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Procurement: Semiannual Reports to the Legislature Are of Limited Usefulness, Information Systems Have Weak Controls, and Certain Improvements in Procurement Practices Are Needed (December 2013)

Table 1
Recommendation Status Summary

Assembly Budget Subcommittee 5: Public Safety		
Report Number 2011-121		
<i>Probationers' Domestic Violence Payments: Improved Processes for Managing and Distributing These Payments Could Increase Support for Local Shelters (September 2012)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. San Diego Court should ensure that procedures are in place so that courts do not reduce or waive domestic violence payments for reasons other than a probationer's inability to pay.	Fully Implemented	Superior Court of California, County of San Diego
2. To ensure that it is accurately setting up accounts and to ensure that probationers are not paying more fines and fees than are applicable, San Diego Court should include on the orders issued at sentencing the breakdown of all fines and fees owed.	Fully Implemented	Superior Court of California, County of San Diego
3. To ensure that it is accurately setting up accounts and to ensure that probationers are not paying more fines and fees than are applicable, San Diego Court should use the guidelines in place at the time of sentencing for those convicted of domestic violence crimes when it establishes accounts for payments.	Fully Implemented	Superior Court of California, County of San Diego
4. Santa Clara County should implement a process to distribute funds regularly to domestic violence shelters.	Fully Implemented	Santa Clara County
5. Sacramento County should finalize work with the State Controller's Office on correcting the county's overpayment of domestic violence funds to the State.	Fully Implemented	Sacramento County
6. Sacramento County should implement the process developed for reviewing statutes that affect domestic violence payment collection and distribution practices in order to prevent overpayment of domestic violence funds in the future.	Fully Implemented	Sacramento County
7. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should determine the magnitude of the misdirected domestic violence funds.	Fully Implemented	Los Angeles County
8. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should determine the magnitude of the misdirected domestic violence funds.	Fully Implemented	San Diego County
9. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should determine the magnitude of the misdirected domestic violence funds.	Fully Implemented	Superior Court of California, County of San Diego
10. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should determine the magnitude of the misdirected domestic violence funds.	Fully Implemented	Santa Clara County
11. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should consult with the State Controller's Office to determine what action should be taken to correct the domestic violence funds that were misdirected in prior fiscal years.	Fully Implemented	Los Angeles County
12. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should consult with the State Controller's Office to determine what action should be taken to correct the domestic violence funds that were misdirected in prior fiscal years.	Fully Implemented	San Diego County
13. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should consult with the State Controller's Office to determine what action should be taken to correct the domestic violence funds that were misdirected in prior fiscal years.	Fully Implemented	Superior Court of California, County of San Diego
14. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should consult with the State Controller's Office to determine what action should be taken to correct the domestic violence funds that were misdirected in prior fiscal years.	Fully Implemented	Santa Clara County
15. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should improve protocols for reviewing statutes that affect collection and distribution practices so that future changes can be acted upon.	Fully Implemented	Los Angeles County
16. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should improve protocols for reviewing statutes that affect collection and distribution practices so that future changes can be acted upon.	Not Fully Implemented*	San Diego County

17. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should improve protocols for reviewing statutes that affect collection and distribution practices so that future changes can be acted upon.	Fully Implemented	Superior Court of California, County of San Diego
18. Los Angeles County, San Diego County, San Diego Court, and Santa Clara County should improve protocols for reviewing statutes that affect collection and distribution practices so that future changes can be acted upon.	Fully Implemented	Santa Clara County
19. Los Angeles Court should finalize the correction of the court's misdirected domestic violence funds.	Fully Implemented	Superior Court of California, County of Los Angeles
20. Los Angeles Court should improve protocols for reviewing statutes that affect collection and distribution practices so that future changes can be acted upon.	Fully Implemented	Superior Court of California, County of Los Angeles
21. Sacramento County should increase its contracted spending for shelter services so that it reduces the balance of its special fund down to a level that is reasonable considering the needs of the fund.	Fully Implemented	Sacramento County
22. To ensure that they are maximizing the impact of domestic violence funds, Sacramento, San Diego, and Santa Clara counties should periodically monitor their special funds.	Fully Implemented	Sacramento County
23. To ensure that they are maximizing the impact of domestic violence funds, Sacramento, San Diego, and Santa Clara counties should periodically monitor their special funds.	Fully Implemented	San Diego County
24. To ensure that they are maximizing the impact of domestic violence funds, Sacramento, San Diego, and Santa Clara counties should periodically monitor their special funds.	Fully Implemented	Santa Clara County

Report Number 2011-129

Juvenile Justice Realignment: Limited Information Prevents a Meaningful Assessment of Realignment's Effectiveness (September 2012)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To improve the usefulness of its reports so that they can be used to assess the outcomes of realignment, the board should work with counties and relevant stakeholders, such as the committee that established performance outcome measures for the block grant, to determine the data that counties should report. To minimize the potential for creating a state mandate, the board should take into consideration the information that counties already collect to satisfy requirements for other grants.	Not Fully Implemented*	Board of State and Community Corrections
2. To improve the usefulness of its reports so that they can be used to assess the outcomes of realignment, if the Legislature chooses not to change the law as suggested, or if the counties are unable to report countywide statistics, the board should discontinue comparing outcomes for juveniles who receive block grant services to those who do not in its reports.	Will Not Implement	Board of State and Community Corrections
3. To maximize the usefulness of the information it makes available to stakeholders and to increase accountability, the board should create policies and procedures that include clear, comprehensive guidance to counties about all aspects of performance outcome and expenditure reporting. At a minimum, such guidance should include specifying how counties should define when a juvenile has received a service and whether certain services, such as training, should qualify as serving juveniles.	Not Fully Implemented*	Board of State and Community Corrections
4. To maximize the usefulness of the information it makes available to stakeholders and to increase accountability, the board should publish performance outcome and expenditure data for each county on its Web site and in its annual reports.	Not Fully Implemented*	Board of State and Community Corrections
5. To maximize the usefulness of the information it makes available to stakeholders and to increase accountability, the board should consider verifying the counties' data by conducting regular site visits on a rotating basis or by employing other procedures to verify data that counties submit.	Not Fully Implemented*	Board of State and Community Corrections
6. To increase the amount of juvenile justice data the counties make available to the public, the board should work with counties on how best to report these data.	Not Fully Implemented*	Board of State and Community Corrections
7. To ensure the accuracy and completeness of the data the counties submit into the Juvenile Court and Probation Statistical System (JCPSS), Justice should follow its procedure to send annual summaries of the JCPSS data to the counties for review and to conduct occasional field audits of the counties' records.	Not Fully Implemented*	Department of Justice

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
8. To ensure that its Automated Criminal History System (criminal history system) contains complete and accurate data related to juvenile offenders, Justice should implement a process to ensure that staff enter data correctly into the system.	Fully Implemented	Department of Justice
9. To ensure that its criminal history system contains complete and accurate data related to juvenile offenders, Justice should implement a procedure similar to the one it employs for the JCPSS to verify the accuracy of information the counties submit.	Not Fully Implemented*	Department of Justice
10. To increase the amount of information related to realignment and to allow stakeholders to identify the population of juvenile offenders sent directly to adult prison, Corrections should obtain complete offense dates from the courts, if possible.	Fully Implemented	Department of Corrections and Rehabilitation
11. To assist the Legislature in its effort to revise state law to specify the intended goals of juvenile justice realignment, the board should work with stakeholders to propose performance outcome goals to use to measure the success of realignment.	Not Fully Implemented*	Board of State and Community Corrections
12. To ensure that counties do not maintain excessive balances of unexpended block grant funds, the board should develop procedures to monitor counties' unspent funds and follow up with them if the balances become unreasonable.	Not Fully Implemented*	Board of State and Community Corrections

Report Number I2012-1

Investigations of Improper Activities by State Agencies and Employees: Bribery, Conspiracy to Commit Mail Fraud, Improper Overtime Payments, Improper Use of Lease Proceeds, Improper Travel Expenses, and Other Violations of State Law (December 2012)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. Correctional Health Services should provide training to the manager and supervisors involved in the claim authorization process regarding the state rules applicable to claiming travel expenses.	Partially Implemented	California Correctional Health Care Services
2. Correctional Health Services should discontinue reimbursing employees for expenses claimed in violation of state regulations.	Partially Implemented	California Correctional Health Care Services
3. Corrections should provide training to its accounting staff regarding state regulations and the applicable collective bargaining agreements that relate to travel reimbursements.	Fully Implemented	Department of Corrections and Rehabilitation
4. Corrections should develop procedures to ensure that it provides accurate, clear responses when employees seek clarification of state travel rules.	Fully Implemented	Department of Corrections and Rehabilitation
5. Corrections should collect all of the improper payments the State made to the nurse and seek corrective action for the time the nurse falsely claimed to work.	Fully Implemented	Department of Corrections and Rehabilitation
6. Corrections should provide training to the supervisor related to timekeeping requirements and the proper procedures for taking disciplinary actions.	Fully Implemented	Department of Corrections and Rehabilitation
7. Corrections and Correctional Health Services should seek corrective action for the supervisor's failure to monitor and discipline the nurse adequately.	Fully Implemented	Department of Corrections and Rehabilitation
8. Corrections and Correctional Health Services should seek corrective action for the supervisor's failure to monitor and discipline the nurse adequately.	Fully Implemented	California Correctional Health Care Services
9. Corrections should provide training to the facility's personnel office staff related to the application of the terms of the collective bargaining agreements for medical staff, the processing of docked pay, and the processing of on-call hours.	Fully Implemented	Department of Corrections and Rehabilitation
10. Corrections should implement additional controls within the facility's personnel office to ensure that supervisors regularly monitor and review their staff's processing of time sheets.	Fully Implemented	Department of Corrections and Rehabilitation

Report Number 2012-301

Judicial Branch Procurement: Six Superior Courts Generally Complied With the Judicial Branch Contracting Law, but They Could Improve Some Policies and Practices (March 2013)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To comply with state requirements, the Judicial Council should include policies in the judicial contracting manual regarding the State's small business preference for information technology procurements.	Pending	Administrative Office of the Courts
2. To ensure complete reports to the Legislature, the AOC should review and modify its methodology for excluding certain transactions from the semiannual report to ensure that the AOC is not inadvertently excluding legitimate procurements. Further, the AOC's methodology should ensure that all procurements or contracts—such as those related to court security, court reporters, and interpreters when such services result in payment by a judicial branch entity to a vendor or contractor—are included in the semiannual report unless specifically excluded by state law.	Pending	Administrative Office of the Courts
3. To ensure accurate reports to the Legislature, the AOC should ensure that its process for extracting data from the courts' common accounting system provides accurate information—including, but not limited to, data describing the item or service procured and data reflecting the amount courts actually paid to vendors—for use in the semiannual report.	Fully Implemented	Administrative Office of the Courts
4. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Fully Implemented	Superior Court of California, County of Napa
5. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Pending	Superior Court of California, County of Orange
6. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Pending	Superior Court of California, County of Sacramento
7. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Pending	Superior Court of California, County of Stanislaus
8. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Fully Implemented	Superior Court of California, County of Sutter
9. To ensure that transactions reflect the State's priorities regarding businesses owned by disabled veterans, and to comply with requirements in the judicial contracting manual, the courts we reviewed should develop formal policies to implement the DVBE program.	Fully Implemented	Superior Court of California, County of Yolo
10. To ensure that court executive management is aware of and approves large purchases, the Napa court's staff should restrict approvals to established dollar levels. Further, to demonstrate adherence to its approval policies, the court should implement its new procedure to record executive committee approvals in the procurement file.	Fully Implemented	Superior Court of California, County of Napa
11. The Sacramento court should ensure that managers restrict their approvals to established dollar levels so that managers with sufficient knowledge of the court's resources approve purchases.	Fully Implemented	Superior Court of California, County of Sacramento
12. To ensure that the Sacramento court receives the best value for the goods and services it procures, the court should justify all sole-source or noncompetitively bid purchases according to its policies.	Fully Implemented	Superior Court of California, County of Sacramento
13. To ensure that the Stanislaus court receives the best value for the goods and services it procures, the court should advertise its solicitations of goods and services when required by the judicial contracting manual.	Fully Implemented	Superior Court of California, County of Stanislaus
14. To ensure that the Sutter court receives the best value for the goods and services it procures, the court should justify decisions to make sole-source purchases and document that justification in the procurement files.	Fully Implemented	Superior Court of California, County of Sutter
15. To ensure it receives the best value, the Yolo court should document that it compared the offerings of multiple vendors when using leveraged procurement agreements unless the judicial contracting manual or guidance on the particular leveraged procurement agreement does not require such comparison.	Fully Implemented	Superior Court of California, County of Yolo

Report Number 2012-110

Special Interest License Plate Funds: The State Has Foregone Certain Revenues Related to Special Interest License Plates and Some Expenditures Were Unallowable or Unsupported (April 2013)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
17. To demonstrate that all participants in the scholarship program are eligible to participate, Victim Compensation should establish and document the eligibility of the three participants for whom it currently lacks such documentation.	Resolved	California Victim Compensation and Government Claims Board

Report Number I2010-1045

California Department of Corrections and Rehabilitation and California Correctional Health Care Services: Both Agencies Wasted State Resources by Improperly Accounting for Leave Taken by Their Employees (June 2013)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. Conduct an audit of the leave accounting system during the past three years to identify instances of nonmanagerial, exempt employees working an alternate schedule at an adult correctional facility being charged incorrect amounts of leave for missed days of work.	Partially Implemented	California Correctional Health Care Services
2. Conduct an audit of the leave accounting system during the past three years to identify instances of nonmanagerial, exempt employees working an alternate schedule at an adult correctional facility being charged incorrect amounts of leave for missed days of work.	Partially Implemented	Department of Corrections and Rehabilitation
3. Adjust current employees' leave balances in the leave accounting system to correct any improper charging of leave identified by the audit.	Partially Implemented	California Correctional Health Care Services
4. Adjust current employees' leave balances in the leave accounting system to correct any improper charging of leave identified by the audit.	Partially Implemented	Department of Corrections and Rehabilitation
5. In instances where the audit has determined that an employee's leave balance was mischarged but the employee subsequently departed state service, take appropriate measures to remedy any resulting incorrect compensation of the employee for unused leave upon his or her departure, including by seeking repayment of any amount overpaid to the employee.	Partially Implemented	California Correctional Health Care Services
6. In instances where the audit has determined that an employee's leave balance was mischarged but the employee subsequently departed state service, take appropriate measures to remedy any resulting incorrect compensation of the employee for unused leave upon his or her departure, including by seeking repayment of any amount overpaid to the employee.	Partially Implemented	Department of Corrections and Rehabilitation
7. Train all personnel staff regarding the proper amount of leave to charge those exempt employees working an alternate schedule who miss a day of work.	Partially Implemented	California Correctional Health Care Services
8. Train all personnel staff regarding the proper amount of leave to charge those exempt employees working an alternate schedule who miss a day of work.	Partially Implemented	Department of Corrections and Rehabilitation
9. Train all nonmanagerial, exempt employees eligible to work an alternate schedule regarding the proper completion of a time sheet to ensure the employees' leave balances are charged correctly for an absence from work.	Partially Implemented	California Correctional Health Care Services
10. Train all nonmanagerial, exempt employees eligible to work an alternate schedule regarding the proper completion of a time sheet to ensure the employees' leave balances are charged correctly for an absence from work.	Partially Implemented	Department of Corrections and Rehabilitation
11. Establish a system of oversight at headquarters and at each adult correctional facility to ensure that personnel specialists are charging the correct number of leave hours for those nonmanagerial, exempt employees working an alternate work schedule.	Partially Implemented	California Correctional Health Care Services
12. Establish a system of oversight at headquarters and at each adult correctional facility to ensure that personnel specialists are charging the correct number of leave hours for those nonmanagerial, exempt employees working an alternate work schedule.	Partially Implemented	Department of Corrections and Rehabilitation
13. Establish a system of supervisory oversight that involves reviewing employees' time sheets and leave balances to ensure that personnel specialists are entering information into the leave accounting system correctly.	Partially Implemented	California Correctional Health Care Services

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
14. Establish a system of supervisory oversight that involves reviewing employees' time sheets and leave balances to ensure that personnel specialists are entering information into the leave accounting system correctly.	Partially Implemented	Department of Corrections and Rehabilitation
15. Establish a system for correcting mischarged leave in the leave accounting system and for reviewing errors with the responsible employee whenever mischarged leave hours are discovered.	Partially Implemented	California Correctional Health Care Services
16. Establish a system for correcting mischarged leave in the leave accounting system and for reviewing errors with the responsible employee whenever mischarged leave hours are discovered.	Partially Implemented	Department of Corrections and Rehabilitation

Report Number 2013-030

State Bar of California: It Complies With Contracting Requirements, but It Could Improve Certain Practices to Ensure It Receives Best Value (July 2013)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that it seeks the best value for its contracts, the State Bar should implement its draft procedures that require its contract managers to document their efforts to determine that the costs for exempt contracts are reasonable.	Partially Implemented	State Bar of California
2. To provide for informed decision making when contracting with consultants, the State Bar should implement its draft procedures that require its contract managers to perform and document a post-contract evaluation of consulting contracts with a value greater than \$5,000.	Partially Implemented	State Bar of California

Report Number 2013-103

Armed Persons With Mental Illness: Insufficient Outreach From the Department of Justice and Poor Reporting From Superior Courts Limit the Identification of Armed Persons With Mental Illness (October 2013)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that it has the necessary information to identify armed prohibited persons with mental illness, Justice should coordinate with the AOC at least once a year to share information about court reporting levels and to determine the need to distribute additional information to courts about reporting requirements and the manner in which to report. In coordinating with the AOC about potential underreporting, at a minimum Justice should consider trends in the number of reports each court sends and the number of reports that it might expect to receive from a court given the court's size, location, and reporting history. Whenever Justice identifies a court that it determines may not be reporting all required information, it should request that the court forward all required case information.	Partially Implemented	Department of Justice
2. AOC should coordinate with Justice at least once a year to obtain information about court reporting levels. Using that information, AOC should provide technical assistance to the courts that do not appear to be complying with state law's requirement to report prohibited individuals and assist the courts in taking appropriate steps to ensure compliance.	Partially Implemented	Administrative Office of the Courts
3. To ensure that it is properly reporting to Justice individuals posing a danger to themselves or others, San Francisco Court should work with the district attorney and the Office of Conservatorship Services to ensure that the court is sufficiently considering whether individuals should be prohibited from possessing a firearm. Where appropriate, the court should include prohibitive language in orders relating to those cases and promptly report these individuals to Justice.	Partially Implemented	Superior Court of California, County of San Francisco
4. To ensure that it is reporting all required individuals to Justice, Los Angeles Court should, by December 31, 2013, revise its new procedures at the Mental Health Courthouse to discuss quality control steps, such as a supervisory review and other monitoring processes, that would ensure that it is reporting all required determinations. Los Angeles Court should implement the revised procedures so that it reports all types of court determinations state law requires.	Partially Implemented	Superior Court of California, County of Los Angeles
5. To ensure that it is reporting all court determinations that prohibit an individual from possessing a firearm, by December 31, 2013, Los Angeles Court's Criminal Justice Center should revise its court procedures regarding these determinations so that court administrative staff are notified when a finding related to mental competency occurs.	Partially Implemented	Superior Court of California, County of Los Angeles

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
6. Los Angeles Court should review its compliance with state law's firearm prohibition reporting requirements at each of the other courthouse locations within its court and make the necessary adjustments to courthouse policies and practices so that it fully complies with state law by March 31, 2014.	Partially Implemented	Superior Court of California, County of Los Angeles
7. To ensure that it reports all required prohibited persons to Justice, San Bernardino Court should implement its new procedures for both its criminal and its probate divisions at the central courthouse by December 31, 2013, so that it reports all types of court determinations state law requires.	Fully Implemented	Superior Court of California, County of San Bernardino
8. San Bernardino Court should review its compliance with state law's firearm prohibition reporting requirements at each of the other courthouse locations within its court and make the necessary adjustments to courthouse policies and practices so that it fully complies with state law by March 31, 2014.	Fully Implemented	Superior Court of California, County of San Bernardino
9. To ensure that it reports all required prohibited persons to Justice, Santa Clara Court's probate division should revise its court policies and practices by December 31, 2013, so that it reports all types of court determinations state law requires. Further, Santa Clara Court's criminal division at its Hall of Justice should follow its new reporting and monitoring procedures to ensure that it reports all required determinations to Justice.	Partially Implemented	Superior Court of California, County of Santa Clara
10. Santa Clara Court should review its compliance with state law's firearm prohibition reporting requirements at each of the other courthouse locations within its court and make the necessary adjustments to courthouse policies and practices so that it fully complies with state law by March 31, 2014.	Fully Implemented	Superior Court of California, County of Santa Clara
12. Los Angeles, San Bernardino, and Santa Clara courts should follow the requirements in state law related to how quickly to report individuals to Justice.	Partially Implemented	Superior Court of California, County of Los Angeles
13. Los Angeles, San Bernardino, and Santa Clara courts should follow the requirements in state law related to how quickly to report individuals to Justice.	Pending	Superior Court of California, County of San Bernardino
14. Los Angeles, San Bernardino, and Santa Clara courts should follow the requirements in state law related to how quickly to report individuals to Justice.	Fully Implemented	Superior Court of California, County of Santa Clara
15. To ensure that it keeps an accurate and up-to-date list of all mental health facilities that are required to report individuals with mental illness, at least twice a year Justice should update its outreach list of mental health facilities by obtaining a list of facilities from Health Care Services.	Partially Implemented	Department of Justice
16. As soon as it identifies mental health facilities that have not yet received information about reporting requirements and the online reporting system, Justice should send these facilities the related information.	Pending	Department of Justice
17. To ensure that it continues to receive information from facilities that currently report individuals with mental illness and that should continue to report such individuals, by January 31, 2014, and at least twice a year thereafter, Justice should implement a review of the number of reports it receives from individual mental health facilities. These reviews should focus on identifying any significant drops in a facility's reporting levels and include follow up with facilities that may require additional assistance in reporting.	Partially Implemented	Department of Justice
18. To ensure that all applicable information from State Hospitals is communicated to Justice, by March 31, 2014, Justice and State Hospitals should establish a written understanding of the method and frequency with which State Hospitals will report prohibited individuals to Justice.	Partially Implemented	Department of Justice
20. To ensure that it makes correct determinations about whether an individual is an armed prohibited person, by January 31, 2014, Justice should implement quality control procedures over APPS unit staff determinations. These procedures should include periodic supervisory review of staff determinations to ensure that staff decisions correctly identify all armed prohibited persons.	Pending	Department of Justice
21. To maximize Justice's ability to identify armed prohibited persons, Justice should pursue a cost-effective method of reviewing alias information in the DMV database.	Partially Implemented	Department of Justice
22. To ensure that its implementation of reviews of armed prohibited persons is consistent with state law, Justice should seek legislative change to confirm whether its practice of reviewing firearm records only back to 1996 is appropriate.	Pending	Department of Justice

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
23. To reduce the risk that it may not identify an armed prohibited person, Justice should revise its electronic matching process to use all personal identifying numbers available in its databases.	Partially Implemented	Department of Justice
24. To ensure that timely information is available for its efforts to identify armed prohibited persons and confiscate their firearms, Justice should manage staff priorities to meet both its statutory deadline for firearms background checks and its internal deadline for initially reviewing potential prohibited persons. Justice should report annually to the Legislature about the backlog of unreviewed potential prohibited persons and what factors have prohibited it from efficiently reviewing these persons.	Pending	Department of Justice
25. To ensure that potential armed prohibited person cases do not wait too long for their first review by the APPS unit, by December 31, 2013, Justice should revise its goal for the daily queue to a more challenging level of no more than a maximum of 400 to 600 cases. Justice should monitor its performance against this goal and manage staff priorities as needed to meet it.	Partially Implemented	Department of Justice
26. To ensure that it can adequately demonstrate that it has made efforts to address outstanding APPS database cases, Justice should require APPS unit staff to document key efforts to resolve these cases and retain this documentation.	Partially Implemented	Department of Justice
27. To ensure that it regularly follows up and attempts to resolve APPS database cases that remain outstanding, by December 31, 2013, Justice should establish a specific time interval for how long cases can remain pending for review before becoming a higher priority for follow-up work and how often, at a minimum, its staff should perform follow-up work on these higher priority cases. Justice should establish a written policy that addresses both of these expectations.	Pending	Department of Justice
28. To ensure that it meets its goal of eliminating the historical backlog of reviewing firearms owners by the end of 2016, Justice should manage its staff resources to continually address the backlog, and should notify the Legislature if it believes that it will not be able to fully process this backlog by its goal date. To help guide this effort, Justice should establish benchmarks that will indicate whether it is on track to meet its goal.	Partially Implemented	Department of Justice
29. To ensure that it processes all reports it receives about persons with mental illness, by January 31, 2014, Justice's mental health unit should develop and implement quality control procedures over staff entry of reports into the mental health database. These procedures should include periodic supervisory review to ensure that all reports are entered correctly. Additionally, Justice should conduct a supervisory review of all staff decisions to delete records from the database before their deletion.	Partially Implemented	Department of Justice
30. To ensure that mental health determinations reported to its criminal information unit are quickly available for review, Justice should assess whether the criminal information unit can prioritize the entry of reports regarding mental health determinations without a negative effect on the entry of all other criminal information into its system.	Partially Implemented	Department of Justice
31. To ensure that information about individuals with mental illness does not go unexamined, Justice should document its effort to offer training to mental health facilities that continue to report on paper, and it should ensure that individuals whom these facilities report on paper are promptly entered into the mental health database.	Pending	Department of Justice
32. To ensure that it retains appropriate records related to mental health firearms prohibitions, by March 31, 2014, Justice should review its record retention schedule for documents used by the mental health unit and adjust any retention periods it determines are inappropriate. Justice should then ensure that its mental health unit follows its retention schedule.	Partially Implemented	Department of Justice
33. Justice should update and maintain its system documentation for the mental health and APPS databases to ensure that it can efficiently and effectively address modifications and questions about these databases.	Pending	Department of Justice
34. To ensure that it fully supports its decision to apply federal prohibition terms to individuals, Justice should review all applicable federal and state laws and continue to seek clarification from the ATF and any other appropriate federal agencies to determine whether California's firearms restoration process meets federal criteria and, if not, why it does not. Justice should issue a report to the Legislature, within one year, detailing the results of its review and, if applicable, communicate why California's restoration process does not meet federal criteria and the impact that it has on prohibited persons who live in California.	Partially Implemented	Department of Justice

Report Number 2013-302/2013-303		
<i>Judicial Branch Procurement: Semiannual Reports to the Legislature Are of Limited Usefulness, Information Systems Have Weak Controls, and Certain Improvements in Procurement Practices Are Needed (December 2013)</i>		

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To improve the usefulness of the Judicial Council's semiannual reports until a statutory requirement is enacted, the AOC should work with the Judicial Council to pursue a cost-effective method to provide the semiannual reports in an electronic format that can be read by common database and spreadsheet software products that allow users to readily sort and filter the data, beginning with the semiannual report covering the July 1, 2013, through December 31, 2013, reporting period.	Pending [†]	Administrative Office of the Courts
3. To improve the usefulness of the Judicial Council's semiannual reports until a statutory requirement is enacted, the AOC should work with the Judicial Council to pursue a cost-effective method to include new contracts and the complete history of contracts amended during the reporting period in the semiannual reports, including the date of the original contract; the original contract amount and duration; all subsequent contract amendments; and the date, amount, and duration of each such amendment. The AOC should present this information beginning with the semiannual report covering the July 1, 2014, through December 31, 2014, reporting period.	Pending [†]	Administrative Office of the Courts
4. To improve the usefulness of the Judicial Council's semiannual reports until a statutory requirement is enacted, the AOC should work with the Judicial Council to pursue a cost-effective method to begin tracking additional information in its data systems for inclusion in the semiannual reports. This information should include whether a contract was competitively bid, the justification if it was not competitively bid, and whether the contract was with a Disabled Veteran Business Enterprise. For information technology contracts, the AOC should identify whether the contract was with a small business. The AOC should present this information beginning with the semiannual report covering the July 1, 2014, through December 31, 2014, reporting period.	Pending [†]	Administrative Office of the Courts
5. The AOC should implement all of the best practices related to general and business process application controls as outlined in the U.S. Government Accountability Office's Federal Information System Controls Audit Manual no later than December 31, 2014, thereby strengthening and continuously monitoring the effectiveness of the controls over its information systems. In addition, the AOC should immediately begin implementing improvements to its controls over access to its information systems and place these improvements into effect by February 2014. Finally, the AOC should provide guidance and routinely follow up with the superior courts—requiring updates every six months until all identified issues are corrected—to ensure that they make the necessary improvements to their general and business process application controls.	Pending [†]	Administrative Office of the Courts
6. The AOC, the Supreme Court, and the first, second, and fourth districts should implement procedures to ensure that they follow a competitive process for their procurements when required.	Pending [†]	Administrative Office of the Courts
7. The AOC, the Supreme Court, and the first, second, and fourth districts should implement procedures to ensure that they follow a competitive process for their procurements when required.	Pending [†]	Court of Appeal, First District
8. The AOC, the Supreme Court, and the first, second, and fourth districts should implement procedures to ensure that they follow a competitive process for their procurements when required.	Pending [†]	Court of Appeal, Fourth District
9. The AOC, the Supreme Court, and the first, second, and fourth districts should implement procedures to ensure that they follow a competitive process for their procurements when required.	Pending [†]	Court of Appeal, Second District
10. The AOC, the Supreme Court, and the first, second, and fourth districts should implement procedures to ensure that they follow a competitive process for their procurements when required.	Pending [†]	Supreme Court of California
11. The AOC should implement procedures to ensure that agreements it considers LPAs include in their terms and conditions language that expressly allows other judicial entities to use them.	Pending [†]	Administrative Office of the Courts
12. The AOC should provide additional training to its staff and the judicial entities on how to conduct procurements in compliance with the judicial contracting manual.	Pending [†]	Administrative Office of the Courts

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
13. The AOC should revise the judicial contracting manual to require judicial entities to maintain documentation on their determinations of fair and reasonable pricing for purchases under \$5,000.	Pending [†]	Administrative Office of the Courts
14. The first, fifth, and sixth districts should develop procedures to ensure that they consistently maintain documentation of their determinations that the pricing obtained is fair and reasonable for procurements under \$5,000.	Pending [†]	Court of Appeal, Fifth District
15. The first, fifth, and sixth districts should develop procedures to ensure that they consistently maintain documentation of their determinations that the pricing obtained is fair and reasonable for procurements under \$5,000.	Pending [†]	Court of Appeal, First District
16. The first, fifth, and sixth districts should develop procedures to ensure that they consistently maintain documentation of their determinations that the pricing obtained is fair and reasonable for procurements under \$5,000.	Pending [†]	Court of Appeal, Sixth District
17. The AOC should revise the judicial contracting manual to require that judicial entities maintain documentation for their evaluation and selection process used for competitive procurements. The AOC should also strengthen its procedures to ensure that bid evaluations are conducted properly and calculated correctly.	Pending [†]	Administrative Office of the Courts
18. The first and fifth districts should implement procedures to ensure that they consistently document their evaluation and selection process for procurements.	Pending [†]	Court of Appeal, Fifth District
19. The first and fifth districts should implement procedures to ensure that they consistently document their evaluation and selection process for procurements.	Pending [†]	Court of Appeal, First District
20. The AOC, HCRC, Supreme Court, and fourth and fifth districts should implement procedures to ensure that required noncompetitive procurement processes, such as preparing justifications and obtaining approval for sole-source procurements, are properly documented. Additionally, the AOC should ensure that it prepares the appropriate documentation when it amends a contract that it has competitively solicited and the amendment includes a change that was not evaluated in the original competitive process.	Pending [†]	Administrative Office of the Courts
21. The AOC, HCRC, Supreme Court, and fourth and fifth districts should implement procedures to ensure that required noncompetitive procurement processes, such as preparing justifications and obtaining approval for sole-source procurements, are properly documented.	Pending [†]	Court of Appeal, Fifth District
22. The AOC, HCRC, Supreme Court, and fourth and fifth districts should implement procedures to ensure that required noncompetitive procurement processes, such as preparing justifications and obtaining approval for sole-source procurements, are properly documented.	Pending [†]	Court of Appeal, Fourth District
23. The AOC, HCRC, Supreme Court, and fourth and fifth districts should implement procedures to ensure that required noncompetitive procurement processes, such as preparing justifications and obtaining approval for sole-source procurements, are properly documented.	Pending [†]	Habeas Corpus Resource Center
24. The AOC, HCRC, Supreme Court, and fourth and fifth districts should implement procedures to ensure that required noncompetitive procurement processes, such as preparing justifications and obtaining approval for sole-source procurements, are properly documented.	Pending [†]	Supreme Court of California
25. The AOC should implement procedures to ensure that its internal controls over payments are followed and that procurements are approved before ordering and receiving goods and services.	Pending [†]	Administrative Office of the Courts
26. The AOC should implement its plan to review sections of the California Public Contract Code, <i>State Administrative Manual</i> , and <i>State Contracting Manual</i> applicable to the judicial branch annually, and more often if there are significant changes, and update the judicial contracting manual as needed. Unless the judicial contracting manual removes the requirement, the AOC should also update its local manual to address construction activities for facilities other than trial courts.	Pending [†]	Administrative Office of the Courts

* Prior to 2014-406, this special report to the Assembly and Budget Subcommittees only reflected the entities' 60-day, six-month, or one-year responses. Beginning this year, we are reporting the most current response we have on file. For audits released between January and October 2012, this may include the entities' annual follow-up responses, which were previously published in our January 2014 report, *Recommendations Not Fully Implemented After One Year: The Omnibus Audit Accountability Act of 2006*. The status comments for these annual follow-up responses only include Fully Implemented, Resolved, Not Fully Implemented, and Will Not Implement.

† The status of recommendations for audits issued between November and December 2013 is based on the agencies' initial response, which is included in the original audit report, available on the California State Auditor's Web site: www.auditor.ca.gov.