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**Table 1**  
Recommendation Status Summary

## Senate Budget & Fiscal Review Subcommittee 5 on Public Safety

*Report Number 2017-131*

*Hate Crimes in California: Law Enforcement Has Not Adequately Identified, Reported, or Responded to Hate Crimes (May 2018)*

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that it receives complete and accurate data, the California Department of Justice (DOJ) should, by May 2019, develop and maintain a list of law enforcement agencies that it updates annually, obtain hate crime data from all law enforcement agencies, distribute additional guidance to those agencies on procedures for reporting hate crimes, and conduct periodic reviews of law enforcement agencies to ensure that the data they report are accurate. It should also seek the resources to implement these efforts, if necessary.	California Department of Justice	Partially Implemented
2. To ensure that all state law enforcement agencies are aware of the support available to help them investigate hate crimes, DOJ should engage in outreach efforts to increase awareness of its response team.	California Department of Justice	Fully Implemented
3. To increase the effectiveness of hate crime prevention and response efforts, DOJ should provide additional guidance to law enforcement agencies by adding region-specific data fields to the hate crime database, including items such as the zip code in which reported hate crimes took place and other fields that DOJ determines will support its outreach efforts.	California Department of Justice	Pending
4. To increase the effectiveness of hate crime prevention and response efforts, DOJ should provide additional guidance to law enforcement agencies by analyzing reported hate crimes in various regions in the State and send advisory notices when it detects hate crimes happening across multiple jurisdictions. It should also seek the resources to implement these efforts, if necessary.	California Department of Justice	Pending
5. To increase the effectiveness of hate crime prevention and response efforts, DOJ should provide additional guidance to law enforcement agencies by creating and disseminating outreach materials so law enforcement agencies can better engage with their communities.	California Department of Justice	Partially Implemented
6. To increase the effectiveness of hate crime prevention and response efforts, DOJ should provide additional guidance to law enforcement agencies by creating and making available training materials for law enforcement agencies on how best to identify and respond to hate crimes.	California Department of Justice	Partially Implemented
7. To ensure that law enforcement agencies effectively engage with communities regarding hate crimes, DOJ should provide guidance and best practices for law enforcement agencies to follow when conducting hate crime outreach to vulnerable communities within their jurisdictions, such as collaborating with a county human rights commission. It should make the outreach materials available to law enforcement agencies and should include in them presentation materials for various types of communities, including immigrants and Muslims, among others. It should seek the resources to implement these efforts, if necessary.	California Department of Justice	Partially Implemented
8. To ensure that they accurately identify and report hate crimes, San Francisco State University (SFSU) Police and Los Angeles Police Department (LAPD) should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them.	Los Angeles Police Department	Pending
9. To ensure that they accurately identify and report hate crimes, SFSU Police and LAPD should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them.	Orange County Sheriff's Department	Fully Implemented

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11. To ensure that they accurately identify and report hate crimes, SFSU Police and LAPD should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them.	Stanislaus County Sheriff's Department	No Action Taken
13. To ensure accurate and complete reporting, LAPD and SFSU Police should provide sufficient guidance and oversight to their officers and staff so that they report all hate crimes to DOJ.	Los Angeles Police Department	Pending
14. To help ensure that officers can identify and document that hate crimes have occurred, the Commission on Peace Officer Standards and Training (POST) should send training materials to all POST-certified law enforcement agencies in the State for these agencies to use in refresher training for their officers.	Commission on Peace Officer Standards and Training	Fully Implemented
15. To ensure its hate crime training effectively communicates information essential to properly identifying and addressing hate crimes, POST should evaluate its hate crime courses periodically. It should also seek resources to implement these efforts, if necessary.	Commission on Peace Officer Standards and Training	Fully Implemented
16. To address the increase in hate crimes reported in California, the Legislature should require DOJ to add region-specific data fields to the hate crime database, including items such as the zip code in which the reported hate crimes took place as well as other fields that DOJ determines will support its outreach efforts.	Legislature	Legislation Introduced
17. To address the increase in hate crimes reported in California, the Legislature should require DOJ to analyze reported hate crimes in various regions in the State and send advisory notices to law enforcement agencies when it detects hate crimes happening across multiple jurisdictions.	Legislature	No Action Taken
18. To address the increase in hate crimes reported in California, the Legislature should require DOJ to create and disseminate outreach materials so law enforcement agencies can better engage with their communities.	Legislature	Legislation Introduced
19. To address the increase in hate crimes reported in California, the Legislature should require DOJ to create and make available training materials for law enforcement agencies on how best to identify and respond to hate crimes.	Legislature	Legislation Introduced
20. To address the increase in hate crimes reported in California, the Legislature should require DOJ to implement a school-based program, in conjunction with representation from local law enforcement agencies, aimed at educating communities to identify and confront issues of bias, prejudice, and harassment.	Legislature	Legislation Introduced
21. To ensure that hate crime training for law enforcement is effective, the Legislature should require POST to evaluate its hate crime training.	Legislature	No Action Taken

### Report Number I2018-1

#### Investigations of Improper Activities by State Agencies and Employees: Misuse of State Time, Economically Wasteful Activities, and Misuse of State Property (July 2018)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
7. Take appropriate corrective action against the employee, including documenting his attendance abuse in his personnel or supervisory file.	Department of Corrections and Rehabilitation	Fully Implemented
8. Require the supervisor to implement policies and procedures to ensure his subordinates account for all of their missed work hours.	Department of Corrections and Rehabilitation	Fully Implemented
11. Ensure that the licensed vocational nurse (LVN) begins performing duties appropriate for her classification as a nurse who provides patient care.	California Correctional Health Care Services	Resolved
12. Remove the LVN's scheduler access to the scheduling software.	California Correctional Health Care Services	Resolved
13. Utilize appropriate administrative staff to perform scheduling duties.	California Correctional Health Care Services	Fully Implemented
14. Ensure that scheduling staff use the appropriate post codes in the scheduling software for all nursing staff so their time is accurately reported.	California Correctional Health Care Services	Partially Implemented

15. Ensure that all other nursing staff assignments to ad hoc posts are appropriate, and require schedulers to enter a note in the scheduling software indicating an employee's duties while in a general ad hoc post.	California Correctional Health Care Services	Partially Implemented
16. Provide training to the nursing director regarding the requirements for temporary employee reassignments, including proper documentation.	California Correctional Health Care Services	Fully Implemented
17. Provide training to the nursing director and the LVN on California Correctional Health Care Services' (Correctional Health Care) policy on personal relationships in the employment setting.	California Correctional Health Care Services	Fully Implemented
18. Consider disciplinary action against the nursing director and the LVN for being dishonest when interviewed and for violating Correctional Health Care's policy on personal relationships in the employment setting.	California Correctional Health Care Services	Resolved
19. Seek repayment from the analyst for the \$2,925 in improper payments.	Department of Corrections and Rehabilitation	Fully Implemented
20. Fully implement and continue to follow recommendations from prior investigative reports involving similar inappropriate inmate supervision pay at other CDCR facilities, including the recommendation to train all employees who receive, approve, or issue the inmate supervision pay.	Department of Corrections and Rehabilitation	Partially Implemented
21. Provide additional training to the individuals involved in this investigation regarding the eligibility requirements for inmate supervision pay and overpayment procedures.	Department of Corrections and Rehabilitation	Fully Implemented
22. Revise the prison's inmate supervision pay approval form to include the date on which the employee received inmate supervision pay training and require signatures on each form from the employee, supervisor, and personnel staff to show that they received the training and are aware of the rules regarding inmate supervision pay.	Department of Corrections and Rehabilitation	Fully Implemented

**Report Number 2018-106**

**Correctional Officer Health and Safety: Some State and County Correctional Facilities Could Better Protect Their Officers From the Health Risks of Certain Inmate Attacks (September 2018)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure the health and safety of its employees and hold its supervisors accountable, the California Institution for Men (CIM) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases.	Department of Corrections and Rehabilitation	Fully Implemented
2. To ensure the health and safety of its employees and hold its supervisors accountable, CIM should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them.	Department of Corrections and Rehabilitation	Fully Implemented
3. To make certain that victims are aware of threats to their health, CIM should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims.	Department of Corrections and Rehabilitation	No Action Taken
4. To ensure the health and safety of its employees and hold its supervisors accountable, Los Angeles County Sheriff's Department Men's Central Jail (Men's Central) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases.	Los Angeles County Sheriff's Department	Fully Implemented
5. To ensure the health and safety of its employees and hold its supervisors accountable, Men's Central should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them.	Los Angeles County Sheriff's Department	Fully Implemented

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6. To make certain that victims are aware of threats to their health, Men's Central should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims.	Los Angeles County Sheriff's Department	Fully Implemented
7. To ensure the health and safety of its employees and hold its supervisors accountable, Alameda County Sheriff's Office's Santa Rita Jail (Santa Rita) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the medical services and workers' compensation benefits available to them.	Alameda County Sheriff's Office	Fully Implemented
8. To ensure the health and safety of its employees and hold its supervisors accountable, Santa Rita should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases.	Alameda County Sheriff's Office	Fully Implemented
9. To ensure the health and safety of its employees and hold its supervisors accountable, Santa Rita should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them.	Alameda County Sheriff's Office	Fully Implemented
10. To make certain that victims are aware of threats to their health, Santa Rita should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims.	Alameda County Sheriff's Office	Fully Implemented
11. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should implement procedures to ensure that it collects sufficient physical evidence and submits the gassing substance for laboratory testing, as state law requires.	Department of Corrections and Rehabilitation	Fully Implemented
12. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should develop goals for how long investigations should take and ensure that its officers adhere to these goals.	Department of Corrections and Rehabilitation	Fully Implemented
13. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should separate its evaluation of officers' use of force from the investigation process it uses to refer cases to the district attorney.	Department of Corrections and Rehabilitation	Fully Implemented
14. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Men's Central should implement procedures to ensure that it collects sufficient physical evidence.	Los Angeles County Sheriff's Department	Fully Implemented
15. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Men's Central should develop goals for how long investigations should take and ensure that its officers adhere to these goals.	Los Angeles County Sheriff's Department	Fully Implemented
16. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Santa Rita should implement procedures to ensure that it collects sufficient physical evidence and submits the gassing substance for laboratory testing, as state law requires.	Alameda County Sheriff's Office	Fully Implemented
17. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Santa Rita should develop practices to ensure that it submits all cases for prosecution when probable cause of a crime exists. Further, it should expedite its review of the four cases that we identified, and if probable cause exists, submit those cases to the district attorney for prosecution.	Alameda County Sheriff's Office	Fully Implemented
18. To better prevent gassing attacks and promote desirable changes in inmate attitude and behavior, CIM should follow its policy and pursue appropriate internal disciplinary actions—including consideration of the inmate's mental health and competency when determining whether to impose internal discipline.	Department of Corrections and Rehabilitation	Fully Implemented
19. To ensure the health and safety of its officers when interacting with inmates, CIM should maintain a sufficient supply of preventative equipment that is available to its officers and staff in all locations where gassing attacks can occur.	Department of Corrections and Rehabilitation	Fully Implemented
20. To ensure the health and safety of its officers when interacting with inmates, CIM should develop a policy regarding the placement of "gasser" tags on the cells of inmates who have committed or attempted to commit a gassing attack.	Department of Corrections and Rehabilitation	Fully Implemented

21. To ensure the health and safety of its officers when interacting with inmates, CIM should provide annual training that is specific to preventing and responding to gassing attacks.	Department of Corrections and Rehabilitation	Pending
22. To ensure that it is able to identify high-risk situations and deter repeat offenders, CIM should specifically track all gassing attacks and use the tracking data as a tool to prevent future gassing attacks.	Department of Corrections and Rehabilitation	Partially Implemented
23. To ensure the safety of its staff, Men’s Central should provide annual training that is specific to preventing and responding to gassing attacks.	Los Angeles County Sheriff’s Department	Fully Implemented
24. To better prevent gassing attacks and promote desirable changes in inmate attitude and behavior, Santa Rita should follow its policy and pursue appropriate internal disciplinary actions—including consideration of the inmate’s mental health and competency when determining whether to impose internal discipline.	Alameda County Sheriff’s Office	Fully Implemented
25. To ensure the health and safety of its officers when interacting with inmates, Santa Rita should develop a policy regarding the placement of “gasser” tags on the cells of inmates who have committed or attempted to commit a gassing attack.	Alameda County Sheriff’s Office	Fully Implemented
26. To ensure the health and safety of its officers when interacting with inmates, Santa Rita should provide annual training that is specific to preventing and responding to gassing attacks.	Alameda County Sheriff’s Office	Fully Implemented
27. To ensure that it is able to identify high risk situations and deter repeat offenders, Santa Rita should specifically track all gassing attacks and use the tracking data as a tool to prevent future gassing attacks.	Alameda County Sheriff’s Office	Partially Implemented
28. To shorten the time to submit cases of gassing attacks for prosecution, the Legislature should modify state law to provide correctional facilities the discretion to omit testing the gassing substance for the presence of a bodily fluid when the correctional facility, in consultation with its district attorney, finds that such testing is unnecessary to obtain sufficient evidence of a crime.	Legislature	No Action Taken

**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. Santa Clara 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	Pending
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	Will Not Implement
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

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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

### 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	Pending
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 UC Irvine's contract compliance recommendations, to ensure that its vendors adhere to this standard by January 2020.	Department of Corrections and Rehabilitation	Pending
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	Partially Implemented



<p>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.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>Department of Corrections and Rehabilitation</p>	<p>Pending</p>
<p>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.</p>	<p>California Prison Industry Authority</p>	<p>Partially Implemented</p>
<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>Pending</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>Pending</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>Pending</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>Pending</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>Pending</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 Introduced</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"> <li>Partner with external researchers to evaluate the effectiveness of its rehabilitation programs and implement the three-year plan described below.</li> </ul> <p><b>Year One: Fiscal Year 2019–20</b> 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><b>Year Two: Fiscal Year 2020–21</b> External researcher conducts recidivism analysis and CDCR develops and begins implementing a corrective action plan.</p> <p><b>Year Three: Fiscal Year 2021–22</b> 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>	Legislature	Legislation Introduced
<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>	Legislature	Legislation Introduced
<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>	Legislature	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.</p>	Legislature	No Action Taken
<p>22. To ensure that CDCR and EDD 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.</p>	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
<p>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.</p>	Department of Corrections and Rehabilitation	Pending

**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, 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 should identify all allowable costs and include them in its future budget requests to Refugee Resettlement.	Yolo County Probation Department	Fully Implemented
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 Social Services to report to it by March 31 of each year the number of community care facilities, including foster family homes, that house unaccompanied children. Social Services 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.	Legislature	No Longer Necessary
16. The Board of State and 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.	Board of State and Community Corrections	Fully Implemented

**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
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 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.	Legislature	No Action Taken
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: <ul style="list-style-type: none"> <li>Periodically train all RADS participants on the requirement to report and update case outcome information, and on how to properly do so.</li> <li>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).</li> <li>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.</li> <li>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.</li> </ul>	Legislature	Legislation Proposed But Not Enacted

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**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
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.	Judicial Council of California	Fully Implemented
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.	Judicial Council of California	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"> <li>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.</li> <li>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.</li> <li>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.</li> </ul>	Legislature	No Action Taken
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	No Action Taken
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	No Action Taken
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	Partially 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	Pending

<p>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.</p>	<p>Commission on Judicial Performance</p>	<p>Pending</p>
<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>Pending</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>Partially 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>Pending</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>Pending</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>Pending</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"> <li>• Its progress in implementing our recommendations and any associated effects on its workload.</li> <li>• The steps it has taken to realize efficiencies in its operations.</li> <li>• 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.</li> <li>• Its progress in purchasing and implementing a new electronic case management system.</li> <li>• Its progress in relocating its office space to a more affordable location.</li> <li>• Any savings or unforeseen costs arising from the changes we identify above.</li> </ul>	<p>Commission on Judicial Performance</p>	<p>Pending</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 information technology (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 Client Security Fund (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 Lawyer Assistance Program's (assistance program) excessive reserve, the Legislature should suspend the 2020 assistance program fee for both active and inactive licensees.	Legislature	No Action Taken
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	Partially Implemented
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	Partially 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	Partially Implemented
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	No Action Taken
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
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	Partially Implemented
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	Partially Implemented
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 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	Pending
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
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	Pending
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	No Action Taken



<p>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.</p>	<p>California Department of Justice</p>	<p>Fully Implemented</p>
<p>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:</p> <ul style="list-style-type: none"> <li>• The entities' personnel costs, operating costs, and any program overhead costs.</li> <li>• Updated time estimates for their core and support activities, such as background investigations.</li> <li>• The cost of their enforcement activities.</li> </ul> <p>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.</p>	<p>California Department of Justice</p>	<p>†</p>
<p>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:</p> <ul style="list-style-type: none"> <li>• The entities' personnel costs, operating costs, and any program overhead costs.</li> <li>• Updated time estimates for their core and support activities, such as background investigations.</li> <li>• The cost of their enforcement activities.</li> </ul> <p>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.</p>	<p>California Gambling Control Commission</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>California Department of Justice</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>California Department of Justice</p>	<p>Pending</p>
<p>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.</p>	<p>California Department of Justice</p>	<p>Fully Implemented</p>
<p>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:</p> <ul style="list-style-type: none"> <li>• Application processes and time frames.</li> <li>• The ability to work during the application process.</li> <li>• The ability to reapply after denial.</li> </ul> <p>In revising its regulations, the gambling commission should increase consistency across application types while minimizing risk to the public.</p>	<p>California Gambling Control Commission</p>	<p>Partially Implemented</p>

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	Pending
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"> <li>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.</li> <li>Require local fire agencies to submit documentation to support their average actual salary rates.</li> <li>Revise the salary form and reimbursement invoice form so that authorized representatives of local fire agencies sign them under penalty of perjury.</li> </ul>	California Office of Emergency Services	Pending
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: <ul style="list-style-type: none"> <li>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.</li> <li>Require local fire agencies to submit documentation to support their average actual salary rates.</li> <li>Revise the salary form and reimbursement invoice form so that authorized representatives of local fire agencies sign them under penalty of perjury.</li> </ul>	California Office of Emergency Services	Pending

**Report Number 2019-103**

**Emergency Planning: 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"> <li>• Review each county’s emergency plans to determine whether the plans are consistent with 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.</li> <li>• Report the results of its plan reviews to the Legislature and on its website at least once every year.</li> <li>• Provide technical assistance to counties in developing and revising their emergency plans to address the issues that Cal OES identifies in its review.</li> <li>• Include representatives of people with a variety of access and functional needs in its review of county emergency plans.</li> </ul>	Legislature	*
<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"> <li>• 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.</li> <li>• 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.</li> </ul>	Legislature	*
<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>	California Office of Emergency Services	*
<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"> <li>• Provide clear direction to individuals who speak English so that they know which of the translated messages they should use in what specific circumstances.</li> <li>• Revise the messages it has provided so that local jurisdictions can more easily adapt them for use in a variety of disaster situations.</li> <li>• 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.</li> </ul>	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	*

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**Report Number 2019-302****Judicial Council of California (December 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
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 FISCal website does not provide all the required information, the Judicial Council should implement an alternate reporting mechanism, such as providing summary information from FISCal data not available to the public.	Judicial Council of California	*
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 FISCal when processing contract amendments.	Judicial Council of California	*
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.	Judicial Council of California	*
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.	Judicial Council of California	*

\* The status of recommendations for audits issued between late October and December 2019 is based on the entities' initial response, which is included in the original audit report, available on the California State Auditor's (State Auditor) website: [www.auditor.ca.gov](http://www.auditor.ca.gov)

† As of December 31, 2019, the entity has not provided a response to the State Auditor or the State Auditor has not assessed the entity's response.