

2013-103 AUDIT SCOPE AND OBJECTIVES—Department of Justice—Mentally Ill Prohibited Persons

The audit by the California State Auditor will provide independently developed and verified information related to the identification and reporting of mentally ill prohibited persons by the Department of Justice (Justice) and a sample of superior courts and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Review and evaluate Justice's policies and procedures for identifying, tracking and monitoring of information related to mentally ill prohibited persons and determine whether the policies and procedures comply with laws and regulations.
3. Review and assess Justice's process for communicating with public and private mental health facilities and the Department of State Hospitals, and for requesting and obtaining information concerning mentally ill prohibited persons from these entities. Determine the extent to which Justice is successful in obtaining this information and if not, what recourse, if any, it can take.
4. Examine Justice's practices to determine the following:
 - (a) Whether Justice complies with its policies and procedures in processing reports from the various entities to ensure that information regarding mentally ill prohibited persons is updated in Justice's Armed Prohibited Persons System (APPS).
 - (b) The length of time it takes Justice to process reports identifying mentally ill prohibited persons, and to update applicable databases.
 - (c) Whether Justice has a backlog in processing and updating the APPS and the extent, source, and reasons for any backlogs.
 - (d) Whether the requirement to electronically submit information imposed by Assembly Bill 302—Chapter 344, Statutes of 2010 (Assemblymember Beall)—has improved the efficiency of processing applicable reports.
5. For a sample of superior courts, conduct the following:
 - (a) Review the courts' policies and protocols related to tracking relevant information about mentally ill prohibited persons and reporting required information to Justice. Assess the courts' compliance with related laws and regulations.
 - (b) Review the courts' practices and determine whether the courts are properly, and in a timely manner, transmitting to Justice required information on mentally ill prohibited persons.

- (c) Identify the courts' monitoring policies and control processes to determine whether they adequately ensure courts comply with reporting requirements.
- 6. Review and assess any other issues that are significant to the reporting of information to Justice related to mentally ill prohibited persons, and the use of this data to protect the public.