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Recommendation Status Summary

Assembly Budget Subcommittee 5 on Public Safety		
Report Number 2013-115		
<i>Disabled Veteran Business Enterprise Program: Meaningful Performance Standards and Better Guidance by the California Departments of General Services and Veterans Affairs Would Strengthen the Program (February 2014)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
5. To ensure it has maximized the effectiveness of the DVBE incentive, Corrections should implement measures to help ensure that it applies the DVBE incentive to all applicable contracts and procurements and that these measures include documented policies and procedures and/or training to procurement staff on properly applying the DVBE incentive.	Fully Implemented	Department of Corrections and Rehabilitation

Report Number 2013-120		
<i>Sterilization of Female Inmates: Some Inmates Were Sterilized Unlawfully, and Safeguards Designed to Limit Occurrences of the Procedure Failed (June 2014)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the necessary education and disciplinary action can be taken, the Receiver's Office should report to the California Department of Public Health, which licenses general acute care hospitals, and the Medical Board of California, which licenses physicians, the names of all hospitals and physicians associated with inmates' bilateral tubal ligations during fiscal years 2005-06 through 2012-13 for which consent was unlawfully obtained. The Receiver's Office should make these referrals as soon as is practicable.	Fully Implemented	California Correctional Health Care Services
2. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include providing additional training to prison medical staff regarding Title 22 requirements for obtaining informed consent for sterilization procedures, including the applicable forms and mandatory waiting period requirements, to ensure that consent is lawfully obtained.	Fully Implemented	California Correctional Health Care Services
3. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include developing checklists or other tools that prison medical staff can use to ensure that medical procedures are not scheduled until after the applicable waiting periods for sterilization have been satisfied.	Fully Implemented	California Correctional Health Care Services
4. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include periodically reviewing, on a consistent basis, a sample of cases in which inmates received treatment resulting in sterilization at general acute care hospitals, to ensure that all informed consent requirements were satisfied.	Fully Implemented	California Correctional Health Care Services
5. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include working with Corrections to establish a process whereby inmates can have witnesses of their choice when consenting to sterilization, as required by Title 22, or working to revise such requirements so that there is an appropriate balance between the need for secure custody and the inmate's ability to have a witness of her choice.	Will Not Implement	California Correctional Health Care Services

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
6. Until such time as the Receiver's Office implements a process for obtaining inmate consent for sterilization under Title 22 that complies with all aspects of the regulations, it should discontinue its practice of facilitating an inmate's consent for sterilization in the prison and allow the general acute care hospital to obtain an inmates consent.	Fully Implemented	California Correctional Health Care Services
7. To improve the quality of the information prison medical staff document in inmate medical records, the Receiver's Office should train its entire medical staff on its policy in the inmate medical procedures related to appropriate documentation in inmates' medical records. This training should be completed by December 31, 2014.	Fully Implemented	California Correctional Health Care Services
8. To improve the quality of the information prison medical staff document in inmate medical records, the Receiver's Office should either develop or incorporate into an existing process a means by which it evaluates prison medical staffs' documentation in inmates' medical records and retrains medical staff as necessary. The Receiver's Office should develop and implement this process by June 30, 2015.	Fully Implemented	California Correctional Health Care Services
9. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should develop processes by August 31, 2014, such that a procedure that may result in sterilization is not scheduled unless the procedure is approved at the necessary level of the utilization management process.	Fully Implemented	California Correctional Health Care Services
10. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should by October 31, 2014, train its scheduling staff to verify that the appropriate utilization management approvals are documented before they schedule a procedure that may result in sterilization.	Fully Implemented	California Correctional Health Care Services
11. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should ensure that the computer system it procures includes functionality to electronically link medical scheduling with authorization through the utilization management process to prevent all unauthorized procedures, regardless of whether they may result in sterilization, from being scheduled.	Not Fully Implemented	California Correctional Health Care Services

Report Number 2014-109

Sexual Assault Evidence Kits: Although Testing All Kits Could Benefit Sexual Assault Investigations, the Extent of the Benefits Is Unknown (October 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that sexual assault evidence kits are not overlooked and the reason why they are not sent for analysis is clear, by December 1, 2014, the Oakland Police Department should adopt a policy that requires investigators to document the reason they do not submit a request for sexual assault evidence kit analysis to a crime lab.	Fully Implemented	Oakland Police Department
2. To ensure that sexual assault evidence kits are not overlooked and the reason why they are not sent for analysis is clear, by December 1, 2014, the San Diego Police Department should adopt a policy that requires investigators to document the reason they do not submit a request for sexual assault evidence kit analysis to a crime lab.	Fully Implemented	San Diego Police Department
3. To ensure that it maximizes the amount of time available for prosecuting sexual offenses, by December 1, 2014, the Oakland Police Department should formalize in a policy document its new practice of analyzing sexual assault evidence kits within two weeks of the department receiving the kits into evidence, and it should continue to implement that policy.	Fully Implemented	Oakland Police Department
4. To report to the Legislature about the effectiveness of its RADS program and to better inform decisions about expanding the number of analyzed sexual assault evidence kits, Justice should amend its agreements with the counties participating in the RADS program to require those counties to report case outcome information, such as arrests and convictions for the sexual assault evidence kits Justice has analyzed under the program. Justice should then report annually to the Legislature about those case outcomes.	Partially Implemented	Department of Justice

Report Number 2014-301

Judicial Branch Procurement: Five Superior Courts Did Not Consistently Follow Judicial Branch Contracting Practices (November 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should establish clear procedures for ensuring that appropriate staff sign and authorize all payments prior to processing. It should ensure that staff follows these procedures and that managers do not approve payments above their authorized dollar limits.	Fully Implemented	Superior Court of California, County of Alameda
2. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should prohibit staff from purchasing unauthorized goods or services.	Fully Implemented	Superior Court of California, County of Alameda
3. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should only make advance payments under the conditions that the judicial contracting manual allows.	Fully Implemented	Superior Court of California, County of Alameda
4. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should ensure that all purchases are for allowable purposes.	Fully Implemented	Superior Court of California, County of Alameda
5. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should ensure that it adheres to the \$1,500 single transaction limit for all Cal-Card purchases.	Pending	Superior Court of California, County of Alameda
6. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should ensure that it either anticipates contracts expiring and competitively rebids them timely or establishes proper noncompetitive amendments to the contracts as the judicial contracting manual specifies.	Pending	Superior Court of California, County of Alameda
7. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into noncompetitive procurements.	Fully Implemented	Superior Court of California, County of Alameda
8. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should adopt procedures to implement the small business preference for competitive information technology procurements by December 31, 2014.	Fully Implemented	Superior Court of California, County of Alameda
9. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into sole-source contracts and to demonstrate that it received fair and reasonable prices.	Fully Implemented	Superior Court of California, County of Fresno
10. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should use the appropriate solicitation method for the dollar value of the procurements it seeks.	Fully Implemented	Superior Court of California, County of Fresno
11. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that it conducts competitive procurements when it establishes blanket purchase orders of \$5,000 or more.	Fully Implemented	Superior Court of California, County of Fresno
12. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that staff does not approve payments for amounts greater than their authorized limits.	Fully Implemented	Superior Court of California, County of Fresno
13. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should adopt procedures to implement the State's DVBE program and the small business preference for competitive information technology procurements by December 31, 2014.	Fully Implemented	Superior Court of California, County of Fresno
14. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should solicit competitive bids for procurements of \$5,000 or more when required to do so.	Fully Implemented	Superior Court of California, County of San Luis Obispo
15. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into noncompetitive procurements, including sole-source contracts.	Fully Implemented	Superior Court of California, County of San Luis Obispo

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should take steps to ensure that pricing it receives is fair and reasonable when it uses leveraged procurement agreements and document these steps in its procurement files.	Fully Implemented	Superior Court of California, County of San Luis Obispo
17. To improve its procurement practices and comply with the judicial contracting manual, the Yuba court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into sole-source contracts.	Fully Implemented	Superior Court of California, County of Yuba

Report Number 2014-107

Judicial Branch of California: Because of Questionable Fiscal and Operational Decisions, the Judicial Council and the Administrative Office of the Courts Have Not Maximized the Funds Available for the Courts (January 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the compensation the Administrative Office of the Courts (AOC) provides is reasonable, the Judicial Council should adopt procedures that require a regular and thorough review of the AOC's compensation practices including an analysis of the job duties of each position to ensure that the compensation aligns with the requirements of the position. This review should include comparable executive branch salaries, along with a justification when an AOC position is compensated at a higher level than a comparable executive branch position.	Partially Implemented	Judicial Council of California
2. To ensure that its compensation structure is reasonable, the AOC should cease paying employees' share of retirement contributions.	Fully Implemented	Administrative Office of the Courts
3. To ensure that its compensation structure is reasonable, the AOC should mirror the executive branch's practices for offering leave buyback programs in terms of frequency and amount.	Will Not Implement	Administrative Office of the Courts
4. To increase its efficiency and decrease its travel expenses, the AOC should require its directors and managers to work in the same locations as the majority of their staff unless business needs clearly require the staff to work in different locations than their managers.	Partially Implemented	Administrative Office of the Courts
5. To ensure that it pays its employees the appropriate salaries for the locations in which they spend the majority of their work hours, the AOC should follow its policy to periodically verify that salary differentials are based on an employee's actual work location.	Fully Implemented	Administrative Office of the Courts
6. To justify maintaining its headquarters in San Francisco and its additional space in Burbank, the AOC should conduct a thorough cost-benefit analysis of moving its operations to Sacramento. If the analysis determines that the financial benefits of consolidating its operations in Sacramento outweigh the costs of such a move, the AOC should begin the process of relocating to Sacramento.	Pending	Administrative Office of the Courts
7. To reduce its expenses, the AOC should implement a policy that requires it to conduct a cost-benefit analysis for using temporary workers, contractors, or consultants instead of state employees before employing temporary workers, contractors, or consultants to do the work of AOC employees.	Pending	Administrative Office of the Courts
8. To reduce its expenses, the AOC should follow its policies and procedures limiting the period of time it can employ temporary workers, and develop a similar policy to limit the use of contractors to a reasonable period of time but no more than one year.	Pending	Administrative Office of the Courts
9. To reduce its expenses, the AOC should conduct a cost-benefit analysis for maintaining its pool of vehicles. If the analysis finds that the cost of maintaining the vehicles outweighs the costs of having its employees use other means of transportation, such as their personal vehicles, the AOC should reduce the number of vehicles it owns and leases. Also, the AOC should track and periodically inventory the vehicles in its fleet.	Fully Implemented	Administrative Office of the Courts
10. To reduce its expenses, the AOC should cease reimbursing its office directors for parking at their headquarters by adopting the executive branch's parking reimbursement policies.	Fully Implemented	Administrative Office of the Courts
11. To reduce its expenses, the AOC should cease its excessive reimbursements for meals by adopting the executive branch's meal and travel reimbursement policies.	Will Not Implement	Administrative Office of the Courts

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
14. To ensure that it spends funds appropriately, the AOC should develop and implement controls to govern how its staff can spend judicial branch funds. These controls should include specific definitions of local assistance and support expenditures, written fiscal policies and procedures as the rules of court require, and a review process.	Pending	Administrative Office of the Courts
15. The Judicial Council should develop rules of court that create a separate advisory body, or amend the current advisory committee's responsibilities and composition, that reports directly to the Judicial Council to review the AOC's state operations and local assistance expenditures in detail to ensure they are justified and prudent. This advisory body should be composed of subject matter experts with experience in public and judicial branch finance.	Pending	Judicial Council of California
17. To increase transparency, the Judicial Council should conduct a more thorough review of the AOC's implementation of the evaluation committee's recommendations by more closely scrutinizing the actions the AOC asserts it has taken to complete directives.	Fully Implemented	Judicial Council of California
18. To make the AOC's budget more understandable, the Judicial Council should require the AOC to report its budget in a more understandable and transparent manner, and in a manner that readily allows stakeholders and the public to know the full amount of the AOC's spending. Further, the Judicial Council should require the AOC to prepare and make public a high-level summary of how the judicial branch's budget relates to the appropriations from the State's budget.	Pending	Judicial Council of California
19. The AOC should conduct a comprehensive survey of the courts on a regular schedule—at least every five years—to ensure that the services it provides align with their responses. The AOC should re-evaluate any services that the courts identify as being of limited value or need.	Pending	Administrative Office of the Courts
20. To justify its budget and staffing levels, the AOC should conduct the steps in CalHR's workforce planning model in the appropriate order. It should begin by establishing its mission and creating a strategic plan based on the needs of the courts. It should then determine the services it should provide to achieve the goals of that plan. The AOC should base its future staffing changes on the foundation CalHR's workforce planning model provides. Finally, the AOC should develop and use performance measures to evaluate the effectiveness of this effort.	Pending	Administrative Office of the Courts
21. To ensure that it provides services to the trial courts as efficiently as possible, the Judicial Council should explore implementing a fee-for-service model for selected services. These services could include those that are little used or of lesser value to the trial courts, as identified in our survey that we discuss in Chapter 3.	Pending	Judicial Council of California
22. To justify the budget and staff level of the AOC, the Judicial Council should implement some or all of the best practices we identified to improve the transparency of AOC spending activities.	Pending	Judicial Council of California

Report Number 2014-117

California Department of Corrections and Rehabilitation: It Must Improve Legal Compliance and Administrative Oversight of Its Employment of Retired Annuitants and Use of State-Owned Vehicles (March 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that it complies with state laws and its policies related to retired annuitants' employment, Corrections should provide its hiring managers and staff with guidance by June 2015 on including an adequate justification on the hiring form for retired annuitants.	Fully Implemented	Department of Corrections and Rehabilitation
2. To ensure that it complies with state laws and its policies related to retired annuitants' employment, Corrections should provide its hiring managers and staff with guidance by June 2015 on obtaining necessary approvals before retired annuitants begin work.	Fully Implemented	Department of Corrections and Rehabilitation
3. To ensure that it complies with state laws and its policies related to retired annuitants' employment, Corrections should provide its hiring managers and staff with guidance by June 2015 on verifying and maintaining EDD forms indicating that retirees have not received unemployment compensation in the 12 months preceding their hire.	Fully Implemented	Department of Corrections and Rehabilitation
4. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should provide training on what constitutes limited duration and how to appropriately document it.	Fully Implemented	Department of Corrections and Rehabilitation

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
5. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should develop and implement a policy for reviewing and approving renewal appointments and spreadsheets.		Department of Corrections and Rehabilitation
6. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should designate in policy the position responsible for reviewing and approving the renewal appointments.	Fully Implemented	Department of Corrections and Rehabilitation
7. To ensure that retired annuitants do not work beyond their 960-hour limit per fiscal year, by September 2015 Corrections should develop a policy for a monthly management review and approval of retired annuitant attendance records.		Department of Corrections and Rehabilitation
8. To ensure that retired annuitants do not work beyond their 960-hour limit per fiscal year, by September 2015 Corrections should review its payroll records from fiscal year 2010–11 to present to identify any retired annuitants who exceeded the 960-hour limit and report these employees to CalPERS.	Fully Implemented	Department of Corrections and Rehabilitation
9. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should provide guidance to employees who complete permit requests regarding the documentation they should include when justifying the need for permits.	Fully Implemented	Department of Corrections and Rehabilitation
10. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should review the justifications on permit requests to ensure they are appropriate before granting approval.	Fully Implemented	Department of Corrections and Rehabilitation
11. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should emphasize among its authorized approvers the importance of approving permit requests before allowing the use of vehicles.	Fully Implemented	Department of Corrections and Rehabilitation
12. To ensure that all employees with assigned vehicles submit the required documents, Corrections should provide training and guidance to staff and supervisors on its policy for monthly reporting of the personal use of vehicles to both its accounting office and the state controller by June 2015.		Department of Corrections and Rehabilitation
13. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should provide training to staff and supervisors about the use and accurate completion of travel logs.	Fully Implemented	Department of Corrections and Rehabilitation
14. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should require regular review of the travel logs for pooled vehicles.	Fully Implemented	Department of Corrections and Rehabilitation
15. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should provide training and guidance to staff and supervisors about monthly mileage reporting to General Services and about retention requirements for travel logs.	Fully Implemented	Department of Corrections and Rehabilitation

Report Number 2015-608

High Risk: State Departments Need to Improve Their Workforce and Succession Planning Efforts to Mitigate the Risks of Increasing Retirements (May 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
9. Cal OES should develop a process by December 2015 to measure and evaluate its workforce and succession planning activities at least annually, and update its plans as necessary, to ensure that its activities are effective. This process should include evaluating the trends in retirements for leadership and technical positions.	Fully Implemented	Office of Emergency Services
16. Cal OES should develop a process by June 30, 2015, to ensure that the executive membership of its Idea Ambassador Corps remains stable to help ensure that Cal OES can perform consistent monitoring of the results of the workforce and succession planning activities across the department.	Fully Implemented	Office of Emergency Services

Report Number 2015-030

State Bar of California: It Has Not Consistently Protected the Public Through Its Attorney Discipline Process and Lacks Accountability (June 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that its backlog does not adversely affect the quality of the discipline it imposes on attorneys who fail to fulfill their professional responsibilities, the State Bar should adhere to its quality control processes. Further, it should take steps to prevent its management or staff from circumventing those processes, such as requiring the presentation to the board of any proposed changes to quality control.	Pending	State Bar of California
3. To ensure that it consistently counts and reports its backlog of disciplinary cases, the State Bar and the Legislature should work together to determine what cases the State Bar should include in its backlog. For example, one method of calculating the backlog would be to include every case that affects public protection that the State Bar does not resolve within six months from the time it receives a complaint. Until the Legislature determines what cases the State Bar should include in its backlog, the State Bar should comply with our 2009 recommendation to fully disclose the types of cases it includes and excludes from its backlog calculation, as well as any methodology changes from the prior year.	Pending	State Bar of California
4. To provide clear and reliable information to the Legislature, the governor, and the public, the State Bar should define how it calculates case-processing speeds in its discipline report and should report this metric using the same method each year. If the State Bar elects to continue presenting the median case-processing time, it should also present the average case-processing time. Finally, it should fully disclose any methodology changes from the methodology used in the prior year.	Pending	State Bar of California
5. To assure the Legislature and the public that the data in the State Bar's discipline reports are accurate, the board should implement controls over the accuracy, consistency, and sufficiency of the data gathered and methods used to compute the information included in the report. For example, the board could expand the role of an existing board committee—such as the regulation and discipline committee—to include a review of the discipline report and the underlying discipline statistics	Pending	State Bar of California
6. To align its staffing with its mission, the State Bar should engage in workforce planning for its discipline system. The workforce planning should include the development and formal adoption of an appropriate backlog goal, an assessment of the staffing needed to achieve that goal while ensuring that the discipline process is not compromised, and the creation of policies and procedures sufficient to provide adequate guidance to the staff of each unit within the discipline system.	Pending	State Bar of California
7. To ensure that the audit and review unit's random audits of closed case files provide an effective oversight mechanism, the State Bar should follow its policy to conduct and record meetings and trainings related to the audit report's recommendations.	Pending	State Bar of California
8. To ensure that the audit and review unit's random audits of closed case files provide an effective oversight mechanism, the audit and review unit should oversee the retrieval of cases files for audit.	Pending	State Bar of California
9. To ensure that the review function within the audit and review unit continues to provide a means for complainants to appeal the State Bar's decisions on closed cases, the State Bar should implement a policy that prohibits the chief trial counsel from dissolving the review function of the audit and review unit. Alternatively, at a minimum, it should require board approval for such an action.	Pending	State Bar of California
10. To provide independent oversight of the Office of the Chief Trial Counsel and assurance that it properly closes its case files, the audit and review unit should report to an individual or body that is separate from the chief trial counsel, such as the executive director or the board.	Pending	State Bar of California
11. To ensure that it spends revenues from the membership fee appropriately, the State Bar needs to implement policies and procedures to restrict its ability to transfer money between funds that its board or state law has designated for specific purposes.	Fully Implemented	State Bar of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
12. To ensure that it can justify future expenditures that exceed a certain dollar level, such as capital or IT projects that cost more than \$2 million, the State Bar should implement a policy that requires accurate cost-benefit analyses comparing relevant cost estimates. The policy should include a requirement that the State Bar present the analyses to the board to ensure that it has the information necessary to make appropriate and cost-effective decisions. In addition, the State Bar should be clear about the sources of funds it will use to pay for each project.	Fully Implemented	State Bar of California
13. To justify any future special assessment that the State Bar wants to add to the annual membership fee, the State Bar should first present the Legislature with the planned uses for those funds and cost estimates for the project for which the State Bar intends to use the special assessment.	Pending	State Bar of California
14. To ensure that it adequately informs the Legislature about the status of the IT projects in its strategic plan, the State Bar should annually update the projects' cost estimates, their respective status, and the funds available for their completion.	Pending	State Bar of California
17. To determine a reasonable and justified annual membership fee that better reflects its actual costs, the State Bar should conduct a thorough analysis of its operating costs and develop a biennial spending plan. It should work with the Legislature to set an appropriate annual membership fee based upon its analysis. The first biennial spending plan should also include an analysis of the State Bar's plans to spend its current fund balances.	Pending	State Bar of California

Report Number 2015-504

Follow-Up—California Department of Justice: Delays in Fully Implementing Recommendations Prevent It From Accurately and Promptly Identifying All Armed Persons With Mental Illness, Resulting in Continued Risk to Public Safety (July 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To ensure that it accurately identifies all prohibited persons, Justice should implement its plan to develop a checklist by July 2015 and desk procedures by September 2015 to aid its analysts in making correct prohibition determinations.	Partially Implemented	Department of Justice
3. To ensure staff can promptly address the daily queue and the historical backlog, by July 2016 Justice should identify and implement strategies, including pursuing funding, to staff its bureau operations to the level it needs.	Partially Implemented	Department of Justice
4. To fully implement our previous recommendation and ensure that it keeps an updated accurate list of all mental health facilities, by July 2015 Justice should implement supervisory review of its analyst's comparison of Justice's mental health facilities list and Health Care Services' list to ensure staff identified and corrected all discrepancies.	Fully Implemented	Department of Justice
5. To fully implement our previous recommendation and ensure that it investigates all significant drops in mental health facility reporting, Justice should revise its procedure to consider drops between each quarter.	Fully Implemented	Department of Justice

Report Number I2015-1

Investigations of Improper Activities by State Agencies and Employees (August 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
10. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should reduce the accumulated leave balances of Employee A by 886 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Resolved	California Correctional Health Care Services
11. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should reduce the accumulated leave balances of Employee A by 886 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Partially Implemented	Department of Corrections and Rehabilitation

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
12. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should work with the California Public Employees' Retirement System and attempt to recoup the \$22,766 in CTO leave hours Employee B—who retired in April 2015—cashed out but to which he was not entitled.	Resolved	California Correctional Health Care Services
13. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should work with the California Public Employees' Retirement System and attempt to recoup the \$22,766 in CTO leave hours Employee B—who retired in April 2015—cashed out but to which he was not entitled.	Partially Implemented	Department of Corrections and Rehabilitation
14. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should reduce the accumulated leave balances of Employee C by 261 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Resolved	California Correctional Health Care Services
15. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should reduce the accumulated leave balances of Employee C by 261 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Partially Implemented	Department of Corrections and Rehabilitation
16. Corrections and Correctional Health Care should develop a policy requiring all labor relations analysts, including the labor relations analyst at Prison 1, to document any communications from the Office of Labor Relations at Corrections that affect employee compensation.	Pending	California Correctional Health Care Services
17. Corrections and Correctional Health Care should develop a policy requiring all labor relations analysts, including the labor relations analyst at Prison 1, to document any communications from the Office of Labor Relations at Corrections that affect employee compensation.	Fully Implemented	Department of Corrections and Rehabilitation
18. Corrections and Correctional Health Care should run a query of exempt positions related to the chief psychologist classification, such as clinical psychologists and senior psychologists, to determine whether any other exempt employees were improperly credited or paid for on-call or call-back assignments prior to December 2014, and seek recovery through reducing those employees' accumulated leave balances.	Partially Implemented	California Correctional Health Care Services
19. Corrections and Correctional Health Care should run a query of exempt positions related to the chief psychologist classification, such as clinical psychologists and senior psychologists, to determine whether any other exempt employees were improperly credited or paid for on-call or call-back assignments prior to December 2014, and seek recovery through reducing those employees' accumulated leave balances.	Partially Implemented	Department of Corrections and Rehabilitation
28. Correctional Health Care should develop a process to ensure that it uses master agreements to procure only goods and services that are within the scope of those agreements.		California Correctional Health Care Services
29. Correctional Health Care should ensure that it or its contractor submits to the Department of Technology all projects that require Technology's review.		California Correctional Health Care Services
30. Correctional Health Care should ensure that it has received all of the goods and services for which it already paid the contractor, or for which it has been invoiced to pay by the contractor.		California Correctional Health Care Services
31. Correctional Health Care should provide appropriate counseling and training to the staff and officials involved in project procurements so they are aware of the proper procedures for contracting and for reviewing and approving invoices, including ensuring that all goods and services have been received prior to paying contractors.		California Correctional Health Care Services
32. Correctional Health Care should consider whether any disciplinary action is warranted.		California Correctional Health Care Services

Report Number 2015-302

Judicial Branch Procurement: Although the Judicial Council Needs to Strengthen Controls Over Its Information Systems, Its Procurement Practices Generally Comply With Applicable Requirements (December 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. The Judicial Council should update its judicial contracting manual to include the required minimum fuel economy standards for the judicial branch's vehicle purchases.	Pending	Judicial Council of California
2. The Judicial Council should develop a corrective action plan by February 29, 2016 to address the recommendation from our December 2013 audit report related to the controls over its information systems. The corrective action plan should include prioritizing the tasks, resources, primary and alternative funding sources, and milestones for all of the actions required to fully implement its framework of information system controls by June 2016. Further, the Judicial Council should continue to provide guidance and routinely follow up with the superior courts to assist with their effort to make the necessary improvements to their information system controls.	Pending	Judicial Council of California

* The status of recommendations for audits issued between November and December 2015 is based on the entity's initial response, which is included in the original audit report, available on the California State Auditor's (state auditor) website: www.auditor.ca.gov