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Table 1
Recommendation Status Summary

Senate Budget & Fiscal Review Subcommittee 5 on Corrections, Public Safety, Judiciary, Labor and Transportation

Report Number 2018-301

Judicial Branch Procurement: Some Superior Courts Generally Followed Requirements but Could Improve Their Procurement Practices (January 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. The County of Santa Clara Superior Court (Santa Clara court) should ensure that it supports all payments with a contract or purchase order that clearly states the terms and pricing for any goods or services received. The court should also ensure that it competitively awards its contracts as appropriate and that it properly documents its fair and reasonable pricing determinations, including those for applicable leveraged agreements.	Superior Court of California, County of Santa Clara	Fully Implemented
2. The County of Los Angeles Superior Court (Los Angeles court) should ensure that it documents best value in its procurement files when selecting vendors from leveraged procurement agreements.	Superior Court of California, County of Los Angeles	Resolved
3. The County of Monterey Superior Court (Monterey court) should ensure that it documents fair and reasonable pricing from vendors in its procurement files.	Superior Court of California, County of Monterey	Fully Implemented
4. The County of Imperial Superior Court (Imperial court) should ensure that it documents its justifications and approvals for using noncompetitive procurements.	Superior Court of California, County of Imperial	Fully Implemented
5. The County of Santa Barbara Superior Court (Santa Barbara court) should ensure that it documents its justifications and approvals for using noncompetitive procurements.	Superior Court of California, County of Santa Barbara	Fully Implemented
6. The Monterey court should revise its guidance regarding invoice approval limits to include a description of circumstances under which it will allow exceptions to such limits, and it should inform court staff of the revisions.	Superior Court of California, County of Monterey	Fully Implemented
7. The Santa Clara court should establish and implement procedures to ensure that adequate separation of duties exists for procurement. These procedures should specifically prevent a single individual from both approving an invoice's amount and then also authorizing its payment.	Superior Court of California, County of Santa Clara	Fully Implemented
8. To ensure the appropriateness of every payment, the Imperial court should require all invoices to receive approval before it processes their payment.	Superior Court of California, County of Imperial	Fully Implemented
9. The Santa Barbara court should reinstate its previous requirement that staff submit packing slips or receipts before its payment of invoices.	Superior Court of California, County of Santa Barbara	Fully Implemented
10. The Santa Clara court should ensure that its staff abide by the judicial contracting manual's purchase card transaction limits, or it should document an alternative transaction limit in its local contracting manual.	Superior Court of California, County of Santa Clara	Fully Implemented
11. The Imperial court should document its alternative purchase card procedures regarding transaction limits in its local manual.	Superior Court of California, County of Imperial	Fully Implemented
12. The Santa Barbara court should document its alternative purchase card procedures regarding transaction limits in its local manual.	Superior Court of California, County of Santa Barbara	Fully Implemented

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Report Number 2018-113**California Department of Corrections and Rehabilitation: Several Poor Administrative Practices Have Hindered Reductions in Recidivism and Denied Inmates Access to In-Prison Rehabilitation Programs (January 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that the California Department of Corrections and Rehabilitation (CDCR) has reliable tools for assessing the needs of its inmate population, it should validate the Correctional Offender Management Profiling for Alternative Sanctions assessment and California Static Risk Assessment by January 2020 and revalidate all of its assessment tools at least every five years.	Department of Corrections and Rehabilitation	Pending
2. To ensure that CDCR is able to discover and prioritize the most effective cognitive behavioral therapy (CBT) rehabilitation curricula, it should begin using its ability to record the individual CBT curricula inmates receive, and then use this information in an analysis of its rehabilitation programs in 2020.	Department of Corrections and Rehabilitation	Partially Implemented
3. To ensure that its CBT classes are effective at reducing recidivism, CDCR should amend its CBT contracts to require vendors to teach only evidence-based curricula as designated by Pew and should provide adequate oversight, including implementing University of California, Irvine's (UC Irvine) contract compliance recommendations, to ensure that its vendors adhere to this standard by January 2020.	Department of Corrections and Rehabilitation	Fully Implemented
4. To ensure that inmates with the highest risks and needs are wait listed, prioritized, and assigned appropriately, CDCR should require correctional counselors to place inmates onto waiting lists once they have five years or less on their sentences.	Department of Corrections and Rehabilitation	Fully Implemented
5. To ensure that inmates with the highest risks and needs are wait listed, prioritized, and assigned appropriately, CDCR should update its waiting list system to prioritize inmates with rehabilitative needs and risks in its target population.	Department of Corrections and Rehabilitation	Fully Implemented
6. To ensure that inmates with the highest risks and needs are wait listed, prioritized, and assigned appropriately, CDCR should assign inmates to rehabilitation programs in accordance with its policies.	Department of Corrections and Rehabilitation	Fully Implemented
7. To ensure that it can meet the rehabilitation needs of its inmates, CDCR should develop and begin implementing plans to meet its staffing-level goals for rehabilitative programming by January 2020 and should implement a process to continuously update and monitor these goals.	Department of Corrections and Rehabilitation	Fully Implemented
8. To increase the space available for rehabilitation programs, by January 2020 CDCR should analyze and report on its current infrastructure capacity compared to its needs for the programs. The report should include the current space available and the square footage needed. If the report indicates that additional space is necessary, CDCR should work with the Legislature to address those needs.	Department of Corrections and Rehabilitation	Partially Implemented
9. To improve the inmate enrollment rates in the California Prison Industry Authority's (CalPIA) vocational education programs, CalPIA and CDCR should require a CalPIA representative to attend all classification committee meetings at all nine prisons where CalPIA offers vocational education. CDCR should also ensure that it enrolls eligible inmates in CalPIA's vocational programs before filling spots in its own vocational programs. In addition, if the CalPIA recidivism study indicates that CalPIA's vocational programs are better at reducing recidivism than CDCR's vocational programs, CalPIA should request funding from the Legislature to expand its vocational training program.	Department of Corrections and Rehabilitation	Partially Implemented
10. To improve the inmate enrollment rates in CalPIA's vocational education programs, CalPIA and CDCR should require a CalPIA representative to attend all classification committee meetings at all nine prisons where CalPIA offers vocational education. CDCR should also ensure that it enrolls eligible inmates in CalPIA's vocational programs before filling spots in its own vocational programs. In addition, if the CalPIA recidivism study indicates that CalPIA's vocational programs are better at reducing recidivism than CDCR's vocational programs, CalPIA should request funding from the Legislature to expand its vocational training program.	California Prison Industry Authority	Partially Implemented

<p>11. To ensure that CDCR effectively and efficiently allocates resources and reduces recidivism, it should partner with a research organization to conduct a systematic evaluation during fiscal year 2020-21 to determine whether its rehabilitation programs are reducing recidivism and if they are cost-effective. In addition, the external researcher should provide input on the development of performance targets, including recidivism reduction. Depending upon the results of the analysis, CDCR should then eliminate or modify programs that prove ineffective.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Partially Implemented</p>
<p>12. To ensure that CDCR effectively and efficiently allocates resources and reduces recidivism, it should partner with an external researcher during fiscal year 2020-21 to help it quantify the effect volunteer programs have on inmate outcomes and consider expanding those programs if they prove effective or ceasing them if they are not effective.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Partially Implemented</p>
<p>13. To ensure that CDCR effectively and efficiently allocates resources and reduces recidivism, it should collaborate with California Rehabilitation Oversight Board (C-ROB) during fiscal year 2019-20 to establish annual targets for reducing recidivism and determining the cost-effectiveness of the programs. CDCR should also request federal grants tied to setting targets for recidivism reduction.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>No Action Taken</p>
<p>14. To ensure that it has reliable tools to measure program fidelity in its CBT programs, CDCR should implement UC Irvine's recommendation by June 2019.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Fully Implemented</p>
<p>15. To ensure that its vocational training programs are effectively preparing inmates for the workforce upon their release and reducing recidivism, CDCR should collaborate with EDD to track the employment and the industry of employment for former inmates by January 2020.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Fully Implemented</p>
<p>16. To ensure that CDCR is taking steps to reduce recidivism, C-ROB should monitor whether CDCR is developing appropriate recidivism targets and, in its annual report, should evaluate CDCR's progress toward meeting those targets.</p>	<p>California Rehabilitation Oversight Board</p>	<p>Will Not Implement</p>
<p>17. To ensure that CDCR's rehabilitation programs reduce recidivism, the Legislature should require CDCR to establish performance targets, including ones for reducing recidivism and determining the programs' cost-effectiveness.</p>	<p>Legislature</p>	<p>Legislation Vetoed</p>
<p>18. To ensure that CDCR's rehabilitation programs reduce recidivism, the Legislature should require CDCR to do the following:</p> <ul style="list-style-type: none"> • Partner with external researchers to evaluate the effectiveness of its rehabilitation programs and implement the three-year plan described below. <p>Year One: Fiscal Year 2019-20 CDCR drafts scope of work, selects an external researcher to conduct the analysis, defines what data elements the researchers may require, and creates targets.</p> <p>Year Two: Fiscal Year 2020-21 External researcher conducts recidivism analysis and CDCR develops and begins implementing a corrective action plan.</p> <p>Year Three: Fiscal Year 2021-22 CDCR modifies as necessary and continues implementing its corrective action plan. It also reports to the Legislature and creates new targets and policies given the results of the recidivism analysis. Depending upon the results of the analysis, CDCR eliminates or modifies programs that prove ineffective.</p>	<p>Legislature</p>	<p>Legislation Vetoed</p>
<p>19. To ensure that CDCR's rehabilitation programs reduce recidivism, the Legislature should require CDCR to issue an annual report beginning in fiscal year 2021-22 that shows the percentage reduction in recidivism that can be attributed to the rehabilitation programs.</p>	<p>Legislature</p>	<p>Legislation Introduced</p>
<p>20. To ensure that CDCR and its external researcher conduct a comprehensive analysis of the rehabilitation programs' effect on recidivism, the Legislature should provide authority and funding for C-ROB to monitor the contracting process and provide progress updates to the Legislature in its annual report.</p>	<p>Legislature</p>	<p>No Action Taken</p>

21. To ensure that CDCR remains on track to complete its analysis and develop performance targets, the Legislature should require C-ROB to monitor CDCR's progress in developing appropriate recidivism targets and meeting those targets, and to provide annual updates on CDCR's progress in implementing the three-year plan.	Legislature	No Action Taken
22. To ensure that CDCR and the Employment Development Department can collaborate effectively to track whether inmates that received vocational training found work in a related field after release, the Legislature should amend state law to explicitly allow CDCR to provide inmates' Social Security numbers to the Employment Development Department.	Legislature	No Action Taken

Report Number 2018-114

Disabled Veteran Business Enterprise Program: The Departments of General Services and Veterans Affairs Have Failed to Maximize Participation and to Accurately Measure Program Success (February 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
23. To ensure that disabled veteran business enterprise (DVBE) participation data are reported accurately and consistently, the California Department of Transportation (Caltrans) should implement or strengthen a review process to ensure that DVBE participation amounts entered into its data systems or Financial Information System for California (FI\$Cal) are accurate. This review process should include verification, on a sample basis, of the amounts awarded to, and the certification status of, the DVBE contractor or subcontractor for high-value contracts that include DVBE participation.	Department of Transportation	Fully Implemented
24. To ensure that disabled veteran business enterprise (DVBE) participation data are reported accurately and consistently, CDCR should implement or strengthen a review process to ensure that DVBE participation amounts entered into its data systems or the Financial Information System for California (FI\$Cal) are accurate. This review process should include verification, on a sample basis, of the amounts awarded to, and the certification status of, the DVBE contractor or subcontractor for high-value contracts that include DVBE participation.	Department of Corrections and Rehabilitation	Fully Implemented
25. To ensure that DVBE participation data are reported accurately and consistently, the Department of Motor Vehicles (DMV) should implement or strengthen a review process to ensure that DVBE participation amounts entered into its data systems or FI\$Cal are accurate. This review process should include verification, on a sample basis, of the amounts awarded to, and the certification status of, the DVBE contractor or subcontractor for high-value contracts that include DVBE participation.	Department of Motor Vehicles	Fully Implemented

Report Number 2018-117

City and County Contracts With U.S. Immigration and Customs Enforcement: Local Governments Must Improve Oversight to Address Health and Safety Concerns and Cost Overruns (February 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
12. To ensure that it does not unnecessarily spend county funds to house U.S. Immigration and Customs Enforcement (ICE) detainees, the Orange County Sheriff's Office (Orange County) officials should renegotiate its contract per-diem rate with ICE as soon as possible, and at least before renewing the contract in 2020, arrive at an amount that covers all of the county's allowable costs for housing ICE detainees.	Orange County Sheriff's Department	Resolved
13. To ensure that it does not unnecessarily spend county funds to house ICE detainees, Orange County officials should annually analyze the cost of housing detainees compared with the payments it receives from ICE for doing so, and if necessary renegotiate its contract to ensure that contract revenues at least meet the county's costs.	Orange County Sheriff's Department	Resolved
14. To ensure that it receives adequate funding to pay for the costs of housing unaccompanied children for Refugee Resettlement, Yolo County Probation Department (Yolo County) should identify all allowable costs and include them in its future budget requests to Refugee Resettlement.	Yolo County Probation Department	Fully Implemented

<p>15. To provide additional transparency regarding the use of community care facilities and juvenile detention facilities that house unaccompanied children in California, the Legislature should consider requiring the Department of Social Services (DSS) to report to it by March 31 of each year the number of community care facilities, including foster family homes, that house unaccompanied children. DSS should also report the total number of unaccompanied children and the ranges of the duration of their stays at those facilities. Additionally, it should consider requiring Yolo County to report the total number and ranges of the duration of stay of unaccompanied children at the Yolo County Juvenile Facility.</p>	<p>Legislature</p>	<p>No Longer Necessary</p>
<p>16. The Board of State and Community Corrections (Community Corrections) should inspect all areas of local detention facilities, including areas that are used to house ICE detainees and report any instances of noncompliance in those areas.</p>	<p>Board of State and Community Corrections</p>	<p>Fully Implemented</p>

Report Number 2018-501

Follow-Up—Sexual Assault Evidence Kits: California Has Not Obtained the Case Outcome Information That Would More Fully Demonstrate the Benefits of Its Rapid DNA Service Program (March 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. If it amends state law to require testing of all sexual assault evidence kits, the Legislature should also require that law enforcement agencies and district attorneys report key case outcome data to the California Department of Justice (DOJ) for all cases associated with hits from DNA profiles obtained through those kits. Additionally, the Legislature should require DOJ to provide training and guidance to those entities on how to report that information, and follow up with entities that do not report. Further, it should require DOJ to annually publish summary information about case outcomes.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>2. If it does not amend state law to require testing of all sexual assault evidence kits, the Legislature should amend the law to ensure that DOJ obtains and reports case outcome information that would demonstrate the benefits of the Rapid DNA Service (RADS) program. Specifically, the Legislature should require DOJ to do the following:</p> <ul style="list-style-type: none"> • Periodically train all RADS participants on the requirement to report and update case outcome information, and on how to properly do so. • Develop guidance to inform RADS participants about how to appropriately and consistently enter case outcome information within the Combined DNA Index System Hit Outcome Project (CHOP). • Periodically review the case outcome information within CHOP to identify RADS participants that are not reporting or updating case outcome information, and follow up with them to obtain the information. • Annually report to the Legislature a summary of the case outcome information it has obtained, as well as its efforts to obtain the case outcome information. 	<p>Legislature</p>	<p>Legislation Proposed But Not Enacted</p>

Report Number 2018-129

Employment Development Department: Its Practice of Mailing Documents Containing Social Security Numbers Puts Californians at Risk of Identity Theft (March 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. Because other state agencies may mail full social security numbers (SSNs) to Californians, and because this practice—regardless of the agency involved—exposes individuals to the risk of identity theft, the Legislature should amend state law to require all state agencies to develop and implement plans to stop mailing documents that contain full SSNs to individuals by no later than December 2022, unless federal law requires the inclusion of full SSNs. To ensure that state agencies sufficiently prepare to implement this new law, the Legislature should also require that, by September 2019, they submit to it a report that identifies the extent to which their departments mail any documents containing full SSNs to individuals.</p>	<p>Legislature</p>	<p>Partially Implemented</p>

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<p>If any agency determines that it cannot reasonably meet the December 2022 deadline to stop including full SSNs on mailings to individuals, the Legislature should require that, starting in January 2023, the agency submit to it and post on the agency's website an annual corrective action plan that contains, at a minimum, the following information:</p> <ul style="list-style-type: none"> • The steps it has taken to stop including full SSNs on mailed documents. • The number of documents from which it has successfully removed full SSNs and the approximate mailing volume that corresponds to those documents. • The remaining steps that it plans to take to remove or replace full SSNs it includes on mailed documents. • The number of documents and approximate mailing volume that it has yet to address. • The expected date by which it will stop mailing documents that contain full SSNs to individuals. <p>Finally, if a state agency cannot remove or replace full SSNs that it includes on documents that it mails to individuals by January 2023, the Legislature should require the agency to provide access to and pay for identity theft monitoring for any individual to whom it mails documents containing SSNs.</p>		
<p>2. To reduce the risk of identity theft for its claimants before it completes its modernization project, the Employment Development Department (EDD) should, by December 2021, implement one or more of our proposed solutions or another viable solution to discontinue its use of full SSNs as unique identifiers on all documents that it mails to claimants. Further, it should prioritize addressing documents with the highest mail volumes, and it should make changes to these documents by March 2020. When providing us with the status of its implementation of this recommendation at 60 days, six months, and one year after the issuance of this report, and annually thereafter, EDD should note which documents it has addressed since the release of our report, how it has addressed them, and the dates by which it expects to address the remaining documents containing full SSNs that it mails to claimants.</p>	Employment Development Department	Pending
<p>3. To ensure that it eliminates any unnecessary uses of personal information in its external communications and to ensure that it fully protects its claimants' privacy, EDD should, by May 2019, implement its recently developed plan for reviewing new, revised, and existing documents. EDD should provide documents to us indicating the progress it has made to implement this recommendation at 60 days, six months, and one year following the release of this report. Finally, it should, by December 2021, complete its full review of existing documents and remove any unnecessary instances of personal information.</p>	Employment Development Department	Pending

Report Number I2019-2

Investigations of Improper Activities by State Agencies and Employees: Inefficient Management of State Resources, Misuse of State Time and Inaccurate Attendance Records, and Inadequate Supervision (April 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>4. To ensure its efficient management of the Assigned Judges Program (AJP) funding and to determine the impact of its recent program changes, the Judicial Council should reassess the AJP no later than June 30, 2019, and it should examine in particular its allocation of service days and AJP funding to superior courts with surplus judges.</p>	Judicial Council of California	Fully Implemented
<p>5. To ensure that it has successfully implemented its recent AJP changes at the superior courts, the Judicial Council should periodically evaluate trial court compliance with the recent program changes.</p>	Judicial Council of California	Fully Implemented
<p>16. Caltrans should ensure that it recoups all overpayments that it made to the associate.</p>	Department of Transportation	Fully Implemented
<p>17. Caltrans should notify all Caltrans employees of the limitations of bereavement leave and where bargaining agreements can be located for additional information specific to bereavement leave.</p>	Department of Transportation	Fully Implemented
<p>18. Caltrans should remind supervisors of their responsibility to ensure that employees properly charge leave, including bereavement leave, and to not exceed the allowable limits that the bargaining agreements outline.</p>	Department of Transportation	Fully Implemented

19. Caltrans should consider revising its policy to require supervisors to request employees to submit substantiation, such as a funeral announcement, for each claim of bereavement leave.	Department of Transportation	Resolved
20. Caltrans should consider conducting leave audits of the other subordinate staff that the supervisor formerly oversaw.	Department of Transportation	Fully Implemented
25. The Department of Industrial Relations (DIR) should provide instruction to all supervisors to maintain an accurate record of subordinate staff's daily work hours by either requiring all hourly employees to record the hours worked on their timesheet or using another reliable and consistent system to record daily hours worked by subordinate staff.	Department of Industrial Relations	Fully Implemented
26. DIR should provide training to the two supervisors regarding proper time and attendance procedures.	Department of Industrial Relations	Fully Implemented

Report Number 2016-137

Commission on Judicial Performance: Weaknesses in Its Oversight Have Created Opportunities for Judicial Misconduct to Persist (April 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. The Legislature should propose and submit to voters an amendment to the California Constitution to accomplish the following: <ul style="list-style-type: none"> Establish a bicameral structure for the Commission on Judicial Performance (CJP) that includes an investigative and a disciplinary body. The proposed amendment should also require that members of the public are the majority in both bodies and that there is an odd number of members in each body. Require that the disciplinary body directly hear all cases that go to formal proceedings and that CJP make rules to avoid prejudicial activity when it hears these cases. The amendment should also require that a majority of the commissioners who hear cases be members of the public and should establish that the State will compensate commissioners for their time preparing for and hearing cases. Direct CJP to make rules for the implementation of corrective actions. Establish that such actions are discipline that should be authorized by the disciplinary body and that CJP should monitor whether judges complete the corrective actions. 	Legislature	Legislation Proposed But Not Enacted
2. To make certain CJP has the resources necessary to implement our recommendations and to realize budget efficiencies, the Legislature should make a one-time appropriation to CJP of \$419,000 in the Budget Act of 2019. This appropriation should be specifically for CJP to hire a limited-term investigations manager and update its electronic case management system.	Legislature	Legislation Enacted
3. To better ensure that those who observe or experience judicial misconduct realize that they can report it to CJP, the Legislature should require that all courthouses publicly display information that CJP prepares and provides that clearly and concisely presents CJP's mission, its process for submitting a complaint, and the definition of judicial misconduct.	Legislature	Legislation Proposed But Not Enacted
4. To ensure that it adequately investigates alleged judicial misconduct, by April 2020 CJP should implement processes to ensure that for each of its investigations, CJP's management reviews and approves an investigation strategy that includes all steps necessary to substantiate whether misconduct occurred.	Commission on Judicial Performance	Fully Implemented
5. To ensure that it adequately investigates alleged judicial misconduct, by April 2020 CJP should create and fill a new investigations manager position and task that individual with reviewing and approving investigative strategies, as well as overseeing the execution of those strategies.	Commission on Judicial Performance	Fully Implemented
6. To ensure that it adequately investigates alleged judicial misconduct, by April 2020 CJP should expand the role of its legal advisor's office to include periodic reviews of the quality of closed investigations and, as warranted, to recommend changes to CJP's investigative practices.	Commission on Judicial Performance	Partially Implemented

<p>7. To ensure that it leverages all available information to uncover misconduct, CJP should establish procedures by April 2020 for more regularly exercising its oversight authority to open investigations into patterns of potential misconduct. At a minimum, these procedures should require that intake attorneys assess complaints to identify when patterns of complaints merit recommending an investigation.</p>	<p>Commission on Judicial Performance</p>	<p>Fully Implemented</p>
<p>8. To allow it to detect potential judicial misconduct associated with legal errors, CJP should immediately direct its staff to use more appropriate allegation codes when closing complaints at intake. By October 2019, CJP should determine what data it will need to begin tracking so it can trend information—voluntarily provided by complainants—that could indicate complaints about legal error should be investigated because there is a risk that legal error is the result of underlying misconduct, such as bias. By October 2019, CJP should also develop procedures that indicate how often it will evaluate its data for such trends and establish guidelines for when trends warrant CJP staff recommending that the commission open an investigation. CJP should begin tracking that information and implement these procedures as soon as possible.</p>	<p>Commission on Judicial Performance</p>	<p>Partially Implemented</p>
<p>9. To prevent the risk that it will fail to detect chronic judicial misconduct, CJP should create and implement procedures by October 2019 that require an investigator to review all prior complaints when investigating a judge and determine whether the prior complaints are similar to the current allegations. Further, the procedures should require that if a pattern of complaints indicates the potential for chronic misconduct, the investigator must recommend that the commission expand the investigation.</p>	<p>Commission on Judicial Performance</p>	<p>Fully Implemented</p>
<p>10. To improve its transparency and accessibility to the general public, by April 2020 CJP should implement a plan to regularly engage in outreach activities that target the general public.</p>	<p>Commission on Judicial Performance</p>	<p>Pending</p>
<p>11. To improve its transparency and accessibility to the general public, by April 2020 CJP should update its website to include better resources for complainants, including examples of high-quality complaints that illustrate what CJP looks for when evaluating a complaint to decide if it will open an investigation.</p>	<p>Commission on Judicial Performance</p>	<p>Fully Implemented</p>
<p>12. To ensure that it expeditiously improves the public's ability to submit complaints, CJP should begin accepting complaints online upon updating its electronic case management system.</p>	<p>Commission on Judicial Performance</p>	<p>Partially Implemented</p>
<p>13. To improve public transparency and offer opportunities for the public to provide testimony on its proposed rules and operations, CJP should hold at least one public meeting during its biennial rulemaking process. It should ensure that it properly notifies the public about the meeting and provides the public the opportunity to comment at the meeting.</p>	<p>Commission on Judicial Performance</p>	<p>Fully Implemented</p>
<p>14. To maximize the resources available for its core functions, CJP should immediately begin exploring options for relocating its office to a less expensive location and relocate as soon as possible.</p>	<p>Commission on Judicial Performance</p>	<p>Pending</p>
<p>15. To ensure that it obtains the resources necessary to fulfill its mission, CJP should report to the Legislature by May of each of the next three years about the following:</p> <ul style="list-style-type: none"> • Its progress in implementing our recommendations and any associated effects on its workload. • The steps it has taken to realize efficiencies in its operations. • Its evaluation of whether the investigations manager is a full-time position and any funding it will need in the future to support that position. • Its progress in purchasing and implementing a new electronic case management system. • Its progress in relocating its office space to a more affordable location. • Any savings or unforeseen costs arising from the changes we identify above. 	<p>Commission on Judicial Performance</p>	<p>Partially Implemented</p>

Report Number 2018-030

State Bar of California: It Should Balance Fee Increases With Other Actions to Raise Revenue and Decrease Costs (April 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure funding of State Bar of California's (State Bar) operating costs and those costs associated with adding 19 trial counsel staff and increasing retiree health benefits, the Legislature should set the 2020 licensing fee at \$379 for active licensees and \$88 for inactive licensees.	Legislature	Partially Implemented
2. To ensure funding for State Bar's IT projects, capital improvements, and general fund reserve, the Legislature should set a 2020 special assessment fee of \$41 for active licensees and \$11 for inactive licensees.	Legislature	Partially Implemented
3. To align the special assessment fee with State Bar's needs in the future, the Legislature should adopt the fee schedule that we present in Appendix C and as necessary, adjust the assessment related to the recommended IT projects and capital improvements each year from 2021 through 2024 to align that amount with State Bar's projected costs.	Legislature	Partially Implemented
4. To align the special assessment fee with State Bar's needs in the future, the Legislature should direct State Bar to determine the assessment amount necessary to rebuild its general fund reserve so that the reserve increases by 1 percent each year and reaches 17 percent by the end of 2024.	Legislature	No Action Taken
5. To enable State Bar to pay the security fund claims that it is likely to approve for payment in 2020, the Legislature should set the 2020 security fund fee at \$80 for active licensees and \$20 for inactive licensees. Should the Legislature decide that it wants to control how much it increases the security fund fee, it can consider State Bar's initiatives to reduce the security fund payout cap and give licensees the option to make voluntary contributions to the security fund.	Legislature	No Action Taken
6. To ensure that State Bar spends down the assistance program's excessive reserve, the Legislature should suspend the 2020 assistance program fee for both active and inactive licensees.	Legislature	Legislation Proposed But Not Enacted
7. To provide State Bar with consistent revenue and to enable it to improve its management practices, the Legislature should adopt a multiyear fee-approval cycle for the licensing, security fund, and assistance program fees. This change should take effect before the Legislature determines the licensing fee for 2021, and the cycle should include the following components: a multiyear budget, fee justifications, and related performance data submitted by State Bar; a fee cap for the multiyear period set by the Legislature; the authority for State Bar to adjust the fee each year up to the maximum amount.	Legislature	No Action Taken
8. To simplify the fee-setting process, the Legislature should amend state law to merge the \$25 discipline fee with the licensing fee in a single statute and repeal the statute authorizing the discipline fee. This change should take effect before the Legislature determines the licensing fee for 2021.	Legislature	No Action Taken
9. To enable it to effectively determine its budget, State Bar should continue to annually prepare five-year projections.	State Bar of California	Pending
10. To ensure that it maximizes the revenue from its San Francisco building, State Bar should lease all available space and ensure that its leases reflect market rates.	State Bar of California	Pending
11. To ensure that it maximizes the revenue from its San Francisco building, in the event of any future staff growth, State Bar should avoid adding space by reducing its space allocations when practical to more closely match industry standards.	State Bar of California	Partially Implemented
12. To further its ability to operate more efficiently and reduce the backlog of discipline cases, State Bar should develop benchmarks by December 2019 delineating the duration of each step in its investigations process.	State Bar of California	Fully Implemented
13. To further its ability to operate more efficiently and reduce the backlog of discipline cases, State Bar should ensure consistency by December 2019 in the policy and guidance documents its staff follow when performing investigations work.	State Bar of California	Fully Implemented

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14. To further its ability to operate more efficiently and reduce the backlog of discipline cases, State Bar should use its performance measures and collected data going forward to evaluate its case processing goals and work with the Legislature to revise the 180-day statutory goal if necessary.	State Bar of California	Pending
15. To better assess the security fund's revenue needs after 2020, State Bar should develop by August 2019 a methodology for estimating the payments that it is likely to make in a particular year. This methodology should consider the average length of time it will spend processing applications that are eligible for reimbursement and estimate the number of applications anticipated to become eligible for reimbursement during the course of that year.	State Bar of California	Fully Implemented

Report Number I2019-3

Investigations of Improper Activities by State Agencies and Employees: Wasteful and Improper Travel Payments, Improper Promotion and Hiring Practices, and Misuse of State Resources (May 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. Within 30 days, Caltrans should provide a detailed training memorandum to managers and supervisors informing them of who is authorized to approve employees' travel expense claims and airline, train, and rental car reservations.	Department of Transportation	Fully Implemented
2. Within 60 days, Caltrans should provide detailed and comprehensive instructions to managers and supervisors to ensure that they understand the definition of an employee's headquarters and the state law prohibition of paying expenses related to travel from one's residence to headquarters.	Department of Transportation	Fully Implemented
3. Within 60 days, Caltrans should document the findings of this investigation in the manager's official personnel file.	Department of Transportation	Fully Implemented
4. Within 60 days, Caltrans should consult with the State Controller's Office to determine whether the manager's reimbursements should have been reported as taxable fringe benefits and, if so, amend any relevant tax documents.	Department of Transportation	Resolved
5. Within 90 days, Caltrans should provide training to human resources staff to ensure that they follow proper procedures for changing an employee's headquarters and retaining the appropriate documentation.	Department of Transportation	Fully Implemented
6. Within 90 days, Caltrans should provide training to travel branch staff to ensure that they verify an employee's headquarters when reviewing expense claims and comply with state law when approving the claims.	Department of Transportation	Fully Implemented
7. Within 90 days, Caltrans should take appropriate corrective action against the former supervisor for approving the manager's travel to Sacramento without notifying the division chief.	Department of Transportation	Fully Implemented
8. Within 90 days, Caltrans should determine if any of the \$41,695 can be collected from the manager and, if so, attempt collection of the improper travel reimbursements.	Department of Transportation	Fully Implemented
18. CDCR should immediately end the practice of supervisors and managers within the program taking state vehicles home except when justified on specific occasions.	Department of Corrections and Rehabilitation	Fully Implemented
19. CDCR should immediately write and distribute a department-wide memo explaining the proper use of a state vehicle, describing what constitutes misuse, and clarifying that employees must have adequate justification for driving a state vehicle home on each occasion.	Department of Corrections and Rehabilitation	Fully Implemented
20. Within 30 days, CDCR should consider and begin legally permissible recovery efforts for the costs associated with the manager's misuse of a state vehicle for commuting purposes.	Department of Corrections and Rehabilitation	Resolved
21. Within 30 days, CDCR should review mileage logs for the supervisors and managers in the program, including the five others discussed in this report, to identify state vehicle misuse and initiate legally permissible cost-recovery efforts.	Department of Corrections and Rehabilitation	Resolved

22. CDCR should immediately end the practice of taking home a state vehicle for those employees who do not have an approved home storage permit on file and who store a vehicle at their home more than 72 nights over a 12-month period, or more than 36 nights over any three-month period.	Department of Corrections and Rehabilitation	Fully Implemented
23. Within 30 days, CDCR should write and distribute a department-wide memo explaining the purpose of home storage permits, describing what circumstances qualify for a home storage permit, and clarifying that an authorized official must fully approve a permit application before an employee is allowed to take a state vehicle home on a regular basis.	Department of Corrections and Rehabilitation	Fully Implemented
24. CDCR should provide training to the supervisor regarding the proper monitoring and management of subordinate staff.	Department of Corrections and Rehabilitation	Fully Implemented
25. CDCR should implement safeguards through which a supervisor would receive notifications when a subordinate employee bypasses established thresholds of access to credential-requiring Internet locations.	Department of Corrections and Rehabilitation	Fully Implemented

Report Number 2018-132

Bureau of Gambling Control and California Gambling Control Commission: Their Licensing Processes Are Inefficient and Foster Unequal Treatment of Applicants (May 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. Given that the DOJ Bureau of Gambling Control (gambling bureau) has not achieved the expected benefits from adding 32 additional positions, the Legislature should not approve any requests to make funding for these positions permanent. Instead, the Legislature should extend funding for an additional two years, during which time the gambling bureau should be able to clear its existing number of pending applications. At that point, the Legislature should reevaluate the gambling bureau's long-term staffing needs, taking into consideration the extent to which it has implemented the recommendations in this report.	Legislature	Legislation Enacted
2. To prevent delays and the unnecessary use of resources from requiring the California Gambling Control Commission (gambling commission) to hold evidentiary hearings in all cases in order to deny applicants, the Legislature should amend the Gambling Control Act (Gambling Act) to allow the gambling commission to take action at its regular licensing meetings rather than require it to hold evidentiary hearings.	Legislature	No Action Taken
3. To avoid unnecessary delays in its licensing process, the gambling bureau should, by November 2019, begin reviewing applications for completeness upon receiving them. If it determines that an application is incomplete, it should notify the applicant immediately.	California Department of Justice	Fully Implemented
4. To help it identify which portions of the background investigation process most contribute to lengthy delays, the gambling bureau should conduct an analysis of its investigation processes by November 2019 and should implement procedural changes to improve its timeliness in processing applications.	California Department of Justice	Fully Implemented
5. To ensure that it approaches its remaining backlog strategically and that it establishes accountability for its use of resources, the gambling bureau should develop and initiate a formal plan by November 2019 for completing the remaining backlogged applications. The plan should identify the license types the gambling bureau will target and the order in which it will target them, along with its rationale for the planned approach. The plan should also include clear goals that identify the numbers of applications it will complete and its time frames for doing so.	California Department of Justice	Fully Implemented
6. To ensure that its licensing process is transparent and consistent, the gambling bureau should implement formal procedures for prioritizing its completion of legal reviews of ownership applications. The procedures should specify any circumstances that justify reviewing applications out of the order in which the gambling bureau received them.	California Department of Justice	Fully Implemented
7. To minimize the degree to which its process to change its regulations may result in the disparate treatment of card room owners, the gambling bureau should temporarily approve or deny its backlogged games applications by July 2019.	California Department of Justice	Partially Implemented

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8. To ensure that it has comprehensive licensing information to determine its ongoing workload and staffing needs, the gambling commission should implement procedures for tracking the number of license applications it receives from the gambling bureau each fiscal year and the outcomes of those applications, such as approvals and denials.	California Gambling Control Commission	Fully Implemented
9. To prevent unnecessary delays and use of resources and to ensure its compliance with state law, the gambling commission should, following the Legislature's amendment of the Gambling Act that we recommend, revise its regulations and policies for conducting evidentiary hearings. These revisions should specify that the gambling commission may vote at regular meetings on a final basis to approve or deny licenses, registrations, permits, findings of suitability, or other matters and that it is not required to conduct evidentiary hearings unless applicants request that it do so.	California Gambling Control Commission	Not Currently Feasible
10. To ensure that all fees that generate revenue for the Gambling Control Fund (Gambling Fund) have clear, stated purposes limiting their use, the Legislature should require that when updating fee amounts, the gambling commission and the gambling bureau must also update their regulations to include clear statements about the need for and appropriate use of each fee type.	Legislature	Legislation Enacted
11. To ensure that it fairly charges applicants for the cost of its licensing activities, the gambling bureau should establish and implement policies by July 2019 requiring staff to properly and equitably report and bill time and restricting which activities staff may charge to nonbillable and noncase hours. It should also establish clear thresholds for the proportions of time staff may charge to the various categories and require the gambling bureau's management to review compliance with the pertinent restrictions.	California Department of Justice	Fully Implemented
12. To better align the revenue in the Gambling Fund with the costs of the activities that the fund supports, the gambling bureau and the gambling commission should conduct cost analyses of those activities by July 2020. At a minimum, these cost analyses should include the following: <ul style="list-style-type: none"> • The entities' personnel costs, operating costs, and any program overhead costs. • Updated time estimates for their core and support activities, such as background investigations. • The cost of their enforcement activities. Using this information, the gambling bureau and gambling commission should reset their regulatory fees to reflect their actual costs. Before conducting its fee study, the gambling bureau should implement our recommendations to improve its processes for assigning applications, ensuring the completeness of applications, and developing time-reporting protocols.	California Department of Justice	Pending
13. To better align the revenue in the Gambling Fund with the costs of the activities that the fund supports, the gambling bureau and the gambling commission should conduct cost analyses of those activities by July 2020. At a minimum, these cost analyses should include the following: <ul style="list-style-type: none"> • The entities' personnel costs, operating costs, and any program overhead costs. • Updated time estimates for their core and support activities, such as background investigations. • The cost of their enforcement activities. • Using this information, the gambling bureau and gambling commission should reset their regulatory fees to reflect their actual costs. Before conducting its fee study, the gambling bureau should implement our recommendations to improve its processes for assigning applications, ensuring the completeness of applications, and developing time-reporting protocols. 	California Gambling Control Commission	Partially Implemented
14. To ensure that its level of review is commensurate to license type, the gambling bureau should review and revise each of its background investigation procedures as needed by November 2019.	California Department of Justice	Fully Implemented
15. To ensure that it treats applicants consistently, the gambling bureau should begin conducting periodic reviews by November 2019 to determine whether staff are following procedures when conducting background investigations for applicants for all license types.	California Department of Justice	Fully Implemented

16. To ensure that it has the ability to justify the results of its background investigations, the gambling bureau should develop a formal record retention policy for application documentation by November 2019. This policy should include rationales for retaining types of documents and should establish a process for ensuring staff compliance.	California Department of Justice	Fully Implemented
17. To increase uniformity in the licensing process, the gambling commission should revise its current regulations and submit them to the Office of Administrative Law for public review by May 2020 to address the following areas of inconsistency: <ul style="list-style-type: none"> • Application processes and time frames. • The ability to work during the application process. • The ability to reapply after denial. • In revising its regulations, the gambling commission should increase consistency across application types while minimizing risk to the public. 	California Gambling Control Commission	Fully Implemented
18. To ensure that it does not hold hearings that may cause applicants unnecessary harm, the gambling commission should, following the Legislature's amendment to state law that we previously recommend, establish and implement formal protocols for informing applicants how to withdraw their requests for hearings and for guiding gambling commission staff when discontinuing the hearing process at the request of applicants.	California Gambling Control Commission	Fully Implemented
19. To ensure that it compensates the Special Distribution Fund for the card room-related enforcement activities for which that fund has paid, the gambling bureau should reconcile the hours due to the Special Distribution Fund for at least the last three fiscal years by November 2019. Moving forward, the gambling bureau should ensure that it provides prompt reimbursement when employees in positions that are funded by one source perform activities that should have been funded by another source.	California Department of Justice	Fully Implemented
20. To ensure that its employees allocate their activities to the correct funding sources, the gambling bureau should by July 2019 formalize policies and procedures that provide clear guidelines to employees when reporting time spent on activities that relate to funding sources other than the funding sources for their positions.	California Department of Justice	Fully Implemented
21. To ensure that it can provide useful and accurate data on the locations where enforcement employees spend their time, the gambling bureau should equip its time-reporting system by November 2019 with the capacity to track all hours employees spend at each card room and casino.	California Department of Justice	Pending

Report Number 2018-133

Fallen Leaf Lake Community Services District: Its Billing Practices and Small Electorate Jeopardize Its Ability to Provide Services (July 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
3. To better ensure that it reimburses local fire agencies appropriate amounts for responding to incidents, including the provision of strike teams for fighting wildfires, the California Office of Emergency Services (Cal OES) should complete implementation of its plan to audit a sample of salary forms and invoices that local fire agencies submit under the fire agreement. It should, by September 15, 2019, complete its negotiations to have the State Controller's Office perform these audits.	California Office of Emergency Services	Fully Implemented
4. To further ensure that local fire agencies receive proper reimbursement for responding to incidents, Cal OES should recommend to the Agreement Committee that it include the following steps in the new fire agreement, anticipated to be effective starting in 2020: <ul style="list-style-type: none"> • Require local fire agencies to submit documents showing approval by their governing bodies of the average actual salary rates included on the salary form that the local fire agencies submit to Cal OES. • Require local fire agencies to submit documentation to support their average actual salary rates. • Revise the salary form and reimbursement invoice form so that authorized representatives of local fire agencies sign them under penalty of perjury. 	California Office of Emergency Services	Resolved

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<p>5. To ensure that local fire agencies receive proper reimbursement for responding to incidents for the remainder of the current fire agreement, Cal OES should recommend that as part of the negotiations process, the Agreement Committee implement the following for the remainder of the current agreement:</p> <ul style="list-style-type: none"> • Require local fire agencies to submit documents showing approval by their governing bodies of the average actual salary rates included on the salary form that the local fire agencies submit to Cal OES. • Require local fire agencies to submit documentation to support their average actual salary rates. • Revise the salary form and reimbursement invoice form so that authorized representatives of local fire agencies sign them under penalty of perjury. 	California Office of Emergency Services	Resolved
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Report Number 2019-102

Department of Industrial Relations: Its Failure to Adequately Administer the Qualified Medical Evaluator Process May Delay Injured Workers' Access to Benefits (November 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that the DIR Division of Workers Compensation (DWC) maintains a sufficient supply of qualified medical evaluators (QMEs) and appropriately compensates these individuals, the Legislature should amend state law to specify that DWC review and, if necessary, update the medical-legal fee schedule at least every two years based on inflation. DWC's review of the medical-legal fee schedule should be separate from its review of the Official Medical Fee Schedule.</p>	Legislature	Legislation Proposed But Not Enacted
<p>2. To reduce the delays that replacement panels cause in resolving workers' compensation claims, the Legislature should revise state law to increase the number of QMEs on the panels DWC provides. Specifically, unrepresented employees should continue to choose from a panel of three QMEs, and represented employees should be provided with a panel of five QMEs, of whom the employee and the employer can each strike one, leaving both parties with the same number of QMEs to choose from as unrepresented employees. The party—the worker or the employer—that did not request the panel would select the final QME. If the selected QME is unavailable, the parties would then select from among the two remaining QMEs until they find one that is available.</p>	Legislature	No Action Taken
<p>3. To ensure that DWC appoints enough QMEs to keep up with the demand for QME services, it should, by April 2020, develop and implement a plan to increase the number of QMEs commensurate with demand. The plan should describe how DWC will actively recruit for and increase the pool of QMEs, prioritizing specialties with the greatest shortages relative to demand. It should also use QME data trends to project the necessary QME supply to meet demand. The plan should include continuing negotiation with medical groups to allow their physicians to become QMEs, as well as establishing goals for recruiting new QMEs in specific specialties.</p>	Department of Industrial Relations	Fully Implemented
<p>4. To ensure consistency and transparency in overseeing QMEs, DWC should, by April 2020, develop and implement written policies and procedures that define and specify its internal processes for disciplining QMEs, including timelines for taking disciplinary action and for scheduling hearings or responding to settlement proposals.</p>	Department of Industrial Relations	Partially Implemented
<p>5. To ensure consistency and transparency in overseeing QMEs, DWC should, by April 2020, develop and implement written policies and procedures that define its internal process for reappointing QMEs and how that process should proceed if any disciplinary investigations are pending.</p>	Department of Industrial Relations	Partially Implemented
<p>6. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create and implement a plan to continuously review the quality and timeliness of QME reports, including time frames for review, methodology for selecting reports to review, and the minimum number of reports to be reviewed annually.</p>	Department of Industrial Relations	Fully Implemented

<p>7. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, develop and implement a process for annually reporting to DWC's administrative director its findings on the quality and timeliness of QME reports and recommended improvements to the QME system.</p>	<p>Department of Industrial Relations</p>	<p>Fully Implemented</p>
<p>8. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create written policies and implement a consistent process for ensuring that workers' compensation judges and the Appeals Board inform DWC of QME reports they rejected for not meeting minimum standards.</p>	<p>Department of Industrial Relations</p>	<p>Fully Implemented</p>
<p>9. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create written policies and implement a process for tracking QME reports rejected by workers' compensation judges and the Appeals Board for not meeting minimum standards. DWC should consider and include these reports in its annual review of report quality and recommend improvements to the QME system.</p>	<p>Department of Industrial Relations</p>	<p>Fully Implemented</p>

Report Number 2019-103

California Is Not Adequately Prepared to Protect Its Most Vulnerable Residents From Natural Disasters (December 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that local jurisdictions develop emergency plans that include adequate measures to protect and assist all people in their communities, including those with access and functional needs, the Legislature should require Cal OES to do the following:</p> <ul style="list-style-type: none"> • Review each county's emergency plans to determine whether the plans are consistent with Federal Emergency Management Agency (FEMA) best practices, including those practices that relate to adequately addressing access and functional needs. The Legislature should require Cal OES to review 10 county plans each year, prioritizing counties that we included as part of this audit and that are at high risk for natural disasters. • Report the results of its plan reviews to the Legislature and on its website at least once every year. <p>Provide technical assistance to counties in developing and revising their emergency plans to address the issues that Cal OES identifies in its review.</p> <ul style="list-style-type: none"> • Include representatives of people with a variety of access and functional needs in its review of county emergency plans. 	<p>Legislature</p>	<p>Partially Implemented</p>
<p>11. To ensure that, as the leader of emergency response efforts in California, Cal OES meets its responsibility to provide local jurisdictions with critical support in planning to meet access and functional needs of the population during natural disasters, the Legislature should require Cal OES to do the following:</p> <ul style="list-style-type: none"> • Involve representatives of individuals with the full range of access and functional needs in the development of the state plan, the state emergency management system, and the guidance and training it provides to local jurisdictions. • Assess local jurisdictions' emergency response and recovery efforts during natural disasters, review their after-action reports to identify lessons learned, and annually disseminate guidance summarizing those lessons. 	<p>Legislature</p>	<p>Partially Implemented</p>
<p>12. To ensure that it fulfills its responsibilities under state law, Cal OES should, by no later than June 2020, issue the guidance that state law requires it to produce related to access and functional needs, including guidance related to establishing disaster registries and guidance on evacuating people with access and functional needs.</p>	<p>California Office of Emergency Services</p>	<p>*</p>

<p>13. To ensure that it adequately equips local jurisdictions to send alert and warning messages in languages that their residents will easily understand, Cal OES should do the following:</p> <ul style="list-style-type: none"> • Provide clear direction to individuals who speak English so that they know which of the translated messages they should use in what specific circumstances. • Revise the messages it has provided so that local jurisdictions can more easily adapt them for use in a variety of disaster situations. • Expand its style guide to include terminology that emergency managers are likely to need to effectively modify their local messages and also to include translations for the other commonly spoken languages in the State. 	California Office of Emergency Services	*
<p>14. To improve local jurisdictions' ability to quickly retrieve guidance and resources related to planning to meet access and functional needs during natural disasters, Cal OES should make its emergency planning guidance and resources easily available through restructuring and improving its access and functional needs library webpage by April 2020.</p>	California Office of Emergency Services	*

Report Number 2019-302

Judicial Council of California (December 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that it complies with state law, maintains appropriate transparency, and provides the Legislature with all legally required information regarding its contracting and procurements, the Judicial Council of California (Judicial Council) should by February 2020 develop and implement a method to include all of the non-Superior Court entities' information required by the judicial contract law when submitting semiannual reports. For instance, if the publicly available FI\$Cal website does not provide all the required information, the Judicial Council should implement an alternate reporting mechanism, such as providing summary information from FI\$Cal data not available to the public.</p>	Judicial Council of California	Partially Implemented
<p>2. To ensure that it complies with state law, maintains appropriate transparency, and provides the Legislature with all legally required information regarding its contracting and procurements, the Judicial Council should by February 2020 establish a procedure that requires procurement staff to consistently include all necessary information in FI\$Cal when processing contract amendments.</p>	Judicial Council of California	Pending
<p>3. To ensure that it complies with state law, maintains appropriate transparency, and provides the Legislature with all legally required information regarding its contracting and procurements, the Judicial Council should by February 2020 develop and implement a method to ensure that it includes in its reports all required contract amendment information related to the Superior Courts.</p>	Judicial Council of California	Fully Implemented
<p>4. To better limit the risk of inappropriate procurements and to ensure it procures goods and services at the best value, the Judicial Council should immediately revise its procurement process to include a final verification step to confirm that managers with appropriate signature authority approve its procurements.</p>	Judicial Council of California	Fully Implemented

Report Number 2019-118

Automated License Plate Readers: To Better Protect Individuals' Privacy, Law Enforcement Must Increase Its Safeguards for the Data It Collects (February 2020)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that its automated license plate reader (ALPR) policy contains all of the required elements as specified in state law, by August 2020, Fresno Police Department (Fresno) should review its policy and draft or revise it as necessary. Also by August 2020, Fresno should post its revised policy on its website in accordance with state law.</p>	Fresno Police Department	Partially Implemented

<p>2. To protect ALPR data to the appropriate standard, by August 2020 Fresno should identify the types of data in its ALPR system and, as Fresno reviews or drafts its ALPR policy, ensure that it clarifies the types of information its officers may upload into its ALPR system, such as, but not limited to, information obtained through the California Law Enforcement Telecommunications System (CLETS).</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>3. To protect ALPR data to the appropriate standard, by August 2020 Fresno should perform an assessment of its ALPR system data-security features, and make adjustments to its system configuration where necessary to comply with Criminal Justice Information Services Division (CJIS) policy best practices based on that assessment.</p>	<p>Fresno Police Department</p>	<p>Pending</p>
<p>4. To ensure that the agreement with its cloud vendor offers the strongest possible data protections, by August 2020, Fresno should enter into a new contract with Vigilant that contains the contract provisions recommended in CJIS policy.</p>	<p>Fresno Police Department</p>	<p>Pending</p>
<p>5. To ensure that ALPR images are being shared appropriately, by April 2020 Fresno should review the entities with which it currently shares images, determine the appropriateness of this sharing, and take all necessary steps to suspend those sharing relationships deemed inappropriate or unnecessary.</p>	<p>Fresno Police Department</p>	<p>Pending</p>
<p>6. To ensure that ALPR images are being shared appropriately, by August 2020 Fresno should revise its written procedures for ALPR image-sharing, as necessary, to ensure that it follows those procedures.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>7. To minimize the privacy risk of retaining ALPR images for a long period of time, by August 2020 Fresno should review the age of the ALPR images its personnel are searching for and ensure that its retention period for ALPR images is based on agency needs. Fresno should reflect in its ALPR policy the updated retention period and state in its policy that it will reevaluate its retention period at least every two years.</p>	<p>Fresno Police Department</p>	<p>Fully Implemented</p>
<p>8. To minimize the privacy risk of retaining ALPR images for a long period of time, Fresno should include in its ALPR policy a retention period for data or lists, such as hot lists, used to link persons of interest with license plate images, and create necessary processes to ensure that those data unrelated to ongoing investigations are periodically removed from its ALPR system.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>9. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by April 2020 Fresno should review all user accounts and deactivate accounts for separated employees, inactive users, and others as necessary.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>10. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, Fresno should ensure that its ALPR policy specifies the staff classifications, ranks, or other designations that may hold ALPR system user accounts and that accounts are granted based on need to know and right to know.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>11. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by August 2020 Fresno should develop and implement procedures for granting and managing user accounts that include, but are not limited to, requiring that supervisors must approve accounts for users, providing training to users before granting accounts, suspending users after defined periods of inactivity, and requiring regular refresher training for active users and training for users before reactivating previously inactive accounts. Fresno should also ensure that it has procedures in place to deactivate an account immediately for an account holder who separates from the agency or who no longer needs a user account.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>
<p>12. To enable auditing of user access to and user queries of ALPR images, by April 2020 Fresno should assess the information its ALPR system captures when users access it to ensure that the system's logs are complete and accurate and that the logs form a reasonable basis for conducting necessary, periodic audits.</p>	<p>Fresno Police Department</p>	<p>Fully Implemented</p>
<p>13. To enable auditing of user access to and user queries of ALPR images, Fresno should ensure that its ALPR policy makes clear how frequently Fresno will audit its ALPR system, who will perform that audit, who will review and approve the audit results, and how long Fresno will retain the audit documents. Fresno should have in place by February 2021 an audit plan that describes its audit methodology, including, but not limited to, risk areas that will be audited, sampling, documentation, and resolution of findings.</p>	<p>Fresno Police Department</p>	<p>Partially Implemented</p>

14. To enable auditing of user access to and user queries of ALPR images, by June 2021 Fresno should implement its audit plan and complete its first audit.	Fresno Police Department	Partially Implemented
15. To ensure that its ALPR policy contains all of the required elements as specified in state law, by August 2020, Los Angeles Police Department (Los Angeles) should review its policy and draft or revise it as necessary. Also by August 2020, Los Angeles should post its revised policy on its website in accordance with state law.	Los Angeles Police Department	Pending
16. To protect ALPR data to the appropriate standard, by August 2020, Los Angeles should identify the types of data in its ALPR system and, as Los Angeles reviews or drafts its ALPR policy, ensure that it clarifies the types of information its officers may upload into its ALPR system, such as, but not limited to, information obtained through CLETS.	Los Angeles Police Department	Pending
17. To protect ALPR data to the appropriate standard, by August 2020, Los Angeles should perform an assessment of its ALPR system data-security features, and make adjustments to its system configuration where necessary to comply with CJIS policy best practices based on that assessment.	Los Angeles Police Department	Pending
18. To ensure that ALPR images are being shared appropriately, as Los Angeles develops its ALPR policy, it should be certain to list the entities with which it will share ALPR images and the process for handling image-sharing requests.	Los Angeles Police Department	Pending
19. To minimize the privacy risk of retaining ALPR images for a long period of time, by August 2020, Los Angeles should review the age of the ALPR images its personnel are searching for and ensure that its retention period for ALPR images is based on agency needs. Los Angeles should reflect in its ALPR policy the updated retention period and state in its policy that it will reevaluate its retention period at least every two years.	Los Angeles Police Department	Pending
20. To minimize the privacy risk of retaining ALPR images for a long period of time, Los Angeles should include in its ALPR policy a retention period for data or lists, such as hot lists, used to link persons of interest with license plate images, and create necessary processes to ensure that those data unrelated to ongoing investigations are periodically removed from its ALPR system.	Los Angeles Police Department	Pending
21. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by April 2020, Los Angeles should review all user accounts and deactivate accounts for separated employees, inactive users, and others as necessary.	Los Angeles Police Department	Pending
22. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, Los Angeles should ensure that its ALPR policy specifies the staff classifications, ranks, or other designations that may hold ALPR system user accounts and that accounts are granted based on need to know and right to know.	Los Angeles Police Department	Pending
23. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by August 2020, Los Angeles should develop and implement procedures for granting and managing user accounts that include, but are not limited to, requiring that supervisors must approve accounts for users, providing training to users before granting accounts, suspending users after defined periods of inactivity, and requiring regular refresher training for active users and training for users before reactivating previously inactive accounts. Los Angeles should also ensure that it has procedures in place to deactivate an account immediately for an account holder who separates from the agency or who no longer needs a user account.	Los Angeles Police Department	Pending
24. To enable auditing of user access to and user queries of ALPR images, by April 2020, Los Angeles should assess the information its ALPR system captures when users access it to ensure that the system's logs are complete and accurate and that the logs form a reasonable basis for conducting necessary, periodic audits.	Los Angeles Police Department	Pending
25. To enable auditing of user access to and user queries of ALPR images, Los Angeles should ensure that its ALPR policy makes clear how frequently Los Angeles will audit its ALPR system, who will perform that audit, who will review and approve the audit results, and how long Los Angeles will retain the audit documents. Los Angeles should have in place by February 2021 an audit plan that describes its audit methodology, including, but not limited to, risk areas that will be audited, sampling, documentation, and resolution of findings.	Los Angeles Police Department	Pending
26. To enable auditing of user access to and user queries of ALPR images, by June 2021, Los Angeles should implement its audit plan and complete its first audit.	Los Angeles Police Department	Pending

<p>27. To ensure that its ALPR policy contains all of the required elements as specified in state law, by August 2020, Marin County Sheriff's Department (Marin) should review its policy and draft or revise it as necessary. Also by August 2020, Marin should post its revised policy on its website in accordance with state law.</p>	<p>Marin County Sheriff's Department</p>	<p>Pending</p>
<p>28. To protect ALPR data to the appropriate standard, by August 2020, Marin should identify the types of data in its ALPR system and, as Marin reviews or drafts its ALPR policy, ensure that it clarifies the types of information its officers may upload into its ALPR system, such as, but not limited to, information obtained through CLETS.</p>	<p>Marin County Sheriff's Department</p>	<p>Pending</p>
<p>29. To protect ALPR data to the appropriate standard, by August 2020, Marin should perform an assessment of its ALPR system data-security features, and make adjustments to its system configuration where necessary to comply with CJIS policy best practices based on that assessment.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>
<p>30. To ensure that the agreement with its cloud vendor offers the strongest possible data protections, by August 2020, Marin should enter into a new contract with Vigilant that contains the contract provisions recommended in CJIS policy.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>
<p>31. To ensure that ALPR images are being shared appropriately, by April 2020, Marin should review the entities with which it currently shares images, determine the appropriateness of this sharing, and take all necessary steps to suspend those sharing relationships deemed inappropriate or unnecessary.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>
<p>32. To ensure that ALPR images are being shared appropriately, by August 2020, Marin should develop a process for handling ALPR image-sharing requests that includes maintaining records separate from the Vigilant system of when and with whom it shares images. The process should verify a requesting agency's law enforcement purpose for obtaining the images and consider the requesting agency's need for the images. The process should be documented in Marin's ALPR policy and/or procedures.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>
<p>33. To minimize the privacy risk of retaining ALPR images for a long period of time, by August 2020, Marin should review the age of the ALPR images its personnel are searching for and ensure that its retention period for ALPR images is based on agency needs. Marin should reflect in its ALPR policy the updated retention period and state in its policy that it will reevaluate its retention period at least every two years.</p>	<p>Marin County Sheriff's Department</p>	<p>Pending</p>
<p>34. To minimize the privacy risk of retaining ALPR images for a long period of time, Marin should include in its ALPR policy a retention period for data or lists, such as hot lists, used to link persons of interest with license plate images, and create necessary processes to ensure that those data unrelated to ongoing investigations are periodically removed from its ALPR system.</p>	<p>Marin County Sheriff's Department</p>	<p>Pending</p>
<p>35. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, Marin should, by April 2020, review all user accounts and deactivate accounts for separated employees, inactive users, and others as necessary.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>
<p>36. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, Marin should ensure that its ALPR policy specifies the staff classifications, ranks, or other designations that may hold ALPR system user accounts and that accounts are granted based on need to know and right to know.</p>	<p>Marin County Sheriff's Department</p>	<p>Pending</p>
<p>37. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by August 2020, Marin should develop and implement procedures for granting and managing user accounts that include, but are not limited to, requiring that supervisors must approve accounts for users, providing training to users before granting accounts, suspending users after defined periods of inactivity, and requiring regular refresher training for active users and training for users before reactivating previously inactive accounts. Marin should also ensure that it has procedures in place to deactivate an account immediately for an account holder who separates from the agency or who no longer needs a user account.</p>	<p>Marin County Sheriff's Department</p>	<p>*</p>
<p>38. To enable auditing of user access to and user queries of ALPR images, by April 2020, Marin should assess the information its ALPR system captures when users access it to ensure that the system's logs are complete and accurate and that the logs form a reasonable basis for conducting necessary, periodic audits.</p>	<p>Marin County Sheriff's Department</p>	<p>Fully Implemented</p>

39. To enable auditing of user access to and user queries of ALPR images, Marin should ensure that its ALPR policy makes clear how frequently Marin will audit its ALPR system, who will perform that audit, who will review and approve the audit results, and how long Marin will retain the audit documents. Marin should have in place by February 2021 an audit plan that describes its audit methodology, including, but not limited to, risk areas that will be audited, sampling, documentation, and resolution of findings.	Marin County Sheriff's Department	Partially Implemented
40. To enable auditing of user access to and user queries of ALPR images, by June 2021, Marin should implement its audit plan and complete its first audit.	Marin County Sheriff's Department	*
41. To ensure that its ALPR policy contains all of the required elements as specified in state law, by August 2020, Sacramento County Sheriff's Department (Sacramento) should review its policy and draft or revise it as necessary. Also by August 2020, Sacramento should post its revised policy on its website in accordance with state law.	Sacramento County Sheriff's Department	*
42. To protect ALPR data to the appropriate standard, by August 2020, Sacramento should identify the types of data in its ALPR system and, as Sacramento reviews or drafts its ALPR policy, ensure that it clarifies the types of information its officers may upload into its ALPR system, such as, but not limited to, information obtained through CLETS.	Sacramento County Sheriff's Department	*
43. To protect ALPR data to the appropriate standard, by August 2020, Sacramento should perform an assessment of its ALPR system data-security features, and make adjustments to its system configuration where necessary to comply with CJIS policy best practices based on that assessment.	Sacramento County Sheriff's Department	*
44. To ensure that the agreement with its cloud vendor offers the strongest possible data protections, by August 2020, Sacramento should enter into a new contract with Vigilant that contains the contract provisions recommended in CJIS policy.	Sacramento County Sheriff's Department	*
45. To ensure that ALPR images are being shared appropriately, by April 2020, Sacramento should review the entities with which it currently shares images, determine the appropriateness of this sharing, and take all necessary steps to suspend those sharing relationships deemed inappropriate or unnecessary.	Sacramento County Sheriff's Department	*
46. To ensure that ALPR images are being shared appropriately, by August 2020, Sacramento should develop a process for handling ALPR image-sharing requests that includes maintaining records separate from the Vigilant system of when and with whom it shares images. The process should verify a requesting agency's law enforcement purpose for obtaining the images and consider the requesting agency's need for the images. The process should be documented in Sacramento's ALPR policy and/or procedures.	Sacramento County Sheriff's Department	*
47. To minimize the privacy risk of retaining ALPR images for a long period of time, by August 2020, Sacramento should review the age of the ALPR images its personnel are searching for and ensure that its retention period for ALPR images is based on agency needs. Sacramento should reflect in its ALPR policy the updated retention period and state in its policy that it will reevaluate its retention period at least every two years.	Sacramento County Sheriff's Department	*
48. To minimize the privacy risk of retaining ALPR images for a long period of time, Sacramento should include in its ALPR policy a retention period for data or lists, such as hot lists, used to link persons of interest with license plate images, and create necessary processes to ensure that those data unrelated to ongoing investigations are periodically removed from its ALPR system.	Sacramento County Sheriff's Department	*
49. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by April 2020, Sacramento should review all user accounts and deactivate accounts for separated employees, inactive users, and others as necessary.	Sacramento County Sheriff's Department	*
50. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, Sacramento should ensure that its ALPR policy specifies the staff classifications, ranks, or other designations that may hold ALPR system user accounts and that accounts are granted based on need to know and right to know.	Sacramento County Sheriff's Department	*

<p>51. To ensure that ALPR system access is limited to agency staff who have a need and a right to use ALPR data, by August 2020, Sacramento should develop and implement procedures for granting and managing user accounts that include, but are not limited to, requiring that supervisors must approve accounts for users, providing training to users before granting accounts, suspending users after defined periods of inactivity, and requiring regular refresher training for active users and training for users before reactivating previously inactive accounts. Sacramento should also ensure that it has procedures in place to deactivate an account immediately for an account holder who separates from the agency or who no longer needs a user account.</p>	<p>Sacramento County Sheriff's Department</p>	<p>*</p>
<p>52. To enable auditing of user access to and user queries of ALPR images, by April 2020, Sacramento should assess the information its ALPR system captures when users access it to ensure that the system's logs are complete and accurate and that the logs form a reasonable basis for conducting necessary, periodic audits.</p>	<p>Sacramento County Sheriff's Department</p>	<p>*</p>
<p>53. To enable auditing of user access to and user queries of ALPR images, Sacramento should ensure that its ALPR policy makes clear how frequently Sacramento will audit its ALPR system, who will perform that audit, who will review and approve the audit results, and how long Sacramento will retain the audit documents. Sacramento should have in place by February 2021 an audit plan that describes its audit methodology, including, but not limited to, risk areas that will be audited, sampling, documentation, and resolution of findings.</p>	<p>Sacramento County Sheriff's Department</p>	<p>*</p>
<p>54. To enable auditing of user access to and user queries of ALPR images, by June 2021, Sacramento should implement its audit plan and complete its first audit.</p>	<p>Sacramento County Sheriff's Department</p>	<p>*</p>
<p>55. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to require DOJ to draft and make available on its website a policy template that local law enforcement agencies can use as a model for their ALPR policies.</p>	<p>Legislature</p>	<p>Legislation Introduced</p>
<p>56. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to require DOJ to develop and issue guidance to help local law enforcement agencies identify and evaluate the types of data they are currently storing in their ALPR systems. The guidance should include the necessary security requirements agencies should follow to protect the data in their ALPR systems.</p>	<p>Legislature</p>	<p>Legislation Introduced</p>
<p>57. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to establish a maximum data retention period for ALPR images. The Legislature should also establish a maximum data retention period for data or lists, such as hot lists, that are used to link persons of interest with license plate images.</p>	<p>Legislature</p>	<p>Legislation Introduced</p>
<p>58. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to require periodic evaluation of a retention period for ALPR images to ensure that the period is as short as practicable.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>59. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to specify how frequently ALPR system use must be audited and that the audits must include assessing user searches.</p>	<p>Legislature</p>	<p>Legislation Proposed But Not Enacted</p>
<p>60. To better protect individual's privacy and to help ensure that local law enforcement agencies structure their ALPR programs in a manner that supports accountability for proper database use, the Legislature should amend state law to specify that those with access to ALPR systems must receive data privacy and data security training. The Legislature should require law enforcement agencies to include training on the appropriateness of including certain data in an ALPR system, such as data from CLETS.</p>	<p>Legislature</p>	<p>No Action Taken</p>

Report Number I2020-1**Investigation of Improper Activities by State Agencies and Employees: Waste of State Funds, Misuse of Bereavement Leave, Misuse of State Resources, Dishonesty, and Supervisory Neglect of Duty (April 2020)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
12. Caltrans should recoup or correct all overpayments made to the employees we determined to have taken inappropriate bereavement leave.	Department of Transportation	Fully Implemented
13. EDD should recoup or correct all overpayments made to the employee we determined to have taken inappropriate bereavement leave.	Employment Development Department	Fully Implemented
17. Caltrans should notify all employees of bereavement leave requirements and where they can find additional information specific to bereavement leave.	Department of Transportation	Fully Implemented
18. EDD should notify all employees of bereavement leave requirements and where they can find additional information specific to bereavement leave.	Employment Development Department	Fully Implemented
22. Caltrans should remind supervisors of their responsibilities to ensure that employees charge leave properly, including bereavement leave, and to not allow employees to exceed the allowable limits that the bargaining agreements and state law provide.	Department of Transportation	Fully Implemented
23. EDD should remind supervisors of their responsibilities to ensure that employees charge leave properly, including bereavement leave, and to not allow employees to exceed the allowable limits that the bargaining agreements and state law provide.	Employment Development Department	Fully Implemented
27. To address inconsistent bereavement leave policies, EDD should revise its policy to mirror the requirements of Government Code section 19859.3, which requires unrepresented employees to submit substantiation for each leave request.	Employment Development Department	Fully Implemented
34. Caltrans should take appropriate corrective actions against the two employees for failing to obtain storage permits and for misusing their state vehicles to commute between their homes and headquarters.	Department of Transportation	Fully Implemented
35. Caltrans should require these employees to obtain storage permits	Department of Transportation	Fully Implemented
36. Caltrans should determine whether other maintenance employees who work in the same region have been allowed to park at or in the vicinity of their homes without storage permits. If so, require all applicable employees to obtain these permits.	Department of Transportation	Fully Implemented
47. CalPIA should establish new procedures or enforce the rules whereby supervisors are responsible for ensuring the accuracy of subordinates' timesheets.	Prison Industry Authority	Fully Implemented
48. CalPIA should take appropriate corrective or disciplinary actions against the supervisors who failed to ensure that the timesheets they approved were complete and accurate.	Prison Industry Authority	Fully Implemented
49. CalPIA should take appropriate corrective or disciplinary actions against the employee for dishonesty when providing conflicting accounts of his attendance during the investigation.	Prison Industry Authority	Fully Implemented
50. CalPIA should reconcile the employee's attendance records to determine whether he owes the State any time for failing to report his actual work hours or whether the State owes him for unreported overtime during the period reviewed.	Prison Industry Authority	Fully Implemented

Report Number 2019-116**Juvenile Justice Crime Prevention Act: Weak Oversight Has Hindered Its Meaningful Implementation (May 2020)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that counties adequately identify how they serve at-risk youth, the Legislature should require counties to define at-risk youth—including identifying specific risk factors—in their comprehensive plans.	Legislature	No Action Taken

2. To ensure that counties comply with juvenile justice planning requirements to serve both juvenile offenders and at-risk youth, the Legislature should require Community Corrections to review counties' annual comprehensive plans to ensure that they include an adequate county-specific definition of at-risk youth.	Legislature	No Action Taken
3. The Legislature should direct Community Corrections to monitor counties' year-end reports to ensure that they include meaningful descriptions or analyses of how their programs funded by the Juvenile Justice Crime Prevention Act (JJCPA) may have contributed to or influenced countywide juvenile justice trends, as required by state law.	Legislature	No Action Taken
4. To ensure that its Juvenile Justice Coordinating Council (Coordinating Council) meets statutory requirements and is transparent to stakeholders, Mendocino County Probation Department (Mendocino) should reinstate its Coordinating Council and develop and implement bylaws for its Coordinating Council.	Mendocino County Probation Department	Fully Implemented
5. To ensure that its Coordinating Council meets statutory requirements and is transparent to stakeholders, San Joaquin County Probation Department (San Joaquin) should develop and implement bylaws for its Coordinating Council.	San Joaquin County Probation Department	Fully Implemented
6. To determine the effectiveness of its use of JJCPA funds, Kern County Probation Department (Kern) should include in its year-end reports to Community Corrections descriptions or analyses of how its JJCPA-funded programs influenced its juvenile justice trends, as required by law.	Kern County Probation Department	Pending
7. To determine the effectiveness of its use of JJCPA funds, Los Angeles County Probation Department (Los Angeles) should include in its year-end reports to Community Corrections descriptions or analyses of how its JJCPA-funded programs influenced its juvenile justice trends, as required by law.	Los Angeles County Probation Department	Fully Implemented
8. To determine the effectiveness of its use of JJCPA funds, Mendocino should include in its year-end reports to Community Corrections descriptions or analyses of how its JJCPA-funded programs influenced its juvenile justice trends, as required by law.	Mendocino County Probation Department	Fully Implemented
9. To determine the effectiveness of its use of JJCPA funds, San Joaquin should include in its year-end reports to Community Corrections descriptions or analyses of how its JJCPA-funded programs influenced its juvenile justice trends, as required by law.	San Joaquin County Probation Department	Pending
10. To determine the effectiveness of its use of JJCPA funds, Santa Barbara County Probation Department (Santa Barbara) should include in its year-end reports to Community Corrections descriptions or analyses of how its JJCPA-funded programs influenced its juvenile justice trends, as required by law.	Santa Barbara County Probation Department	Fully Implemented
11. To adequately assess the effectiveness of its programs at reducing juvenile crime and delinquency, Los Angeles should collect data on all participants in each JJCPA program and for each service it provides.	Los Angeles County Probation Department	Pending
12. To adequately assess the effectiveness of its programs at reducing juvenile crime and delinquency, Mendocino should collect data on all participants in each JJCPA program and for each service it provides.	Mendocino County Probation Department	Pending
13. To adequately assess the effectiveness of its programs at reducing juvenile crime and delinquency, San Joaquin should collect data on all participants in each JJCPA program and for each service it provides.	San Joaquin County Probation Department	Pending
14. To accurately assess the effectiveness of its programs, Kern should determine how to accurately identify in its case management system the JJCPA programs and services in which each individual participates or should enhance its system to provide this capability.	Kern County Probation Department	Pending
15. To accurately assess the effectiveness of its programs, Los Angeles should determine how to accurately identify in its case management system the JJCPA programs and services in which each individual participates or should enhance its system to provide this capability.	Los Angeles County Probation Department	Pending
16. To accurately assess the effectiveness of its programs, Santa Barbara should determine how to accurately identify in its case management system the JJCPA programs and services in which each individual participates or should enhance its system to provide this capability.	Santa Barbara County Probation Department	Fully Implemented

17. To ensure that counties' comprehensive plans are informative and up to date, Community Corrections should revise its comprehensive plan template to require Coordinating Councils to specify plan components their counties are changing and to describe those changes. If a county is making no changes, the template should require the Coordinating Council to explain why no changes to the plan are necessary.	Board of State and Community Corrections	Fully Implemented
18. To enable Community Corrections to provide effective oversight of the required elements of the JJCPA, the Legislature should amend state law to describe a process for restricting the spending of JJCPA funding by counties that do not meet the requirements of the JJCPA. As part of that process, the State should prohibit counties that have not established Coordinating Councils from spending JJCPA funds.	Legislature	No Action Taken
19. To make JJCPA funding more stable and predictable, the Legislature should amend state law to increase the amount of guaranteed JJCPA funding the State provides to counties. If the Legislature decides to stabilize JJCPA funding, it should direct Community Corrections to evaluate the expenditure information counties submit and identify an appropriate amount of base funding. The Legislature should further direct Community Corrections to assess every five years the percentage of total JJCPA funds that growth funds represent to determine whether the base funding needs to be adjusted.	Legislature	No Action Taken
20. To ensure that counties include accurate information in their comprehensive plans and year-end reports, Community Corrections should review the information counties submit to it and follow up with them to obtain missing information or to clarify information that seems incorrect.	Board of State and Community Corrections	Partially Implemented
21. To better promote effective local efforts related to the JJCPA, Community Corrections should include on its website the capability for stakeholders, counties, and other interested parties to review and easily compare the JJCPA information of multiple counties. Specifically, its website should allow users to be able to select a specific type of JJCPA-funded program and easily review information the counties submitted for all programs associated with that program type. Community Corrections should determine the cost of providing this additional service and, if necessary, request additional resources.	Board of State and Community Corrections	Pending

Report Number 2019-119

Lanterman-Petris-Short Act: California Has Not Ensured That Individuals With Serious Mental Illnesses Receive Adequate Ongoing Care (July 2020)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that counties are able to access important data about individuals whom they place on involuntary holds under the Lanterman Petris Short Act (LPS Act), the Legislature should amend state law to do the following:</p> <ul style="list-style-type: none"> • Require DOJ to make the information that mental health facilities report to it about involuntary holds available to the Department of Health Care Services (DHCS) on an ongoing basis. • Require treatment facilities to report to DHCS all short-term holds that result from the grave disability criterion. • Direct DHCS to obtain daily the mental health facility information from DOJ and make that information, as well as the information that facilities report directly to it, available to county mental health departments for county residents, and for a limited time for nonresidents on an involuntary hold within the county. 	Legislature	No Action Taken

Report Number 2020-103

California Department of Corrections and Rehabilitation: It Has Poorly Administered the Integrated Services for Mentally Ill Parolees Program, and With Current Funding Cuts, It Must Find Ways to Transition Parolees to County Services (August 2020)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To increase public safety and reduce the likelihood of recidivism, CDCR should establish a separate category in the appropriate data system to track the individuals who would have qualified for the integrated services program. It should also ensure that staff in the institutions, including mental health clinicians and staff involved in prerelease planning, coordinate with parole to assign these individuals to parole agents with specialized caseloads who have the training and experience to serve this population. CDCR should focus its efforts on at least the eight counties that are losing the integrated services program and complete the steps noted in this recommendation by February 2021.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Pending</p>
<p>2. To increase public safety and reduce the likelihood of recidivism, CDCR should continue to meet with the appropriate staff in the behavioral health departments of the eight counties where the integrated services program currently operates to facilitate coordination among CDCR' staff, the providers, and the counties. The coordination should focus on smoothly transitioning current program participants to the county services they need and on developing processes for future parolees with mental illness and issues with homelessness who will transition to county services. CDCR should begin holding these meetings by October 2020 and continue them until all necessary processes are in place.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Partially Implemented</p>
<p>3. To increase public safety and reduce the likelihood of recidivism, CDCR should create a regular forum for subject-matter experts to share information regarding their respective efforts to smoothly transition current program participants to county services and to develop processes for future parolees with mental illness and issues with homelessness who will transition to county services. CDCR should include its staff from the eight counties in which the integrated services program will no longer operate, including staff in the institutions, such as mental health clinicians and staff involved in prerelease planning, parole agents, and parole outpatient clinical staff. CDCR should also include the providers currently under contract, county services staff, and others as necessary. The forums should offer CDCR' staff the opportunity to receive updated training as necessary, and CDCR should begin hosting these forums by October 2020.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Pending</p>
<p>4. To determine whether parolees with mental illness who have housing needs are receiving necessary services and support during their parole terms, CDCR should review its processes for connecting these individuals to county services by determining the appropriate metrics to evaluate its processes and setting goals related to those metrics.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>No Action Taken</p>
<p>5. To determine whether parolees with mental illness who have housing needs are receiving necessary services and support during their parole terms, CDCR should review its processes for connecting these individuals to county services by ensuring that it is collecting sufficient, consistent data to review those metrics.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>No Action Taken</p>
<p>6. To determine whether parolees with mental illness who have housing needs are receiving necessary services and support during their parole terms, CDCR should review its processes for connecting these individuals to county services by establishing a timeline for conducting reviews regularly, but at least every three years. CDCR should develop its plan by July 2021 and include at least the eight counties formerly served by the integrated services program. CDCR should complete its first review by December 2021.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>No Action Taken</p>

7. To determine whether parolees with mental illness who have housing needs are receiving necessary services and support during their parole terms, CDCR should review its processes for connecting these individuals to county services by reporting on its success in meeting its goals to the Council on Criminal Justice and Behavioral Health and the public. CDCR should develop its plan by July 2021 and include at least the eight counties formerly served by the integrated services program. CDCR should complete its first review by December 2021.	Department of Corrections and Rehabilitation	No Action Taken
8. To determine whether parolees with mental illness who have housing needs are receiving necessary services and support during their parole terms, CDCR should review its processes for connecting these individuals to county services by using the reviews to identify changes to improve its processes for connecting parolees to resources, including improving training for CDCR staff. CDCR should develop its plan by July 2021 and include at least the eight counties formerly served by the integrated services program. CDCR should complete its first review by December 2021.	Department of Corrections and Rehabilitation	No Action Taken

Report Number I2020-2

Investigation of Improper Activities by State Agencies and Employees: Waste of State Funds, Misuse of Bereavement Leave, Misuse of State Resources, Dishonesty, and Supervisory Neglect of Duty (October 2020)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
10. Within the next 60 days, DIR should complete the process of voiding the candidate's appointments to the SSM I, SSM II, and SSM III positions.	Department of Industrial Relations	Partially Implemented
11. Within the next 60 days, DIR should initiate an accounts receivable to collect the overpayments given to the candidate to prevent additional funds from exceeding the statute of limitations.	Department of Industrial Relations	Partially Implemented
12. DIR should take corrective action against any civil servant who facilitated the candidate's unlawful appointment.	Department of Industrial Relations	Partially Implemented
13. DIR should work with the executive official's current employer to take appropriate steps to ensure she is prevented from taking similar actions. In addition, DIR should work with her current employer to ensure she undergoes CalHR or SPB training on the requirements for making good-faith appointments.	Department of Industrial Relations	Fully Implemented
21. Within 60 days, Caltrans should initiate appropriate corrective actions against the employees and their supervisors where necessary for misusing state vehicles to commute.	Department of Transportation	Fully Implemented
22. Within 60 days, Caltrans should determine the options available for cost recovery and recoup the costs associated with the vehicle misuse, if feasible.	Department of Transportation	Fully Implemented
23. Within 120 days, Caltrans should determine whether other individuals within the employees' division regularly drive state vehicles home. If so, it should determine whether they have a legally permissible reason for doing so, ensure that they meet the qualifications for and have received storage permits, and investigate vehicle misuse as necessary.	Department of Transportation	Fully Implemented
24. DOJ should initiate appropriate corrective or disciplinary actions against the analyst and secretary for their time abuse and dishonesty.	California Department of Justice	Partially Implemented
25. DOJ should determine whether it can quantify any of the overpayments made to the secretary and either recover overpayments made to both the analyst and secretary or adjust their leave balances to account for the missed work time.	California Department of Justice	Partially Implemented
26. DOJ should initiate steps to improve supervision of the analyst and secretary, including ensuring that their supervisors work in close proximity to them to monitor their arrival and departure times.	California Department of Justice	Partially Implemented

* As of December 31, 2020, the entity has not provided a response to the California State Auditor (State Auditor) or the State Auditor has not assessed the entity's response.