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Table 1
Recommendation Status Summary

Senate Budget Subcommittee 5 on Corrections, Public Safety and the Judiciary		
Report Number 2012-301		
<i>Judicial Branch Procurement: Six Superior Courts Generally Complied With the Judicial Branch Contracting Law, but They Could Improve Some Policies and Practices (March 2013)</i>		
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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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 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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully Implemented	Corrections and Rehabilitation, Department of
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.	Fully Implemented	Department of Corrections and Rehabilitation

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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
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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully 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.	Fully Implemented	Superior Court of California, County of San Francisco

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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.	Fully 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.	Fully Implemented	Superior Court of California, County of Los Angeles
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.	Fully 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.	Fully 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
11. The Legislature should amend state law to specify that all mental health-related prohibiting events must be reported to Justice within 24 hours regardless of the entity required to report.	Partially Implemented	Legislature
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.	Fully 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.	Fully Implemented	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.	Fully 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.	Fully Implemented	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.	Fully Implemented	Department of Justice

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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.	Fully 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.	Fully Implemented	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.	Fully 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.	Fully Implemented	Department of Justice
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.	Fully 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.	Fully 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.	Fully Implemented	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.	Fully 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.	Fully 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.	Fully Implemented	Department of Justice

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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.	Fully 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 Numbers
2013-302/2013-303

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)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To improve the usefulness of the Judicial Council's semiannual reports, the Legislature should amend the Judicial Branch Contract Law to require the Judicial Council to: <ul style="list-style-type: none"> • Make the semiannual reports available 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. • Include new contracts and the complete history of contracts amended during the reporting period in its 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. • Include information on 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 Judicial Council should identify whether the contract was with a small business. 	No Action Taken	Legislature
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.	Will Not Implement	Administrative Office of the Courts

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
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.	Will Not Implement	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.	Partially Implemented	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.	Partially Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Partially Implemented	Administrative Office of the Courts
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.	Will Not Implement	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Will Not Implement	Administrative Office of the Courts

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
18. The first and fifth districts should implement procedures to ensure that they consistently document their evaluation and selection process for procurements.	Fully Implemented	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.	Fully Implemented	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.	Partially Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	Fully Implemented	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.	No Action Taken	Administrative Office of the Courts
26. The AOC should implement its plan to review sections of the California Public Contract Code, SAM, and SCM 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.	Fully Implemented	Administrative Office of the Courts

Report Number 2013-115

Disabled Veteran Business Enterprise Program: Meaningful Performance Standards and Better Guidance by the California Departments of General Services and Veterans Affairs Would Strengthen the Program (February 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
5. To ensure it has maximized the effectiveness of the DVBE incentive, Corrections should implement measures to help ensure that it applies the DVBE incentive to all applicable contracts and procurements and that these measures include documented policies and procedures and/or training to procurement staff on properly applying the DVBE incentive.	Fully Implemented	Department of Corrections and Rehabilitation

Report Number 2013-120

Sterilization of Female Inmates: Some Inmates Were Sterilized Unlawfully, and Safeguards Designed to Limit Occurrences of the Procedure Failed (June 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the necessary education and disciplinary action can be taken, the Receiver's Office should report to the California Department of Public Health, which licenses general acute care hospitals, and the Medical Board of California, which licenses physicians, the names of all hospitals and physicians associated with inmates' bilateral tubal ligations during fiscal years 2005-06 through 2012-13 for which consent was unlawfully obtained. The Receiver's Office should make these referrals as soon as is practicable.	Fully Implemented	California Correctional Health Care Services

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include providing additional training to prison medical staff regarding Title 22 requirements for obtaining informed consent for sterilization procedures, including the applicable forms and mandatory waiting period requirements, to ensure that consent is lawfully obtained.	Partially Implemented	California Correctional Health Care Services
3. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include developing checklists or other tools that prison medical staff can use to ensure that medical procedures are not scheduled until after the applicable waiting periods for sterilization have been satisfied.	Partially Implemented	California Correctional Health Care Services
4. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include periodically reviewing, on a consistent basis, a sample of cases in which inmates received treatment resulting in sterilization at general acute care hospitals, to ensure that all informed consent requirements were satisfied.	Partially Implemented	California Correctional Health Care Services
5. To ensure that it can better monitor how its medical staff and contractors adhere to the informed consent requirements of Title 22, sections 70707.1 through 70707.7, the Receiver's Office should develop a plan by August 2014 to implement a process by December 2014 that would include working with Corrections to establish a process whereby inmates can have witnesses of their choice when consenting to sterilization, as required by Title 22, or working to revise such requirements so that there is an appropriate balance between the need for secure custody and the inmate's ability to have a witness of her choice.	Pending	California Correctional Health Care Services
6. Until such time as the Receiver's Office implements a process for obtaining inmate consent for sterilization under Title 22 that complies with all aspects of the regulations, it should discontinue its practice of facilitating an inmate's consent for sterilization in the prison and allow the general acute care hospital to obtain an inmates consent.	Pending	California Correctional Health Care Services
7. To improve the quality of the information prison medical staff document in inmate medical records, the Receiver's Office should train its entire medical staff on its policy in the inmate medical procedures related to appropriate documentation in inmates' medical records. This training should be completed by December 31, 2014.	Pending	California Correctional Health Care Services
8. To improve the quality of the information prison medical staff document in inmate medical records, the Receiver's Office should either develop or incorporate into an existing process a means by which it evaluates prison medical staffs' documentation in inmates' medical records and retrains medical staff as necessary. The Receiver's Office should develop and implement this process by June 30, 2015.	Fully Implemented	California Correctional Health Care Services
9. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should develop processes by August 31, 2014, such that a procedure that may result in sterilization is not scheduled unless the procedure is approved at the necessary level of the utilization management process.	Fully Implemented	California Correctional Health Care Services
10. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should by October 31, 2014, train its scheduling staff to verify that the appropriate utilization management approvals are documented before they schedule a procedure that may result in sterilization.	Pending	California Correctional Health Care Services
11. To ensure that inmates receive only medical services that are authorized through its utilization management process, the Receiver's Office should ensure that the computer system it procures includes functionality to electronically link medical scheduling with authorization through the utilization management process to prevent all unauthorized procedures, regardless of whether they may result in sterilization, from being scheduled.	Pending	California Correctional Health Care Services

Report Number 2014-109*Sexual Assault Evidence Kits: Although Testing All Kits Could Benefit Sexual Assault Investigations, the Extent of the Benefits Is Unknown (October 2014)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that sexual assault evidence kits are not overlooked and the reason why they are not sent for analysis is clear, by December 1, 2014, the Oakland Police Department should adopt a policy that requires investigators to document the reason they do not submit a request for sexual assault evidence kit analysis to a crime lab.	Fully Implemented	Oakland Police Department
2. To ensure that sexual assault evidence kits are not overlooked and the reason why they are not sent for analysis is clear, by December 1, 2014, the San Diego Police Department should adopt a policy that requires investigators to document the reason they do not submit a request for sexual assault evidence kit analysis to a crime lab.	Fully Implemented	San Diego Police Department
3. To ensure that it maximizes the amount of time available for prosecuting sexual offenses, by December 1, 2014, the Oakland Police Department should formalize in a policy document its new practice of analyzing sexual assault evidence kits within two weeks of the department receiving the kits into evidence, and it should continue to implement that policy.	Fully Implemented	Oakland Police Department
4. To report to the Legislature about the effectiveness of its RADS program and to better inform decisions about expanding the number of analyzed sexual assault evidence kits, Justice should amend its agreements with the counties participating in the RADS program to require those counties to report case outcome information, such as arrests and convictions for the sexual assault evidence kits Justice has analyzed under the program. Justice should then report annually to the Legislature about those case outcomes.	Pending	Department of Justice
5. To establish more comprehensive information about sexual assault evidence kits, specifically the number of kits collected and the number of kits analyzed across the State, the Legislature should direct law enforcement agencies to report to Justice annually how many sexual assault evidence kits they collect and how many kits they analyze each year. The Legislature should also require an annual report from Justice that details this information.	No Action Taken	Legislature
6. To provide the Legislature and the public with more complete information about agency decisions not to analyze sexual assault evidence kits, the Legislature should direct agencies to report annually to Justice their reasons for not analyzing sexual assault evidence kits. The Legislature should require an annual report from Justice that details this information.	No Action Taken	Legislature
7. To ensure that agencies preserve the option to extend the statute of limitations in unknown assailant cases, the Legislature should require law enforcement agencies to submit sexual assault evidence kits to a crime lab for analysis in all cases where the identity of the assailant is unknown, and it should require the labs to complete analysis of those sexual assault evidence kits within two years of the date of the associated offense. The Legislature should exempt from this requirement all cases where victims specifically request that law enforcement not analyze their kit, as well as cases where investigators determine that no crime occurred.	No Action Taken	Legislature

Report Number 2014-301*Judicial Branch Procurement: Five Superior Courts Did Not Consistently Follow Judicial Branch Contracting Practices (November 2014)*

RECOMMENDATION	STATUS OF RECOMMENDATION*	ENTITY
1. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should establish clear procedures for ensuring that appropriate staff sign and authorize all payments prior to processing. It should ensure that staff follows these procedures and that managers do not approve payments above their authorized dollar limits.	Pending	Superior Court of California, County of Alameda
2. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should prohibit staff from purchasing unauthorized goods or services.	Pending	Superior Court of California, County of Alameda
3. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should only make advance payments under the conditions that the judicial contracting manual allows.	Pending	Superior Court of California, County of Alameda

RECOMMENDATION	STATUS OF RECOMMENDATION*	ENTITY
4. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should ensure that all purchases are for allowable purposes.	Pending	Superior Court of California, County of Alameda
5. To improve its payment practices and comply with the judicial contracting manual, the Alameda court should ensure that it adheres to the \$1,500 single transaction limit for all Cal-Card purchases.	Pending	Superior Court of California, County of Alameda
6. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should ensure that it either anticipates contracts expiring and competitively rebids them timely or establishes proper noncompetitive amendments to the contracts as the judicial contracting manual specifies.	Pending	Superior Court of California, County of Alameda
7. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into noncompetitive procurements.	Pending	Superior Court of California, County of Alameda
8. To improve its procurement practices and comply with the judicial contracting manual, the Alameda court should adopt procedures to implement the small business preference for competitive information technology procurements by December 31, 2014.	Pending	Superior Court of California, County of Alameda
9. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into sole-source contracts and to demonstrate that it received fair and reasonable prices.	Pending	Superior Court of California, County of Fresno
10. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should use the appropriate solicitation method for the dollar value of the procurements it seeks.	Pending	Superior Court of California, County of Fresno
11. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that it conducts competitive procurements when it establishes blanket purchase orders of \$5,000 or more.	Pending	Superior Court of California, County of Fresno
12. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should ensure that staff does not approve payments for amounts greater than their authorized limits.	Pending	Superior Court of California, County of Fresno
13. To improve its procurement practices and comply with the judicial contracting manual, the Fresno court should adopt procedures to implement the State's DVBE program and the small business preference for competitive information technology procurements by December 31, 2014.	Pending	Superior Court of California, County of Fresno
14. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should solicit competitive bids for procurements of \$5,000 or more when required to do so.	Pending	Superior Court of California, County of San Luis Obispo
15. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into noncompetitive procurements, including sole-source contracts.	Pending	Superior Court of California, County of San Luis Obispo
16. To improve its procurement practices and comply with the judicial contracting manual, the San Luis Obispo court should take steps to ensure that pricing it receives is fair and reasonable when it uses leveraged procurement agreements and document these steps in its procurement files.	Pending	Superior Court of California, County of San Luis Obispo
17. To improve its procurement practices and comply with the judicial contracting manual, the Yuba court should ensure that it maintains proper documentation in its procurement files to justify its decisions to enter into sole-source contracts.	Pending	Superior Court of California, County of Yuba

* The status of recommendations for audits issued between November and December 2014 is based on the agencies' initial response, which is included in the original audit report, available on the California State Auditor's (state auditor) Web site: www.auditor.ca.gov.