notified the sworn personnel that their SACR entry has been "in progress" for more than 24 hours and has been submitted and approved in a timely manner.

Results

Of the five "in progress" SACR entries evaluated, none (0%) have been completed or approved as of the review date. In all five SACR entries, the sworn personnel were not notified that their SACR entry had been "in progress" for more than 24 hours. Further, auditors verified that all five SACR entries had contacts that qualify under AB 953 and therefore, required a SACR entry.

In addition, auditors reviewed the "Incomplete Contact Reports" from the SACR application and identified seventeen personnel who created SACR entries in 2022 which have remained "in-progress" or "rejected" as of the review date. See Table No. 10.

Table No. 10 – Incomplete SACR Reports in 2022

No. of Incomplete Contact Reports in 2022	No. of Personnel
1 to 3	13
4 to 5	3
Over 5	1
No. of Personnel	**17**

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Objective No. 7 – Retention of Records

Auditors determined if the Contact Report forms used for proxy entries were retained for a period of three years.

Criteria

Field Operations Directive, 18-004, Sheriff's Automated Contact Reporting (SACR), (May 2018), states:

> _Retention of Records_
>
> _SACR application Contact Report forms used for proxy entries shall be retained by the concerned unit for a period of three years._

Procedures

Auditors requested all copies of the Contact Report forms utilized during the month of March 2020 to determine if the forms have been retained for a period of three years.

Results

Century Station did not meet the criteria for this objective because as of the review date, Contact Report forms for the audit period cannot be located for evaluation.

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OTHER RELATED MATTERS

Other related matters are pertinent issues discovered during the audit but were not objectives which were measurable against Department policies and procedures.

Inconsistency in Policies in Timeliness of SACR Entries

Auditors noted an inconsistency in the policies relating to the timely entry of stop data in the SACR application. The Field Operations Directive (FOD) 18-004 states that stop data entries should be entered by the "end of the shift", whereas the SACR System User Guide for Deputy states that a contact report is deemed late if entered more than 24 hours. Auditors further noted that in the SACR application, the "24 hours" late time is from the "time of contact", and not "end of the shift". See Table No. 11.

Table No. 11 – SACR Entry Policies on Timeliness of SACR Entries

Reference	Policy
FOD 18-004 Sheriff's Automated Contact Reporting (SACR) May 2018	*…Per the regulations of AB 953, the "stop data" must be recorded by the <u>end of the shift</u> in which the contact occurred, unless exigent circumstances preclude doing so.*
SACR System User Guide for Deputy March 2019	16. *If the contact report is being entered <u>more than 24 hours later</u>, you must select a reason in the "Late Entry Reason" field.*

Also, auditors noted that the SACR application will only generate an "admin report" for supervisors called "Contacts Pending a SACR Report" for observations and calls for service from three days ago that were cleared with SACR clearance codes 941-949 and are still missing a SACR entry. Thus, supervisors will only be able to notify the respective deputies of their missing or pending SACR entries after three days.

Contacts Pending SACR Report

Auditors reviewed the "Contacts Pending SACR Report" in the SACR application and identified five observations and calls for service during the audit period that are still pending a SACR entry as of the review date. Three of the five observations and calls for service were determined to have corresponding incidents that required a SACR entry. Further, auditors identified 92 personnel who had observations and calls for service during 2022 that are still pending a SACR entry as of the review date. See Table No. 12 on the following page.

Table No. 12 – Contacts Pending SACR Reports in 2022

No. of Observations and Calls for Service Pending a SACR Report in 2022	No. of Personnel
1 to 3	70
4 to 5	11
Over 5	11
No. of Personnel	**92**

Approval Time of SACR Report

Auditors reviewed 1,146 SACR reports that were approved during the audit period to determine the timeframe between the creation of the SACR entries and when the SACR entries were approved. See Table No. 13.

Table No. 13 – Approval Time for SACR Entries

Hours	No. of SACR Reports
Less than 1 hour	152
1 to 8 hours	737
8 to 16 hours	198
16 to 24 hours	31
Over 24 hours	28
No. of Approved SACR Reports	**1,146**

CONCLUSION

The AAB considers the results of this audit to be a helpful management tool for all Department personnel. Auditors performed analyses and assessments and areas were identified as in need of improvement. The evidence collected and presented in this audit provides reasonable assurance that Department personnel are not fully adhering to the FOD, FOSS Newsletter, and the provisions of AB 953 as it relates to the use of the SACR system.

RECOMMENDATIONS

When Department policies and procedures are not adhered to, it may result in an increased risk or an inability to be compliant. The AAB considers the results of this audit to be a helpful management tool and therefore, makes the following recommendations:

1. It is recommended that Century Station management review personnel training records to ensure that all sworn personnel assigned to the station, who make civilian contacts or could potentially make civilian contacts that qualify under AB 953, attended the Department's SACR application training class. (Objective No. 1)

2. It is recommended that Century Station management ensure that email notifications sent out to personnel to correct any cleared calls where a SACR Clearance 940 code was improperly used, are addressed in a timely manner. (Objective No. 3)

3. It is recommended that Century Station management conduct continuous briefings of personnel and periodic reviews of SACR entries:

    - To ensure that SACR entries are completed timely and to utilize a Contact Report Form if the SACR entry will take more than 24 hours to be completed from time of contact. (Objective No. 5)

    - To ensure that "stop data" in the SACR reports are consistent with information entered in the MDC. (Objective No. 5)

4. It is recommended that Century Station designate an authorized proxy to enter and submit SACR entries from a completed Contact Report form, to ensure that SACR entries are completed in time. (Objective No. 5)

5. It is recommended that Century Station designate approvers other than a sergeant to review any SACR entry with an "in progress" status, to ensure that such entries do not remain in an "in progress" status for more than 24 hours. (Objective No. 6 and Other Related Matters)

6. It is recommended that Century Station management ensure that all Contact Report Forms utilized are retained for a period of three years. (Objective No. 7)

7. It is recommended that Century Station management periodically review the "Contacts Pending SACR Report" to ensure that deputies create and complete the SACR entries for all observations and calls for service that required a SACR entry. (Other Related Matters)

ACTIONS TAKEN/MANAGEMENT RESPONSE

The Unit Commander for the Century Station indicated concurrence with the audit findings in an Interdepartmental Memorandum.

Audit and Accountability Bureau presented the final audit report to the Division Director, Office of Constitutional Policing.

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SHERIFF'S AUTOMATED CONTACT REPORTING AUDIT
CENTURY SHERIFF'S STATION
Project No. 2023-4-A

This audit was submitted on this 10th day of October, by the Audit and Accountability Bureau.

Original signature on file at AAB

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