

Contents

Table 1

<i>Recommendation Status Summary</i>	1
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Subcommittee 4 on State Administration

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)	1
--	---

Report Number 2013-116 Los Angeles County: Lacking a Comprehensive Assessment of Its Trauma System, It Cannot Demonstrate That It Has Used Measure B Funds to Address the Most Pressing Trauma Needs (February 2014)	1
---	---

Report Number 2013-036 Indian Gaming Special Distribution Fund: Counties' Benefit Committees Did Not Always Comply With State Laws for Distribution Fund Grants (March 2014)	2
---	---

Report Number 2013-109 California Public Utilities Commission: Improved Monitoring of Balancing Accounts Would Better Ensure That Utility Rates Are Fair and Reasonable (March 2014)	4
---	---

Report Number I2012-0651 Employment Development Department: It Failed to Participate in a Federal Program That Would Have Allowed the State to Collect Hundreds of Millions of Dollars (March 2014)	5
--	---

Report Number 2013-130 California Public Utilities Commission: It Fails to Adequately Ensure Consumers' Transportation Safety and Does Not Appropriately Collect and Spend Fees From Passenger Carriers (June 2014)	6
--	---

Report Number 2014-502 Commission on Teacher Credentialing—Follow-Up Review (July 2014)	7
--	---

Report Number 2012-603 High Risk Update: State Agencies Credited Their Employees With Millions of Dollars Worth of Unearned Leave (August 2014)	7
--	---

Report Number 2014-101 Employment Development Department: It Should Improve Its Efforts to Minimize Avoidable Appeals of Its Eligibility Determinations for Unemployment Insurance Benefits (August 2014)	8
--	---

Report Number 2014-037 California Department of Housing and Community Development: Inconsistent Oversight Has Resulted in the Questionable Use of Some Housing Bond Funds (September 2014)	9
Report Number 2014-108 State Board of Equalization Building: Despite Ongoing Health and Safety Concerns, the State Has Not Thoroughly Analyzed the Costs and Benefits of Relocating Employees (September 2014)	10
Report Number 2014-119 City of Indio: Although the City Complied With the Mello-Roos Act in Forming and Managing Community Facilities District No. 2004-3, It Should Do More to Address Inequities (December 2014)	11
Report Number I2014-1 Investigations of Improper Activities by State Agencies and Employees (December 2014)	11
Report Number 2014-116 California Department of Consumer Affairs' BreEZe System: Inadequate Planning and Oversight Led to Implementation at Far Fewer Regulatory Entities at a Significantly Higher Cost (February 2015)	12
Report Number 2014-124 California's Alternative Energy and Efficiency Initiatives: Two Programs Are Meeting Some Goals, but Several Improvements Are Needed (February 2015)	14
Report Number 2014-602 High Risk Update—California Department of Technology: Lack of Guidance, Potentially Conflicting Roles, and Staffing Issues Continue to Make Oversight of State Information Technology Projects High Risk (March 2015)	14
Report Number 2014-120 California Public Utilities Commission: It Needs to Improve the Quality of Its Consumer Complaint Data and the Controls Over Its Information Systems (April 2015)	15
Report Number 2015-608 High Risk: State Departments Need to Improve Their Workforce and Succession Planning Efforts to Mitigate the Risks of Increasing Retirements (May 2015)	17
Report Number 2014-131 California State Government Websites: Departments Must Improve Website Accessibility So That Persons With Disabilities Have Comparable Access to State Services Online (June 2015)	17

Report Number 2015-505 Follow-Up—California Department of Veterans Affairs: Better Collection and Use of Data Would Improve Its Outreach Efforts, and It Needs to Strengthen Its Oversight of County Veterans Service Officer Programs (July 2015)	18
Report Number I2015-1 Investigations of Improper Activities by State Agencies and Employees (August 2015)	19
Report Number 2015-611 High Risk Update—Information Security: Many State Entities' Information Assets Are Potentially Vulnerable to Attack or Disruption (August 2015)	19
Report Number 2015-508 Follow-Up—Federal Workforce Investment Grants: The Employment Development Department Established Procedures for Seeking Discretionary Grants, but Needs to Strengthen Them (September 2015)	20

Table 1
Recommendation Status Summary

Assembly Budget Subcommittee 4 on State Administration		
Report Number 2013-115		
<i>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)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To ensure that the State enforces its contractual right to obtain a complete copy of its procurement data, General Services should take all necessary steps to ensure that it can extract a reliable copy of all of the State's procurement data from BidSync so that the data can be used and analyzed to the State's benefit. These steps should include testing that the data it obtains from BidSync is accurate and complete, and it should be completed before the end of the contract term with BidSync, in September 2014.	Fully Implemented	Department of General Services
7. To help ensure that General Services does not incorrectly report businesses that are not certified DVBEs, it should verify, at least on a sample basis for high-value contracts, the certification status of the DVBE firms before submitting their DVBE activity reports to General Services.	Fully Implemented	Department of General Services
9. To ensure CalVet is meeting its statutory obligations for the DVBE program, it should do the following: <ul style="list-style-type: none"> Develop stronger measures to evaluate its outreach efforts, including formalizing a process for interpreting and evaluating its DVBE survey results and incorporating those results into its DVBE outreach plan. Work more closely with awarding departments to help them meet the DVBE participation goals and promote DVBE contracting opportunities, including taking a more active role in leading DVBE advocate meetings and posting formal minutes from those meetings on its public website. 	Fully Implemented	Department of Veterans Affairs

Report Number 2013-116		
<i>Los Angeles County: Lacking a Comprehensive Assessment of Its Trauma System, It Cannot Demonstrate That It Has Used Measure B Funds to Address the Most Pressing Trauma Needs (February 2014)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To determine whether its trauma system is appropriately designed and serving the needs of residents in underserved areas and the needs of the most at-risk populations, the board should use Measure B funds to engage the College of Surgeons by July 2014 to perform a comprehensive assessment of the trauma system and then make the results available to the public. To the extent the assessment identifies weaknesses in the trauma system, the board should develop strategies to address those weaknesses where feasible. Specifically, the board should ask the College of Surgeons to assist the board in better defining and identifying underserved areas in Los Angeles.	Will Not Implement	Los Angeles County
2. To determine whether its trauma system is appropriately designed and serving the needs of residents in underserved areas and the needs of the most at-risk populations, the board should use Measure B funds to engage the College of Surgeons by July 2014 to perform a comprehensive assessment of the trauma system and then make the results available to the public. To the extent the assessment identifies weaknesses in the trauma system, the board should develop strategies to address those weaknesses where feasible. Specifically, the board should ask the College of Surgeons to review Measure B allocations to ensure that they are addressing the most pressing needs of at-risk populations in Los Angeles.	Will Not Implement	Los Angeles County

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
3. To determine whether its trauma system is appropriately designed and serving the needs of residents in underserved areas and the needs of the most at-risk populations, the board should use Measure B funds to engage the College of Surgeons by July 2014 to perform a comprehensive assessment of the trauma system and then make the results available to the public. To the extent the assessment identifies weaknesses in the trauma system, the board should develop strategies to address those weaknesses where feasible. Specifically, the board should ask the College of Surgeons to assess the adequacy of helicopter services it provides in underserved areas.	Will Not Implement	Los Angeles County
4. To determine whether its trauma system is appropriately designed and serving the needs of residents in underserved areas and the needs of the most at-risk populations, the board should use Measure B funds to engage the College of Surgeons by July 2014 to perform a comprehensive assessment of the trauma system and then make the results available to the public. To the extent the assessment identifies weaknesses in the trauma system, the board should develop strategies to address those weaknesses where feasible. Specifically, the board should ask the College of Surgeons to analyze how EMS might better use the data it collects to evaluate, improve, and report continuously on its trauma system.	Will Not Implement	Los Angeles County
5. To ensure that it allocates Measure B funds to address the most significant needs of residents within its trauma system, the board should reinstate a Measure B oversight committee, with participation from departments with trauma, EMS, and bioterrorism preparedness expertise, as well as representatives of the public. The oversight committee should review trauma system and other county needs annually and advise the board on Measure B expenditures. As part of its responsibilities, the oversight committee should reevaluate the Measure B allocation approach, taking into consideration the results of Los Angeles's comprehensive assessment and the effects of the Act, and issue a report on its findings no later than December 2015.	Not Fully Implemented	Los Angeles County
6. To determine the adequacy and effectiveness of the helicopter services it provides to residents of underserved areas who suffer a trauma injury, EMS should collect, assess, and report accurate and complete data on the number of flights flown by each provider to underserved areas	Fully Implemented	Los Angeles Emergency Medical Services Agency
7. To determine the adequacy and effectiveness of the helicopter services it provides to residents of underserved areas who suffer a trauma injury, EMS should collect, assess, and report accurate and complete data on the time it takes to transport each trauma patient.	Fully Implemented	Los Angeles Emergency Medical Services Agency
8. To determine the adequacy and effectiveness of the helicopter services it provides to residents of underserved areas who suffer a trauma injury, EMS should collect, assess, and report accurate and complete data on the health outcomes, including mortality rates, of trauma patients transported by helicopter.	Fully Implemented	Los Angeles Emergency Medical Services Agency
9. To determine the adequacy and effectiveness of the helicopter services it provides to residents of underserved areas who suffer a trauma injury, EMS should collect, assess, and report accurate and complete data on the number of cancelled flights in each of these underserved areas, including the method of transportation used instead of helicopters and the transport times and trauma patient outcomes.	Not Fully Implemented	Los Angeles Emergency Medical Services Agency
10. Los Angeles should undertake formal discussions with Pomona's management regarding the hospital becoming a trauma center. In doing so, Los Angeles should analyze its current Measure B allocations to determine whether financial opportunities exist that would meet the needs of Pomona and present the resulting analysis to Pomona. Further, it should document its efforts and the resulting outcome so that both voters and taxpayers are aware of the diligence Los Angeles has undertaken in fulfilling the spirit of Measure B.	Fully Implemented	Los Angeles County

Report Number 2013-036**Indian Gaming Special Distribution Fund: Counties' Benefit Committees Did Not Always Comply With State Laws for Distribution Fund Grants (March 2014)**

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To comply with state law, benefit committees should ensure that they obtain sufficient documentation from grant applicants to demonstrate that proposed projects mitigate casino impacts. If applicable, that documentation should demonstrate that the requested funding represents a correct proportionate share of the costs attributable to casino impacts.	Fully Implemented	Butte County

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To comply with state law, benefit committees should ensure that they obtain sufficient documentation from grant applicants to demonstrate that proposed projects mitigate casino impacts. If applicable, that documentation should demonstrate that the requested funding represents a correct proportionate share of the costs attributable to casino impacts.	Fully Implemented	Lake County
3. To comply with state law, benefit committees should ensure that they obtain sufficient documentation from grant applicants to demonstrate that proposed projects mitigate casino impacts. If applicable, that documentation should demonstrate that the requested funding represents a correct proportionate share of the costs attributable to casino impacts.	Not Fully Implemented	Riverside County
4. To comply with state law, benefit committees should ensure that they obtain sufficient documentation from grant applicants to demonstrate that proposed projects mitigate casino impacts. If applicable, that documentation should demonstrate that the requested funding represents a correct proportionate share of the costs attributable to casino impacts.	Fully Implemented	San Diego County
5. To comply with state law requiring it to reserve specific amounts of mitigation grant funds for local government jurisdictions based on the nexus criteria, Butte County's benefit committee should correct its determinations of nexus eligibility for the city of Oroville and Butte County by April 1, 2014.	Fully Implemented	Butte County
6. To comply with state law requiring it to reserve specific amounts of mitigation grant funds for local government jurisdictions based on the nexus criteria, Butte County's benefit committee should ensure that it awards the minimum funding to each local government jurisdiction consistent with its corrected nexus determinations.	Fully Implemented	Butte County
7. To ensure that grant recipients comply with state law concerning interest earned on mitigation grant funds, by June 2014, the Butte County benefit committee should establish policies and procedures to verify that grant recipients have placed grant awards in interest-bearing accounts, and that the interest is spent only on activities that mitigate the effect of tribal gaming on local jurisdictions.	Partially Implemented	Butte County
8. To ensure that grant recipients comply with state law concerning interest earned on mitigation grant funds, by June 2014, the Lake County benefit committee should establish policies and procedures to verify that grant recipients have placed grant awards in interest-bearing accounts, and that the interest is spent only on activities that mitigate the effect of tribal gaming on local jurisdictions.	Fully Implemented	Lake County
9. If San Diego County's benefit committee believes that its processes for distributing grant funds are vital to its effective management of distribution fund grants, it should seek legislative authority to change its process. Otherwise, San Diego County's benefit committee should instruct the Controller to release funds directly to the grant recipients.	Resolved	San Diego County
10. If San Diego County's benefit committee believes that its processes for distributing grant funds are vital to its effective management of distribution fund grants, it should seek legislative authority to change its process. Otherwise, San Diego County's benefit committee should refrain from placing limits on the time available for grant recipients to spend the grant funds.	Will Not Implement	San Diego County
11. Unless the Legislature amends current state law, the Controller should implement its plan to modify its distribution process beginning with fiscal year 2013–14 grant awards to ensure that it only releases funds directly to approved grant recipients.	Fully Implemented	State Controller's Office
12. To comply with the reform act, Butte County's benefit committee should adopt a conflict code and appoint a filing officer by June 2014.	Fully Implemented	Butte County
13. To comply with the reform act, the benefit committee for San Diego County should review staff responsibilities to ensure that its conflict code requires all individuals participating in or making governmental decisions to disclose reportable interests.	Fully Implemented	San Diego County
14. To comply with the reform act, the benefit committee for Riverside County should review staff responsibilities to ensure that its conflict code requires all individuals participating in or making governmental decisions to disclose reportable interests.	Fully Implemented	Riverside County
15. To comply with the reform act, the benefit committee for Butte County once it adopts its conflict code, should review staff responsibilities to ensure that its conflict code requires all individuals participating in or making governmental decisions to disclose reportable interests.	Fully Implemented	Butte County

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. To ensure that the benefit committee members and other designated individuals comply with reform act requirements for filing statements of economic interests, the Lake, Riverside, and San Diego benefit committees filing officers should attend FPPC training so that they are aware of and meet the responsibilities under the reform act. Each of these benefit committees should also establish a formal process for ensuring that all required individuals file statements of economic interests. For example, each benefit committees filing officer should notify designated individuals of their responsibility to submit statements of economic interests and follow up with those who fail to file.	Resolved	Lake County
17. To ensure that the benefit committee members and other designated individuals comply with reform act requirements for filing statements of economic interests, the Lake, Riverside, and San Diego benefit committees filing officers should attend FPPC training so that they are aware of and meet the responsibilities under the reform act. Each of these benefit committees should also establish a formal process for ensuring that all required individuals file statements of economic interests. For example, each benefit committees filing officer should notify designated individuals of their responsibility to submit statements of economic interests and follow up with those who fail to file.	Fully Implemented	Riverside County
18. To ensure that the benefit committee members and other designated individuals comply with reform act requirements for filing statements of economic interests, the Lake, Riverside, and San Diego benefit committees filing officers should attend FPPC training so that they are aware of and meet the responsibilities under the reform act. Each of these benefit committees should also establish a formal process for ensuring that all required individuals file statements of economic interests. For example, each benefit committees filing officer should notify designated individuals of their responsibility to submit statements of economic interests and follow up with those who fail to file.	Fully Implemented	San Diego County
19. To ensure that the benefit committee members and other designated individuals comply with reform act requirements for filing statements of economic interests, after Butte County's benefit committee has appointed a filing officer, the filing officer should attend FPPC training and notify designated individuals of their responsibility to submit statements of economic interests and follow up with those who fail to file.	Not Fully Implemented	Butte County

Report Number 2013-109

California Public Utilities Commission: Improved Monitoring of Balancing Accounts Would Better Ensure That Utility Rates Are Fair and Reasonable (March 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
3. To ensure that it has the necessary information to provide appropriate oversight of the balancing accounts, the Public Utilities Commission (commission) should maintain accurate and timely information on utility balancing accounts. Specifically, it should regularly update its list of balancing accounts when the commission issues decisions authorizing opening new balancing accounts or closing existing balancing accounts, when utilities file balancing account updates, and when the commission performs reviews of balancing accounts.	Fully Implemented	California Public Utilities Commission
4. To ensure that it has the necessary information to provide appropriate oversight of the balancing accounts, the commission should maintain accurate and timely information on utility balancing accounts. Specifically, it should use the list to guide its efforts to oversee balancing accounts more effectively, by using a risk-based approach to select a sufficient number of balancing accounts, as well as those with the most potential impact on ratepayers, for review each year to provide appropriate coverage over all regulated utilities.	Fully Implemented	California Public Utilities Commission
5. To ensure that it efficiently and effectively monitors energy utilities balancing accounts to protect ratepayers from unfair rate increases, the commission should direct its Energy Division to perform in-depth reviews of balancing accounts to verify that account balances contain only allowable transactions and are supported. These reviews should include ensuring that transactions recorded in a balancing account are supported by appropriate documentation, such as invoices.	Fully Implemented	California Public Utilities Commission

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
6. To ensure that it efficiently and effectively monitors energy utilities' balancing accounts to protect ratepayers from unfair rate increases, the commission should direct its Energy Division to coordinate with the Office of Ratepayer Advocates (Ratepayer Advocates) to identify which balancing accounts Ratepayer Advocates plans to review during the year to avoid duplicating efforts.	Fully Implemented	California Public Utilities Commission
7. To further its mission to obtain the lowest possible rates for reliable and safe utility service for ratepayers through its reviews of balancing accounts, Ratepayer Advocates should use the commission's list of balancing accounts to guide its selection of the number, size, and type of balancing accounts to review so that its review coverage is more proportional across all utilities.	Will Not Implement	Office of Ratepayer Advocates
8. To further its mission to obtain the lowest possible rates for reliable and safe utility service for ratepayers through its reviews of balancing accounts, Ratepayer Advocates should document the method used for its selection of balancing accounts to review.	Not Fully Implemented	Office of Ratepayer Advocates
9. To further its mission to obtain the lowest possible rates for reliable and safe utility service for ratepayers through its reviews of balancing accounts, Ratepayer Advocates should coordinate with the commission's Energy Division to avoid duplicating review efforts.	Fully Implemented	Office of Ratepayer Advocates
10. To ensure that findings and conclusions resulting from the reviews of balancing accounts are appropriate, complete, and supported, Ratepayer Advocates should, within six months, develop policies that clearly describe how analysts are to document their reviews of balancing accounts, including all work reviewed and conclusions reached for each sampled item that supports their conclusions.	Fully Implemented	Office of Ratepayer Advocates
11. To ensure that findings and conclusions resulting from the reviews of balancing accounts are appropriate, complete, and supported, Ratepayer Advocates should, within six months, develop a document retention policy for all documents related to, among other things, balancing account reviews for a minimum of three years after the completion of these reviews.	Fully Implemented	Office of Ratepayer Advocates
12. To ensure that findings and conclusions resulting from the reviews of balancing accounts are appropriate, complete, and supported, Ratepayer Advocates should, within six months, implement a formalized and documented method to ensure that supervisors approve analysts reviews of balancing accounts by checking the accuracy and completeness of the work that analysts prepare to support the conclusions of their reviews, including any proposed reductions in recoveries.	Fully Implemented	Office of Ratepayer Advocates
13. To ensure that findings and conclusions resulting from the reviews of balancing accounts are appropriate, complete, and supported, the commission's Division of Water and Audits should remind analysts to document their reviews properly and remind supervisors to formally indicate that they checked the accuracy and completeness of reviews.	Fully Implemented	California Public Utilities Commission
14. The commission should follow the requirement in state law to inspect and audit the accounting records of utilities it regulates within required time frames. If the commission chooses to continue to meet this requirement through the general rate case process, it should ensure that all utilities file a general rate case on a regular schedule so as to comply with the state law's audit requirement. However, the commission should follow alternate methods to comply with the audit requirement when a utility will not be filing for its general rate case in time to be audited within three or five years, depending on the timing of the required audit for that utility.	Not Fully Implemented	California Public Utilities Commission

Report Number I2012-0651

Employment Development Department: It Failed to Participate in a Federal Program That Would Have Allowed the State to Collect Hundreds of Millions of Dollars (March 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the Employment Development Department (EDD) collects unemployment benefit overpayments as efficiently as possible, we recommend EDD adhere to its commitment to begin participating in the Offset Program to collect unemployment benefit overpayments by no later than September 2014.	Fully Implemented	Employment Development Department
2. To ensure that EDD efficiently acts to take advantage of future collection opportunities, we recommend EDD institute a routine process for staff to identify and thoroughly evaluate ideas for improving EDD's ability to collect overpayments. This process should require staff to bring promising ideas to the attention of EDD's senior management so it can give prompt, informed consideration to these ideas and document in detail the substance of that consideration.	Fully Implemented	Employment Development Department

Report Number 2013-130

California Public Utilities Commission: It Fails to Adequately Ensure Consumers' Transportation Safety and Does Not Appropriately Collect and Spend Fees From Passenger Carriers (June 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure carrier and public safety, the commission should ensure that the branch develops policies and procedures for receiving complaints and investigating passenger carriers by December 31, 2014. These policies and procedures should ensure that all complaints are entered into the complaints database.	Fully Implemented	California Public Utilities Commission
2. To ensure that it resolves complaints against passenger carriers in a timely manner, the commission should establish a method for prioritizing complaints and it should implement a policy specifying the maximum amount of time between the receipt of a complaint and the completion of the subsequent investigation. Further, the commission should require branch management to monitor and report regularly on its performance in meeting that policy.	Not Fully Implemented	California Public Utilities Commission
3. To ensure that the branch conducts thorough investigations of passenger carriers, the commission should establish standards specifying the types of evidence that it considers sufficient to determine whether a passenger carrier is operating illegally.	Fully Implemented	California Public Utilities Commission
4. To ensure that the branch conducts thorough investigations of passenger carriers, the commission should implement a policy that directs investigators to obtain sufficient evidence to justify determinations and to verify carrier claims that they are no longer operating or are not operating illegally.	Fully Implemented	California Public Utilities Commission
5. To ensure that the branch conducts thorough investigations of passenger carriers, the commission should require investigators to review passenger carriers for compliance with each state law relating to passenger carrier requirements.	Fully Implemented	California Public Utilities Commission
6. To ensure that the branch conducts thorough investigations of passenger carriers, the commission should implement a formal training program to ensure that all investigators have adequate knowledge and skills related to regulating passenger carriers.	Not Fully Implemented	California Public Utilities Commission
7. To better ensure passenger carrier and public safety, the commission should create a system to determine when a carrier merits a penalty and what the magnitude of the penalty should be. In addition, to be an effective deterrent, the amount of such penalties should be more consistent with what state law permits.	Not Fully Implemented	California Public Utilities Commission
8. The commission should require staff to examine and formally report on the feasibility of impounding the vehicles of passenger carriers that refuse to comply with commission orders or that refuse to pay citation penalties and also on the feasibility of making use of the Tax Board's program for intercepting income tax refunds, lottery winnings, and unclaimed property payments to collect unpaid citation penalties.	Not Fully Implemented	California Public Utilities Commission
9. To ensure that passenger carriers submit accurate fee payments, the commission should require its fiscal staff to implement a process to verify passenger carrier fee payments and associated revenue.	Not Fully Implemented	California Public Utilities Commission
10. To ensure that it complies with state law and uses passenger carrier fees appropriately, the commission should implement a process to ensure that passenger carrier fee revenues more closely match related enforcement costs.	Not Fully Implemented	California Public Utilities Commission
11. To ensure that it does not further overcharge the transportation account, the commission should require the branch to review annually all branch staff funding distributions and align them with recent time charges.	Fully Implemented	California Public Utilities Commission
12. To detect and deter carriers from operating illegally at airports, the branch should use as intended the five positions added for passenger carrier enforcement at airports. If the branch chooses not to designate five positions solely for this purpose, then it must be prepared to demonstrate regularly that an equivalent number of full-time positions are working on this activity.	Will Not Implement	California Public Utilities Commission
13. To strengthen its leadership and ensure passenger carrier and public safety, the branch should produce a draft strategic plan by December 31, 2014, with a final strategic plan completed as the commission specifies. The strategic plan should include goals for the program; strategies for achieving those goals, including strategies for staff development and training; and performance measures to assess goal achievement.	Not Fully Implemented	California Public Utilities Commission

Report Number 2014-502*Commission on Teacher Credentialing—Follow-Up Review (July 2014)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To make its strategic plan a more useful mechanism for accomplishing its mission, the Commission on Teacher Credentialing (commission) should ensure that, to the extent possible, its goals have timelines and are measurable. Further, the commission should periodically evaluate and track its progress towards meeting its goals.	Not Fully Implemented	California Commission on Teacher Credentialing

Report Number 2012-603*High Risk Update: State Agencies Credited Their Employees With Millions of Dollars Worth of Unearned Leave (August 2013)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To correct the erroneous leave hours we identified in our analysis of the leave accounting system, CalHR should work with the state controller and all state agencies under its authority to review and take the appropriate action to correct the errors by January 2015.	Partially Implemented	California Department of Human Resources
4. To improve the accuracy of information in the leave accounting system and to ensure that agencies do not improperly credit employees with leave in the future, the state controller should implement additional controls by June 2015 to prevent the leave accounting system from processing the types of inappropriate transactions we identified in our statewide electronic analysis. For example, it could develop cost-effective controls in the leave accounting system that would prevent employees from receiving annual leave and sick leave during the same pay period.	Pending	State Controller's Office
5. To improve the accuracy of information in the leave accounting system and to ensure that agencies do not improperly credit employees with leave in the future, the state controller should work with CalHR to establish procedures by January 2015 for updating the criteria it uses to produce the monthly exception reports to ensure that the criteria reflect changes in state law and collective bargaining agreements.	Fully Implemented	State Controller's Office
6. To improve the accuracy of information in the leave accounting system and to ensure that agencies do not improperly credit employees with leave in the future, the state controller should, using criteria provided by CalHR, develop monthly exception reports that identify transactions in the leave accounting system that are inconsistent with the guidelines established in state law and collective bargaining agreements, such as instances in which state employees receive too many personal holidays or too much holiday credit. By June 2015 begin providing each state agency's human resources management with the transactions identified in the exception reports for review and correction as necessary.	Partially Implemented	State Controller's Office
7. To ensure that state agencies accurately account for their employees' leave benefits, CalHR should consolidate guidance by January 2015 regarding the appropriate amount of leave that employees should earn each month and provide these criteria to the state controller to use when developing the leave accounting system's monthly exception reports. For example, CalHR should identify the number of holiday credit hours that employees covered by each collective bargaining agreement should receive for working on a holiday.	Partially Implemented	California Department of Human Resources
8. To ensure that state agencies accurately account for their employees' leave benefits, CalHR should work with the state controller to establish procedures by January 2015 for updating these criteria to ensure that they reflect any changes to state law and collective bargaining agreements.	Fully Implemented	California Department of Human Resources
9. To ensure that state agencies accurately account for their employees' leave benefits, CalHR should establish general parameters and issue guidance to state agencies by January 2015 on how to account for the leave hours for employees who work alternate work week schedules.	Partially Implemented	California Department of Human Resources
10. To ensure that state agencies accurately account for their employees' leave benefits, CalHR should provide additional guidance to state agencies by January 2015 on interpreting the provisions of the collective bargaining agreements related to the amount of leave employees earn. For example, CalHR could provide scenarios to illustrate the number of hours employees should earn under common circumstances.	Partially Implemented	California Department of Human Resources

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure that state agencies accurately account for their employees' leave benefits, CalHR should develop guidelines and procedures by January 2015 requiring all state agencies to review information their personnel specialists enter into any system they use to track state employees' leave transactions.	Fully Implemented	California Department of Human Resources
12. By February 2015 the Science Center should provide training to all of its personnel specialists on the number of leave hours employees earn for working on holidays.	Pending	California Science Center
13. By February 2015 Chula Vista should provide training to all of its personnel specialists regarding the number of leave hours employees earn for working on holidays that fall on Saturdays.	Fully Implemented	Department of Veterans Affairs

Report Number 2014-101*Employment Development Department: It Should Improve Its Efforts to Minimize Avoidable Appeals of Its Eligibility Determinations for Unemployment Insurance Benefits (August 2014)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Change its practices to ensure that its staff have demonstrated that all of the necessary elements of a false statement are adequately supported before disqualifying a claimant for unemployment benefits or assessing the associated 30 percent penalty on that basis. To do this, EDD should update its training to further emphasize that false statement disqualifications, especially those resulting from wage reporting, cannot be assessed unless all of the elements are present. 	Partially Implemented	Employment Development Department
2. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Revise its website and the materials that accompany the continued claim form to provide specific instructions to claimants on how to avoid common errors that claimants make when reporting wages, such as the error of applying some wages to the incorrect week. 	Partially Implemented	Employment Development Department
3. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Ensure that determinations are supported by sufficient fact-finding and relevant evidence by increasing the required number of attempts to reach claimants by telephone or e-mail before making a determination. 	Partially Implemented	Employment Development Department
4. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Allow additional time for its staff to process misconduct and voluntary quit cases, especially those that involve complex issues. 	Partially Implemented	Employment Development Department
5. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Improve its due diligence during the pre-appeal review process by considering appellants' reasons for appealing and by contacting claimants, employers, and third parties when necessary to obtain clarifying information that could result in a redetermination, which could eliminate or reduce the need for some appeals board hearings. 	Partially Implemented	Employment Development Department
6. To reduce the number of its determinations that are overturned on appeal, EDD should do the following: <ul style="list-style-type: none"> Identify those types of appeals that could be most influenced by EDD staff attendance at the appeal hearing, and analyze the feasibility and cost-effectiveness of participating in those hearings by telephone. 	Pending	Employment Development Department
7. To identify and correct any policies, procedures, or practices that may be contributing to avoidable appeals filed by claimants and employers and thereby provide eligible claimants with unemployment benefits in a timelier manner, the California Unemployment Insurance Appeals Board (appeals board) should do the following: By September 1, 2014, the appeals board should aggregate the outcomes associated with each of the legal issues that it decided during fiscal year 2013-14 and make these data available to EDD. In addition, the appeals board should make similar updated data available to EDD twice each fiscal year thereafter.	Fully Implemented	California Unemployment Insurance Appeals Board

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
8. To identify and correct any policies, procedures, or practices that may be contributing to avoidable appeals filed by claimants and employers and thereby provide eligible claimants with unemployment benefits in a timelier manner, EDD should do the following: Using the appeals board's data from fiscal year 2013–14, EDD should identify the legal issues where its determinations are most frequently overturned, and use these data to establish initial performance benchmarks. In addition, similar to the review that EDD's audit and evaluation division performed in 2012, EDD should then review samples of its overturned determinations and the appeals board's decisions on these legal issues to identify trends in the reasons the appeals board cites for overturning EDD's determinations. With this information, EDD should review its policies, practices, and training related to these areas and identify and correct any weaknesses that may be contributing to the overturning of determinations. By April 1, 2015, EDD should report to the Legislature on the results of this review and any changes it plans to make to its determination process.	Pending	Employment Development Department
9. To identify and correct any policies, procedures, or practices that may be contributing to avoidable appeals filed by claimants and employers and thereby provide eligible claimants with unemployment benefits in a timelier manner, EDD should do the following: EDD should use the semiannual data that the appeals board provides to determine whether changes it makes to its process result in reductions in the percentage of its determinations that are overturned on appeal. EDD should also review these data to determine whether it needs to conduct additional reviews of its determinations and the appeals board's decisions to identify additional opportunities for improvement. EDD should report these results to the Legislature annually.	Pending	Employment Development Department

Report Number 2014-037
California Department of Housing and Community Development: Inconsistent Oversight Has Resulted in the Questionable Use of Some Housing Bond Funds (September 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that it complies with state law and maximizes the public benefits that its Multifamily Housing Program provides, the Department of Housing and Community Development (HCD) should improve its current process for awarding program funds by documenting its determination of whether the costs of proposed projects are reasonable.	Fully Implemented	Department of Housing and Community Development
2. To assure the validity of its cost comparisons for Multifamily Housing Program projects, HCD should update the program's historical cost spreadsheet either by including projects it approved after 2008 or by adjusting the tool's data to current values.	Fully Implemented	Department of Housing and Community Development
3. To meet the intent of the law, HCD should approve and fund for the Catalyst Program only those projects that more directly create or preserve housing opportunities.	Fully Implemented	Department of Housing and Community Development
4. To ensure that recipients submit required status reports, HCD should develop and implement strategies to better monitor these reports. For example, program management could review a central tracking spreadsheet of status reports and require staff to contact recipients that are not complying with requirements. After six months of noncompliance by recipients, HCD should send warning letters to recipients that it will cancel their awards or seek remedies and require them to return the funds unless they provide the reports within a specified time.	Fully Implemented	Department of Housing and Community Development
5. To ensure that recipients spend advanced funds promptly and that it has accurate information about outstanding advanced funds, HCD should do the following: <ul style="list-style-type: none"> Develop a thorough process to track and monitor advances. 	Fully Implemented	Department of Housing and Community Development
6. To ensure that recipients spend advanced funds promptly and that it has accurate information about outstanding advanced funds, HCD should do the following: <ul style="list-style-type: none"> Reconcile advances to its accounting records and to documentation to ensure that recipients spent all of the advances that HCD made previously. 	Fully Implemented	Department of Housing and Community Development

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
7. To ensure that recipients spend advanced funds promptly and that it has accurate information about outstanding advanced funds, HCD should do the following: <ul style="list-style-type: none"> Clarify when recipients must return unspent advances either by revising its policies and procedures or by seeking regulatory change, if needed. For example, HCD could consider requiring recipients to return advanced funds held more than 90 days, to pay an interest penalty on the outstanding funds, or to face other corrective action. 	Fully Implemented	Department of Housing and Community Development
8. To maximize the benefits of its on-site review for CalHome, HCD should revise its current risk assessment tool or develop a new tool to identify the recipients that are at high risk of noncompliance with program requirements. For example, HCD could identify recipients as high risk that have received large amounts of funds and have not submitted required status reports for two consecutive periods.	Fully Implemented	Department of Housing and Community Development
9. Once it has an effective risk assessment tool in place, HCD should establish a process to ensure that it consistently uses the tool to select the recipients at highest risk for on-site monitoring.	Fully Implemented	Department of Housing and Community Development
10. To ensure that its data system is a useful tool for managing its housing bond programs, HCD should revise its strategy documents to clearly outline the steps it will take to address CAPES' current weaknesses. It should include specific timelines and activities within its strategy documents.	Fully Implemented	Department of Housing and Community Development
11. Before July 2015 HCD should adopt policies identifying the steps it should take to ensure that it does not exceed statutory administrative costs limits from bond funds and follow those policies when warranted.	Fully Implemented	Department of Housing and Community Development

Report Number 2014-108

State Board of Equalization Building: Despite Ongoing Health and Safety Concerns, the State Has Not Thoroughly Analyzed the Costs and Benefits of Relocating Employees (September 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To more clearly demonstrate its case for a new facility, the Board of Equalization (BOE) should ensure that it has a supportable rationale for the assumptions underlying its analysis of the costs and benefits of moving to a new consolidated facility.	Pending	Board of Equalization
2. To more clearly demonstrate its case for a new facility, BOE should continue its plans to conduct a study to identify inefficiencies in its current spatial configuration and how its operations could improve with a new consolidated facility.	Pending	Board of Equalization
3. To more clearly demonstrate its case for a new facility, BOE should incorporate staffing growth into its analysis of costs and benefits, using projections based on long-term historical data.	Pending	Board of Equalization
4. To ensure that it can accurately estimate any shifts in worker productivity and state revenue, BOE should strengthen its current methodology by analyzing the productivity and revenue collection of its employees and by monitoring those metrics at least semiannually. Additionally, BOE should support its methodology with documentation.	Pending	Board of Equalization
5. To ensure that resources are spent wisely, General Services should seek the funding and approval needed to analyze whether keeping or selling the BOE building would be in the State's best financial interest. As part of that analysis, General Services should conduct, or contract for, appraisals to assess the value of the building with and without the repairs to determine whether making the repairs is in the best interest of the State. If continued ownership of the building appears to be prudent, General Services should evaluate potential productive uses for the building should BOE move to a new facility. General Services should report the results of its analysis to the Legislature no later than September 2015.	Pending	Department of General Services

Report Number 2014-119

City of Indio: Although the City Complied With the Mello-Roos Act in Forming and Managing Community Facilities District No. 2004-3, It Should Do More to Address Inequities (December 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. The city of Indio should shift a share of the water facilities cost borne by Area 1 to Area 2 residents in proportion to the benefits Area 2 residents receive from the facilities. To do so, it should impose through its Indio Water Authority a water fee on Area 2 residents and use the related revenues to reduce the bond debt of Area 1.	Not Currently Feasible	City of Indio

Report Number I2014-1

Investigations of Improper Activities by State Agencies and Employees (December 2014)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. Return to headquarters the remaining excess expendable materials seen in August 2013.	Fully Implemented	California Military Department
2. Identify a barcode system that can be used to inventory expendable state property and implement that system.	Partially Implemented	California Military Department
3. Establish a routine of completing a monthly inventory of expendable state property after the barcode system is implemented.	No Action Taken	California Military Department
4. To address the dishonesty and incompatible activities of the employee, place information in the employee's personnel file regarding his dishonesty and incompatible activities so the information may be considered if the employee seeks future employment with the State.	Fully Implemented	Department of Industrial Relations
5. To address the neglect of supervisory duties by the manager, take adverse action against the manager.	Fully Implemented	Department of Industrial Relations
6. To address the failure to adopt a telecommuting program consistent with General Services' guidance, adopt a telecommuting program consistent with General Services' policies, procedures, and guidelines, including the model program, and train staff regarding the requirements of that program.	Fully Implemented	Department of Industrial Relations
7. Either cease providing Inter-Con's evening and weekend security guards with free parking or amend its contract with Inter-Con to disclose that it is providing free parking to Inter-Con employees as part of the price of the contract to protect the safety of the guards working evening and weekend shifts.	Fully Implemented	Department of General Services
9. Provide training regarding headquarters designations and their impact on travel expense claims to all Facilities Office staff who regularly submit travel expense claims.	Fully Implemented	Employment Development Department
10. Provide training to all Facilities Office supervisors who oversee traveling staff to ensure that they understand how to determine and designate headquarters locations for their employees properly.	Fully Implemented	Employment Development Department
11. Require all Facilities Office supervisors to evaluate the current headquarters designations for their traveling staff to ensure that the headquarters designations are correct.	Fully Implemented	Employment Development Department
12. Provide training to the travel unit to ensure that its employees understand the relevant laws and regulations governing headquarters designations.	Fully Implemented	Employment Development Department

Report Number 2014-116

California Department of Consumer Affairs' BreEZe System: Inadequate Planning and Oversight Led to Implementation at Far Fewer Regulatory Entities at a Significantly Higher Cost (February 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To help ensure the success of the BreEZe project going forward, CalTech should ensure that Consumer Affairs responds promptly to, and adequately addresses, concerns raised by its IPO specialist and its IV&V consultant.	Fully Implemented	California Department of Technology
5. To help ensure the success of the BreEZe project going forward, CalTech should require Consumer Affairs to develop and follow all project management plans and ensure that the BreEZe project team leads receive all required training.	Partially Implemented	California Department of Technology
6. To help ensure the success of the BreEZe project going forward, CalTech should document key discussions with Consumer Affairs in which significant concerns are raised about Accenture and assessments of the department's performance by the IV&V consultant and the IPO specialist.	Fully Implemented	California Department of Technology
7. If Consumer Affairs receives the necessary funding and resources to successfully implement BreEZe at the phase 2 regulatory entities and the project continues to face escalating costs, CalTech should require Consumer Affairs to conduct an analysis of the costs and benefits of moving forward with the project as planned or of suspending or terminating the project.	Pending	California Department of Technology
8. Continue implementing the STAR project for state departments and ensure that its framework requires departments undertake detailed business process analyses before submitting FSRs to CalTech for approval.	Partially Implemented	California Department of Technology
9. Continue implementing the STAR project for state departments and ensure that its framework requires departments use detailed business process analyses to justify the type of IT solution they are proposing, such as a COTS or a fully customized system.	Partially Implemented	California Department of Technology
10. Continue implementing the STAR project for state departments and ensure that its framework requires departments use detailed business process analyses to inform the resulting RFPs and that they ensure that the RFPs contain adequate requirements.	Partially Implemented	California Department of Technology
11. To ensure that IT projects have the oversight needed to better position them for success, CalTech should require state departments to follow its IT policies, including developing all necessary plans and receiving all required training.	Pending	California Department of Technology
12. To ensure that IT projects have the oversight needed to better position them for success, CalTech should ensure that departments obtain IPO and IV&V services as soon as an IT project is approved. Additionally, CalTech should document key discussions with any department in which the IV&V consultant and the IPO specialist raise significant concerns about a project, and ensure that the respective department responds promptly to, and adequately addresses, the concerns that the IPO specialist and the IV&V consultant raise.	Partially Implemented	California Department of Technology
13. To ensure that IT projects have the oversight needed to better position them for success, CalTech should require state departments to appropriately address deficiencies identified in CalTech's approval of any SPRs as conditions that must be met, and to do so according to specified timelines. If the deficiencies are not adequately addressed within the specified timelines, CalTech should take action to suspend the project until the department has either resolved the identified deficiencies or adequately documented its justification for not addressing the deficiencies.	Pending	California Department of Technology
14. To ensure that IT projects have the oversight needed to better position them for success, CalTech should develop thresholds relating to IT project cost increases and schedule delays to inform and better justify its decision to allow an IT project to continue. If a department's IT project reaches or exceeds these thresholds, CalTech should require the department to conduct a cost-benefit analysis for the project and include this analysis in an SPR. CalTech should consider the results of this analysis in its decision to approve or deny the SPR and, if warranted, take action to suspend or terminate the project so that it does not allow projects with significant problems to continue without correction.	Pending	California Department of Technology
15. To make certain that Consumer Affairs has a project team that consists of staff trained in managing IT projects, it should ensure that all the BreEZe project team leads obtain all required project management training.	Partially Implemented	Department of Consumer Affairs

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. Consumer Affairs should develop a process to ensure that it prepares all required project management documents and undertakes all oversight activities related to BreEZe as CalTech requires so that it can prevent or identify and monitor future problems as they arise. This includes taking steps to sufficiently respond to any concerns that the IPO specialist and the IV&V consultant raise.	Fully Implemented	Department of Consumer Affairs
17. To the extent that Consumer Affairs chooses to implement BreEZe at the phase 3 regulatory entities, it should first complete a formal cost-benefit analysis to ensure that BreEZe is a cost-effective solution to meet these regulatory entities' business needs. To make certain this analysis is complete, it should include an assessment of the potential changes these regulatory entities may require to be made of the BreEZe system and the associated costs. Consumer Affairs should complete the cost-benefit analysis before investing any more resources into the implementation of BreEZe at the phase 3 regulatory entities, and it should update this analysis periodically as significant assumptions change.	Pending	Department of Consumer Affairs
18. If Consumer Affairs determines that a new IT project is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, system requirements that are specific to each regulatory entity as applicable.	Pending	Department of Consumer Affairs
19. If Consumer Affairs determines that a new IT project is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, a project team that is qualified and experienced.	Pending	Department of Consumer Affairs
20. If Consumer Affairs determines that a new IT system is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, development of and adherence to all project management plans.	Fully Implemented	Department of Consumer Affairs
21. If Consumer Affairs determines that a new IT project is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, planning and implementation of effective organizational change management.	Pending	Department of Consumer Affairs
22. If Consumer Affairs determines that a new IT project is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, timely response to concerns that the IV&V consultant and the IPO specialist raise.	Pending	Department of Consumer Affairs
23. If Consumer Affairs determines that a new IT project is warranted in the future, it should develop a process to ensure the success of that project that includes, at a minimum, sufficient staffing.	Pending	Department of Consumer Affairs
24. To ensure that future IT project procurements do not jeopardize the State's financial interests, CalTech's procurement division should document its reasons for approving any deviations from standard contract language.	Pending	California Department of Technology
25. To ensure that future IT project procurements do not jeopardize the State's financial interests, CalTech's procurement division should ensure that contract language gives departments the rights to the source code necessary to complete the project if a contract is terminated for convenience.	Fully Implemented	California Department of Technology
26. To ensure that future IT project procurements do not jeopardize the State's financial interests, CalTech's procurement division should ensure that contract language contains assurances that state funds will not be used for unauthorized purposes.	Fully Implemented	California Department of Technology
27. To ensure that future IT project procurements do not jeopardize the State's financial interests, CalTech's procurement division should ensure that contracting departments can appropriately manage IT maintenance support contracts by including service-level agreements in these contracts.	Fully Implemented	California Department of Technology
28. To ensure that contracting departments comply with requirements, CalTech should periodically monitor the status of contracts and enforce adherence to procurement requirements. For example, CalTech should ensure that contracting departments forward all change requests to it and that it conducts reviews of all change requests to determine whether the changes exceed the scope of the respective contract.	Pending	California Department of Technology
29. To ensure that it complies with all terms of the BreEZe contract, Consumer Affairs should develop and follow a process for doing so, including documenting how it has met applicable contract terms, such as forwarding all change requests to CalTech.	Pending	Department of Consumer Affairs

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
30. To ensure that BRN has adequate data to effectively use its resources and manage its workload, it should formally track and monitor the timeliness of its processing of applications by type and the cause of any delays.	Pending	Board of Registered Nursing
31. To ensure that BRN has adequate data to effectively use its resources and manage its workload, it should formally track and monitor its pending workload of applications by type and original receipt date.	Pending	Board of Registered Nursing
32. To ensure that BRN has adequate data to effectively use its resources and manage its workload, it should conduct an analysis no later than June 30, 2015, of its application processing since implementing BreEZe in order to identify the workload capability of each of its units, such as the licensing support unit; to the extent it determines additional resources are necessary, BRN should submit a request for these resources that is appropriately justified.	Partially Implemented	Board of Registered Nursing
33. To ensure that BRN continues to process applications within regulatory time frames, it should continue its efforts to refine its business processes to increase efficiency and reduce the amount of time applications are pending its review.	Pending	Board of Registered Nursing
34. Consumer Affairs should continue to work with the phase 1 regulatory entities to ensure that the issues they are facing with BreEZe are being resolved in a timely manner, with particular attention to understanding their reporting needs and improving the system's reporting capabilities.	Fully Implemented	Department of Consumer Affairs
35. To ensure that future training for BreEZe system rollouts is timely and effective, Consumer Affairs should provide training on the BreEZe system as close to the rollout date as possible to ensure that staff retain the information for using the system as it is implemented.	Pending	Department of Consumer Affairs
36. To ensure that future training for BreEZe system rollouts is timely and effective, Consumer Affairs should work with the regulatory entities to develop training that is specific to each entity's business processes.	Pending	Department of Consumer Affairs

Report Number 2014-124

California's Alternative Energy and Efficiency Initiatives: Two Programs Are Meeting Some Goals, but Several Improvements Are Needed
(February 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To make certain that the research program contributes to the goals of the solar initiative, the commission should conduct a program evaluation before the remaining grant projects are completed.	Partially Implemented	California Public Utilities Commission
3. To show how air pollution emissions reductions related to the solar initiative benefit the State, the commission should include in future reports the measurable benefits of those reductions.	No Action Taken	California Public Utilities Commission

Report Number 2014-602

High Risk Update—California Department of Technology: Lack of Guidance, Potentially Conflicting Roles, and Staffing Issues Continue to Make Oversight of State Information Technology Projects High Risk (March 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. By December 2015 CalTech should develop and adopt criteria to guide the type and degree of intervention it will take to prevent IT projects with significant problems from continuing without correction, including when and how IPO analysts should recommend corrective action and escalate issues to CalTech's management.	Pending	California Department of Technology
2. By December 2015 CalTech should develop and adopt criteria to guide the type and degree of intervention it will take to prevent IT projects with significant problems from continuing without correction, including when and what CalTech should require that sponsoring agencies perform as remedial actions, and what sanctions CalTech will impose for noncompliance with these remedial actions.	Pending	California Department of Technology

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
3. By December 2015 CalTech should develop and adopt criteria to guide the type and degree of intervention it will take to prevent IT projects with significant problems from continuing without correction, including what conditions could trigger CalTech to consider suspending or terminating an IT project.	Pending	California Department of Technology
4. To clarify and reinforce its oversight authority with sponsoring agencies, by December 2015 CalTech should develop a method to formally document and communicate its expectations with the sponsoring agencies whose projects are under CalTech's oversight.	Pending	California Department of Technology
5. To help ensure the independence and objectivity of IPO analysts working in the oversight and consulting division, CalTech should develop a policy outlining expectations for independence and objectivity while performing oversight of IT projects.	Pending	California Department of Technology
6. To help ensure the independence and objectivity of IPO analysts working in the oversight and consulting division, CalTech should provide regular training regarding maintaining independence while conducting project oversight.	Pending	California Department of Technology
7. To better track its oversight actions and sponsoring agencies' responses to these actions, CalTech should retain the briefing documents created for the State CIO's portfolio meetings and the project status reports that sponsoring agencies submit while project oversight is ongoing.	Pending	California Department of Technology
8. To better track its oversight actions and sponsoring agencies' responses to these actions, CalTech should record action items from all portfolio meetings.	Pending	California Department of Technology
9. To ensure that the sponsoring agencies' project status reports provide a reliable and consistent assessment of an IT project's progress, CalTech should develop and adopt specific standards that describe how to calculate and report the project's current status.	Pending	California Department of Technology
10. To attract and retain employees with appropriate experience and qualifications to perform IT project oversight, CalTech should continue its efforts to gain approval to modify and use the project manager classification for the IPO analyst role.	Pending	California Department of Technology
11. To ensure that it provides the appropriate level of oversight for IT projects under development, by December 2015 CalTech should conduct a workload assessment to determine the level of staffing and expertise required for each IT project it oversees.	Pending	California Department of Technology
12. Using the workload assessment that we recommended CalTech complete by December 2015, CalTech should make decisions to assign staffing to oversee each IT project. This staffing could include contracted IPO consultants in those situations when CalTech staff either are unavailable or lack the expertise needed.	Pending	California Department of Technology
13. To improve its oversight training, by June 2015 CalTech should continue to implement a consistent and repeatable training plan for IPO analysts, which includes contract management, project assessment, IT systems engineering, and maintaining independence.	Pending	California Department of Technology
14. By June 2015 CalTech should put in place a system to track IPO analysts' training hours to ensure that all IPO analysts have completed the necessary California Project Management Methodology training curriculum.	Pending	California Department of Technology

Report Number 2014-120

California Public Utilities Commission: It Needs to Improve the Quality of Its Consumer Complaint Data and the Controls Over Its Information Systems (April 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To ensure that policy makers, enforcement officials, and the general public have access to accurate consumer complaint data in CIMS, the branch should update and provide further training to its staff on properly classifying complaints by September 30, 2015.	Fully Implemented	California Public Utilities Commission
3. To ensure that policy makers, enforcement officials, and the general public have access to accurate consumer complaint data in CIMS, the branch should continue to implement its quality management team program component focused on reviewing the categorization of complaints and correcting identified errors.	Pending	California Public Utilities Commission

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To ensure that policy makers, enforcement officials, and the general public have access to accurate consumer complaint data in CIMS, the branch should develop and implement tools by September 30, 2015, to measure the quality management team program's effectiveness.	Pending	California Public Utilities Commission
5. To ensure that policy makers, enforcement officials, and the general public have access to accurate consumer complaint data in CIMS, the branch should update by June 30, 2015, its guidance for categorizing complaints to better integrate with the BRM. For example, the guidance should specify that nonjurisdictional complaints should be classified as such.	Fully Implemented	California Public Utilities Commission
6. To ensure that policy makers, enforcement officials, and the general public have access to more complete and meaningful consumer complaints data in CIMS, the branch should, to the fullest extent possible, include the attributes of each complaint in the data it records in CIMS.	Pending	California Public Utilities Commission
7. To ensure that branch staff provide the appropriate assistance to consumers with VoIP-related complaints, the branch should, by September 30, 2015, further train its staff on the requirements of the VoIP job aid and on providing correspondence to complainants as its guidelines require.	Fully Implemented	California Public Utilities Commission
8. To ensure that consumers have access to complaint data that will enhance their ability to make informed choices about their telecommunication services, the branch should, by June 30, 2015, create an updated plan that specifies the types of data the branch intends to post online and a timeline for fully implementing that plan.	Fully Implemented	California Public Utilities Commission
9. To ensure that it can assess the value to the public of the complaint data it presents on its website, the branch should create a process for those who view its complaint data to provide feedback to the branch including, if necessary, modifying the survey that it uses to collect feedback on LEP data.	Pending	California Public Utilities Commission
10. To ensure that the public can easily locate customer complaint data the branch publishes on its website, the commission should make navigating to its customer complaint data more intuitive and direct.	Pending	California Public Utilities Commission
11. The commission should ensure that it complies with all policy requirements in SAM Chapter 5300 no later than April 2016.	Pending	California Public Utilities Commission
12. As part of developing, implementing, and maintaining an entity wide information security program, the commission should complete and main an inventory of all its information assets, specifically categorizing the level of required security of the information assets based on the potential impact that a loss of confidentiality, integrity, or availability of such information would have on its operations and assets.	Pending	California Public Utilities Commission
13. As part of developing, implementing, and maintaining an entity wide information security program, the commission should develop a risk management and privacy plan and conduct an assessment of risks facing its information assets.	Pending	California Public Utilities Commission
14. As part of developing, implementing, and maintaining an entity wide information security program, the commission should develop, implement, and maintain an information security plan as part of its entity wide information security program.	Pending	California Public Utilities Commission
15. The commission should develop, disseminate, and maintain an incident response plan.	Pending	California Public Utilities Commission
16. The commission should revise its existing recovery plan to include a list of applications supporting critical business functions, their maximum acceptable outage time frames, and detailed recovery strategies for each application.	Pending	California Public Utilities Commission
17. The commission should revise its existing recovery plan to include detailed procedures for rebuilding its technology infrastructure at an alternate processing site.	Pending	California Public Utilities Commission
18. The commission should conduct regular tests and exercises to assess the sufficiency of the revised recovery plan and refine the plan when necessary.	Pending	California Public Utilities Commission
19. The commission should ensure that any certifications it submits to CalTech accurately represent its information security environment.	Fully Implemented	California Public Utilities Commission

Report Number 2015-608

High Risk: State Departments Need to Improve Their Workforce and Succession Planning Efforts to Mitigate the Risks of Increasing Retirements (May 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To improve the guidance that CalHR provides departments on how to mitigate the challenges of an aging workforce that will result in the retirement of many highly experienced employees, CalHR should develop a process by December 2015 to periodically evaluate and update its workforce and succession planning materials.	Pending	California Department of Human Resources
3. To ensure that CalHR's reviews of departments' workforce and succession plans are consistent and reflect all best practices it recommends on its website, CalHR should revise its evaluation tool by June 2015 to include all of these best practices and other best practices it subsequently identifies.	Fully Implemented	California Department of Human Resources
4. To better enable CalHR to provide assistance to departments that is tailored to their needs, CalHR should survey state departments at least biannually to determine how the departments perceive the effectiveness of the resources and tools CalHR makes available to them.	Fully Implemented	California Department of Human Resources
5. To help ensure that state departments are prepared to address the loss of highly experienced employees, CalHR should obtain annually workforce and succession plans from all departments by June 30, starting in 2016, as well as any updates to and implementation status of the plans.	Pending	California Department of Human Resources
6. To ensure that CalHR can complete its workforce and succession planning workload on a timely basis and address other priorities that may arise, CalHR should develop an annual plan for the workforce planning unit by July 2015, and annually thereafter, that identifies the activities it plans to accomplish in the following fiscal year and the necessary resources. The plan should include, but not be limited to, activities such as evaluating the effectiveness of its guidance to departments, offering training sessions, conducting reviews of department workforce and succession plans, and addressing strategic initiatives.	Fully Implemented	California Department of Human Resources
7. To more adequately promote succession planning, CalHR should develop additional resources for departments to follow in developing succession plans by December 2015 and post the information on its website.	Pending	California Department of Human Resources
8. To improve state departments' knowledge of CalHR's resources and tools, CalHR should expand the content of its outreach emails to promote all its resources and tools.	Fully Implemented	California Department of Human Resources

Report Number 2014-131

California State Government Websites: Departments Must Improve Website Accessibility So That Persons With Disabilities Have Comparable Access to State Services Online (June 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
5. To ensure that it addresses barriers to the accessibility of its website for persons with disabilities, Franchise Tax Board should, no later than December 1, 2015, correct the accessibility violations we found during our review.	Partially Implemented	Franchise Tax Board
6. To ensure that it addresses barriers to the accessibility of its website for persons with disabilities, CalHR should, no later than December 1, 2015, correct the accessibility violations we found during our review.	Partially Implemented	California Department of Human Resources
9. No later than December 1, 2015, Franchise Tax Board should develop a plan to determine whether the accessibility violations we identified exist on other portions of its online presence that we did not include in the scope of our review. Once this plan is executed, it should correct violations wherever it finds them and do so no later than June 1, 2016.	Partially Implemented	Franchise Tax Board
10. No later than December 1, 2015, CalHR should develop a plan to determine whether the accessibility violations we identified exist on other portions of its online presence that we did not include in the scope of our review. Once this plan is executed, it should correct violations wherever it finds them and do so no later than June 1, 2016.	Partially Implemented	California Department of Human Resources

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. To ensure that updates to its website are tested for accessibility, by July 31, 2015, CalHR should develop and follow a written test approach that describes how and when changes to its website will be reviewed. This plan should describe how the department will include both automated and manual forms of accessibility testing.	Fully Implemented	California Department of Human Resources
18. To ensure that it can adequately track the results of its accessibility testing, by July 31, 2015, CalHR should develop tracking tools that will allow it to document its testing efforts. At a minimum, these tools should track what portions of its jobs site were tested, what errors were found, and whether and when those errors were addressed.	Fully Implemented	California Department of Human Resources
22. So that complaints from the public do not go unaddressed, by July 31, 2015, CalHR should develop procedures for addressing complaints about the accessibility of its website and methods for tracking the complaints it receives and their resolution.	Fully Implemented	California Department of Human Resources
23. To ensure that all state departments are reminded about web accessibility requirements and best practices, by July 31, 2015, CalTech should issue an official reminder that directs state departments to key policy documents and the SIMM for additional information about how to meet their obligation to provide accessible websites.	Fully Implemented	California Department of Technology
25. To help state websites achieve a higher degree of overall accessibility, by July 31, 2015, CalTech should post standard browser usability features and links to further information on its resources website, and direct all state departments to include this information on their websites.	Fully Implemented	California Department of Technology
26. To standardize California's approach to web accessibility testing, CalTech should issue a policy that specifies the method by which state departments should conduct web accessibility testing. This policy should include information about a minimum combination of operating systems, browsers, and assistive technologies that should be used during testing.	Partially Implemented	California Department of Technology

Report Number 2015-505

Follow-Up—California Department of Veterans Affairs: Better Collection and Use of Data Would Improve Its Outreach Efforts, and It Needs to Strengthen Its Oversight of County Veterans Service Officer Programs (July 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. CalVet should fully implement the recommendations from our 2009 report.	Partially Implemented	Department of Veterans Affairs
2. Veterans Services should develop and implement a plan by December 31, 2015, to routinely analyze and use myCalVet data to identify trends in the services veterans and their families indicate they are most interested in and incorporate the results of such analyses into its outreach efforts.	Pending	Department of Veterans Affairs
3. To determine the most successful methods for informing veterans and their families about the myCalVet website, and to increase the number of registered users, Veterans Services should evaluate myCalVet data to identify which marketing methods were most effective in informing registered users about the website. Veterans Services should complete this analysis on an annual basis, beginning no later than December 31, 2015.	Pending	Department of Veterans Affairs
4. To enhance the effectiveness of its outreach activities, CalVet should initiate, by October 31, 2015, steps to establish a regulation, in accordance with state law, that will require the CVSOs to report information on their outreach activities to CalVet.	Pending	Department of Veterans Affairs
5. To ensure that the funding it distributes to the CVSOs is consistent with their actual workloads, Veterans Services should, by December 31, 2015, develop and implement procedures to more thoroughly review the accuracy of the data in the CVSOs' workload activity reports by reviewing the records that are the basis of the reports.	Pending	Department of Veterans Affairs
6. To ensure correctness, completeness, and consistency in its audits of the CVSOs' workload activity reports, Veterans Services should formalize and document its audit procedures for reviewing these reports by December 31, 2015.	Pending	Department of Veterans Affairs
7. To improve its oversight of the College Fee Waiver Program and ensure that the CVSOs are not erroneously waiving college fees, Veterans Services should develop and implement a review process for college fee waivers by December 31, 2015.	Pending	Department of Veterans Affairs

Report Number I2015-1*Investigations of Improper Activities by State Agencies and Employees (August 2015)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
20. To recoup some of the wasted funds the Chula Vista Veterans Home spent on purchasing the boom lift, the Department of Veterans Affairs should determine the boom lift's present-day value and consider either selling or auctioning it.	Resolved	Department of Veterans Affairs
21. To ensure state departments that are considering whether to hire the accounting officer are aware of her improper activities, including using state equipment and materials to type and print a large volume of personal documents, and using her position to improperly access the department's database, the Employment Development Department should determine what documentation, if any, it should place in the accounting officer's personnel file to indicate that she resigned while under investigation.	Fully Implemented	Employment Development Department
22. To alert future state employers to the supervisor's improper activities, Industrial Relations should determine what documentation, if any, it should place in the supervisor's personnel file indicating that he resigned while under investigation. The improper activities substantiated by this investigation include misusing state-compensated time and state email account to coordinate the sale of copied movies and music, sending sexually suggestive emails during his work hours, and misusing a state printer to print materials for a co-worker's fitness studio.	Will Not Implement	Department of Industrial Relations
27. The Employment Development Department should pursue appropriate disciplinary action against the employee to ensure that she discontinues misusing public resources.	Pending	Employment Development Department
33. To ensure that employees limit their personal use of state resources to minimal and incidental use, Industrial Relations should remind employees of the prohibitions against misusing state resources, including time, email, and office space.	Fully Implemented	Department of Industrial Relations

Report Number 2015-611*High Risk Update—Information Security: Many State Entities' Information Assets Are Potentially Vulnerable to Attack or Disruption (August 2015)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
3. To assist reporting entities in reaching full compliance with the security standards, the technology department should take the following actions: Ensure the consistency and accuracy of its self certification process by developing a self assessment tool by December 2015 that reporting entities can use to determine their level of compliance with the security standards. The technology department should require reporting entities to submit completed self assessments along with their self certifications.	Partially Implemented	California Department of Technology
4. To assist reporting entities in reaching full compliance with the security standards, the technology department should take the following actions: Provide more extensive guidance and training to reporting entities regarding the self certification process, including training on how they should use the new self assessment tool.	Partially Implemented	California Department of Technology
5. To assist reporting entities in reaching full compliance with the security standards, the technology department should take the following actions: Develop internal policies and procedures to ensure that it reviews all reporting entities' self assessments and self certifications, including requiring supporting evidence of compliance when feasible.	No Action Taken	California Department of Technology
6. To assist reporting entities in reaching full compliance with the security standards, the technology department should take the following actions: Annually follow up on the remediation plans that reporting entities submit.	Fully Implemented	California Department of Technology
7. To provide effective oversight of reporting entities' information security, the technology department should expand on its pilot audit program by developing an ongoing risk based audit program. If the technology department requests additional resources, it should fully support its request.	No Action Taken	California Department of Technology
8. The technology department should revise its certification form to require reporting entities to submit detailed information about their compliance with the security standards. It should use this information to track and identify trends in the State's overall information security.	Partially Implemented	California Department of Technology

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
9. The technology department should develop policies and procedures to define the process and criteria it will use to incentivize entities' compliance with the security standards.	No Action Taken	California Department of Technology
10. To improve the clarity of the security standards, the technology department should take the following actions: Perform regular outreach to all reporting entities to gain their perspectives, identify any unclear or inconsistent security standards, and revise them as appropriate.	Partially Implemented	California Department of Technology
11. To improve the clarity of the security standards, the technology department should take the following actions: Develop and regularly provide detailed training on the requirements of the security standards and on best practices for achieving compliance. It should provide these trainings in a variety of locations and formats, including webinars.	Partially Implemented	California Department of Technology

Report Number 2015-508

Follow-Up—Federal Workforce Investment Grants: The Employment Development Department Established Procedures for Seeking Discretionary Grants, but Needs to Strengthen Them (September 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that its grant-seeking process is effective in considering grant opportunities related to workforce investment, EDD should update its grant identification and analysis procedures by December 31, 2015, to include the following: <ul style="list-style-type: none"> • Identification of the appropriate level of management or staff to analyze and document the factors considered in pursuing or forgoing grant opportunities. • Documentation of grant analyses, including factors considered in pursuing or forgoing grant opportunities. • Documentation of decisions related to pursuing or forgoing grants. • A method for ensuring that the process is consistently implemented. • Training of appropriate management or staff about EDD's grant-seeking process. 	Partially Implemented	Employment Development Department
2. To ensure that the State maximizes federal funding opportunities related to workforce investment, EDD and the state board should formalize their collaborative grant-seeking procedures by December 31, 2015, to clearly define their respective roles and responsibilities in the grant-seeking process.	Pending	Employment Development Department
3. To ensure that the state board assesses the merits of pursuing federal funding for workforce investment programs in California, it should establish procedures by December 31, 2015, that include, at a minimum, the following: <ul style="list-style-type: none"> • The methods it will use to identify federal grant opportunities. • The factors it will consider in its decisions to pursue or forgo applying for these grants. • The process by which it will document its analyses of grants and its final decisions to either pursue or forgo grant opportunities. • A method for ensuring that the process is consistently implemented. 	Partially Implemented	California Workforce Investment Board
4. To ensure that the State maximizes federal funding opportunities related to workforce investment, EDD and the state board should formalize their collaborative grant-seeking procedures by December 31, 2015, to clearly define their respective roles and responsibilities in the grant-seeking process.	Pending	California Workforce Investment Board

* The status of recommendations for audits issued between November and December 2015 is based on the entity's initial response, which is included in the original audit report, available on the California State Auditor's (state auditor) website: www.auditor.ca.gov