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Table 1
Recommendation Status Summary

Senate Budget Subcommittee 5 on Corrections, Public Safety and the Judiciary

Report Number 2014-107		
<i>Judicial Branch of California: Because of Questionable Fiscal and Operational Decisions, the Judicial Council and the Administrative Office of the Courts Have Not Maximized the Funds Available for the Courts (January 2015)</i>		
RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the compensation the Administrative Office of the Courts (AOC) provides is reasonable, the Judicial Council of California (Judicial Council) should adopt procedures that require a regular and thorough review of the AOC's compensation practices including an analysis of the job duties of each position to ensure that the compensation aligns with the requirements of the position. This review should include comparable executive branch salaries, along with a justification when an AOC position is compensated at a higher level than a comparable executive branch position.	Will Not Implement	Judicial Council of California
2. To ensure that its compensation structure is reasonable, the AOC should cease paying employees' share of retirement contributions.	Fully Implemented	Administrative Office of the Courts
3. To ensure that its compensation structure is reasonable, the AOC should mirror the executive branch's practices for offering leave buyback programs in terms of frequency and amount.	Will Not Implement	Administrative Office of the Courts
4. To increase its efficiency and decrease its travel expenses, the AOC should require its directors and managers to work in the same locations as the majority of their staff unless business needs clearly require the staff to work in different locations than their managers.	Will Not Implement	Administrative Office of the Courts
5. To ensure that it pays its employees the appropriate salaries for the locations in which they spend the majority of their work hours, the AOC should follow its policy to periodically verify that salary differentials are based on an employee's actual work location.	Fully Implemented	Administrative Office of the Courts
6. To justify maintaining its headquarters in San Francisco and its additional space in Burbank, the AOC should conduct a thorough cost-benefit analysis of moving its operations to Sacramento. If the analysis determines that the financial benefits of consolidating its operations in Sacramento outweigh the costs of such a move, the AOC should begin the process of relocating to Sacramento.	Fully Implemented	Administrative Office of the Courts
7. To reduce its expenses, the AOC should implement a policy that requires it to conduct a cost-benefit analysis for using temporary workers, contractors, or consultants instead of state employees before employing temporary workers, contractors, or consultants to do the work of AOC employees.	Fully Implemented	Administrative Office of the Courts
8. To reduce its expenses, the AOC should follow its policies and procedures limiting the period of time it can employ temporary workers, and develop a similar policy to limit the use of contractors to a reasonable period of time but no more than one year.	Fully Implemented	Administrative Office of the Courts
9. To reduce its expenses, the AOC should conduct a cost-benefit analysis for maintaining its pool of vehicles. If the analysis finds that the cost of maintaining the vehicles outweighs the costs of having its employees use other means of transportation, such as their personal vehicles, the AOC should reduce the number of vehicles it owns and leases. Also, the AOC should track and periodically inventory the vehicles in its fleet.	Fully Implemented	Administrative Office of the Courts
10. To reduce its expenses, the AOC should cease reimbursing its office directors for parking at their headquarters by adopting the executive branch's parking reimbursement policies.	Fully Implemented	Administrative Office of the Courts
11. To reduce its expenses, the AOC should cease its excessive reimbursements for meals by adopting the executive branch's meal and travel reimbursement policies.	Will Not Implement	Administrative Office of the Courts
12. Once the AOC has identified savings related to its compensation and business practices, the Legislature should consider ways to transfer this savings to the trial courts.	No Action Taken	Legislature
13. To determine the cost to the State of providing support to the trial courts, the Legislature should take steps to clearly define the difference between local assistance expenditures and state operations expenditures. One method of accomplishing this would be to make the necessary statutory changes to classify as local assistance only those appropriations that the AOC passes directly to the trial courts or that the AOC expends on behalf of the trial courts with their explicit authorization. All other appropriations would be classified as state operations.	No Action Taken	Legislature

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
14. To ensure that it spends funds appropriately, the AOC should develop and implement controls to govern how its staff can spend judicial branch funds. These controls should include specific definitions of local assistance and support expenditures, written fiscal policies and procedures as the rules of court require, and a review process.	Not Fully Implemented	Administrative Office of the Courts
15. The Judicial Council should develop rules of court that create a separate advisory body, or amend the current advisory committee's responsibilities and composition, that reports directly to the Judicial Council to review the AOC's state operations and local assistance expenditures in detail to ensure they are justified and prudent. This advisory body should be composed of subject matter experts with experience in public and judicial branch finance.	Partially Implemented	Judicial Council of California
16. To bring more transparency to the AOC's spending activities and to ensure that the AOC spends funds in a fiscally and legally prudent manner, the Legislature should require an annual independent financial audit of the AOC. This audit should examine the appropriateness of the AOC's spending of any local assistance funds.	No Action Taken	Legislature
17. To increase transparency, the Judicial Council should conduct a more thorough review of the AOC's implementation of the evaluation committee's recommendations by more closely scrutinizing the actions the AOC asserts it has taken to complete directives.	Fully Implemented	Judicial Council of California
18. To make the AOC's budget more understandable, the Judicial Council should require the AOC to report its budget in a more understandable and transparent manner, and in a manner that readily allows stakeholders and the public to know the full amount of the AOC's spending. Further, the Judicial Council should require the AOC to prepare and make public a high-level summary of how the judicial branch's budget relates to the appropriations from the State's budget.	Fully Implemented	Judicial Council of California
19. The AOC should conduct a comprehensive survey of the courts on a regular schedule—at least every five years—to ensure that the services it provides align with their responses. The AOC should re-evaluate any services that the courts identify as being of limited value or need.	Partially Implemented	Administrative Office of the Courts
20. To justify its budget and staffing levels, the AOC should conduct the steps in CalHR's workforce planning model in the appropriate order. It should begin by establishing its mission and creating a strategic plan based on the needs of the courts. It should then determine the services it should provide to achieve the goals of that plan. The AOC should base its future staffing changes on the foundation CalHR's workforce planning model provides. Finally, the AOC should develop and use performance measures to evaluate the effectiveness of this effort.	Not Fully Implemented	Administrative Office of the Courts
21. To ensure that it provides services to the trial courts as efficiently as possible, the Judicial Council should explore implementing a fee-for-service model for selected services. These services could include those that are little used or of lesser value to the trial courts, as identified in our survey that we discuss in Chapter 3.	Not Fully Implemented	Judicial Council of California
22. To justify the budget and staff level of the AOC, the Judicial Council should implement some or all of the best practices we identified to improve the transparency of AOC spending activities.	Not Fully Implemented	Judicial Council of California

Report Number 2014-117**California Department of Corrections and Rehabilitation: It Must Improve Legal Compliance and Administrative Oversight of Its Employment of Retired Annuitants and Use of State-Owned Vehicles (March 2015)**

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that it complies with state laws and its policies related to retired annuitants' employment, the California Department of Corrections and Rehabilitation (Corrections) should provide its hiring managers and staff with guidance by June 2015 on including an adequate justification on the hiring form for retired annuitants.	Fully Implemented	Department of Corrections and Rehabilitation
2. To ensure that it complies with state laws and its policies related to retired annuitants' employment, Corrections should provide its hiring managers and staff with guidance by June 2015 on obtaining necessary approvals before retired annuitants begin work.	Fully Implemented	Department of Corrections and Rehabilitation
3. To ensure that it complies with state laws and its policies related to retired annuitants' employment, Corrections should provide its hiring managers and staff with guidance by June 2015 on verifying and maintaining Employment Development forms indicating that retirees have not received unemployment compensation in the 12 months preceding their hire.	Fully Implemented	Department of Corrections and Rehabilitation

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should provide training on what constitutes limited duration and how to appropriately document it.	Fully Implemented	Department of Corrections and Rehabilitation
5. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should develop and implement a policy for reviewing and approving renewal appointments and spreadsheets.	Fully Implemented	Department of Corrections and Rehabilitation
6. To make certain that its employment of returning retired annuitants complies with state laws, by June 2015 Corrections should designate in policy the position responsible for reviewing and approving the renewal appointments.	Fully Implemented	Department of Corrections and Rehabilitation
7. To ensure that retired annuitants do not work beyond their 960-hour limit per fiscal year, by September 2015 Corrections should develop a policy for a monthly management review and approval of retired annuitant attendance records.	Fully Implemented	Department of Corrections and Rehabilitation
8. To ensure that retired annuitants do not work beyond their 960-hour limit per fiscal year, by September 2015 Corrections should review its payroll records from fiscal year 2010–11 to present to identify any retired annuitants who exceeded the 960-hour limit and report these employees to CalPERS.	Fully Implemented	Department of Corrections and Rehabilitation
9. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should provide guidance to employees who complete permit requests regarding the documentation they should include when justifying the need for permits.	Fully Implemented	Department of Corrections and Rehabilitation
10. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should review the justifications on permit requests to ensure they are appropriate before granting approval.	Fully Implemented	Department of Corrections and Rehabilitation
11. To make sure that permits receive prompt and appropriate approval, by June 2015 Corrections should emphasize among its authorized approvers the importance of approving permit requests before allowing the use of vehicles.	Fully Implemented	Department of Corrections and Rehabilitation
12. To ensure that all employees with assigned vehicles submit the required documents, Corrections should provide training and guidance to staff and supervisors on its policy for monthly reporting of the personal use of vehicles to both its accounting office and the state controller by June 2015.	Fully Implemented	Department of Corrections and Rehabilitation
13. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should provide training to staff and supervisors about the use and accurate completion of travel logs.	Fully Implemented	Department of Corrections and Rehabilitation
14. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should require regular review of the travel logs for pooled vehicles.	Fully Implemented	Department of Corrections and Rehabilitation
15. To strengthen its oversight of its employees' use of vehicles, by September 2015 Corrections should provide training and guidance to staff and supervisors about monthly mileage reporting to General Services and about retention requirements for travel logs.	Fully Implemented	Department of Corrections and Rehabilitation

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
9. The California Office of Emergency Services (Cal OES) should develop a process by December 2015 to measure and evaluate its workforce and succession planning activities at least annually, and update its plans as necessary, to ensure that its activities are effective. This process should include evaluating the trends in retirements for leadership and technical positions.	Fully Implemented	Office of Emergency Services
16. Cal OES should develop a process by June 30, 2015, to ensure that the executive membership of its Idea Ambassador Corps remains stable to help ensure that Cal OES can perform consistent monitoring of the results of the workforce and succession planning activities across the department.	Fully Implemented	Office of Emergency Services

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Report Number 2015-030

State Bar of California: It Has Not Consistently Protected the Public Through Its Attorney Discipline Process and Lacks Accountability (June 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that its backlog does not adversely affect the quality of the discipline it imposes on attorneys who fail to fulfill their professional responsibilities, the State Bar of California (State Bar) should adhere to its quality control processes. Further, it should take steps to prevent its management or staff from circumventing those processes, such as requiring the presentation to the State Bar Board of Trustees (board) of any proposed changes to quality control.	Fully Implemented	State Bar of California
2. To ensure that it consistently counts and reports its backlog of disciplinary cases, the State Bar and the Legislature should work together to determine what cases the State Bar should include in its backlog. For example, one method of calculating the backlog would be to include every case that affects public protection that the State Bar does not resolve within six months from the time it receives a complaint. The Legislature should then amend the state law that currently defines how the State Bar should present the backlog in its discipline report.	Legislation Enacted	Legislature
3. To ensure that it consistently counts and reports its backlog of disciplinary cases, the State Bar and the Legislature should work together to determine what cases the State Bar should include in its backlog. For example, one method of calculating the backlog would be to include every case that affects public protection that the State Bar does not resolve within six months from the time it receives a complaint. Until the Legislature determines what cases the State Bar should include in its backlog, the State Bar should comply with our 2009 recommendation to fully disclose the types of cases it includes and excludes from its backlog calculation, as well as any methodology changes from the prior year.	Fully Implemented	State Bar of California
4. To provide clear and reliable information to the Legislature, the Governor, and the public, the State Bar should define how it calculates case-processing speeds in its discipline report and should report this metric using the same method each year. If the State Bar elects to continue presenting the median case-processing time, it should also present the average case-processing time. Finally, it should fully disclose any methodology changes from the methodology used in the prior year.	Fully Implemented	State Bar of California
5. To assure the Legislature and the public that the data in the State Bar's discipline reports are accurate, the board should implement controls over the accuracy, consistency, and sufficiency of the data gathered and methods used to compute the information included in the report. For example, the board could expand the role of an existing board committee—such as the regulation and discipline committee—to include a review of the discipline report and the underlying discipline statistics	Fully Implemented	State Bar of California
6. To align its staffing with its mission, the State Bar should engage in workforce planning for its discipline system. The workforce planning should include the development and formal adoption of an appropriate backlog goal, an assessment of the staffing needed to achieve that goal while ensuring that the discipline process is not compromised, and the creation of policies and procedures sufficient to provide adequate guidance to the staff of each unit within the discipline system.	Fully Implemented	State Bar of California
7. To ensure that the audit and review unit's random audits of closed case files provide an effective oversight mechanism, the State Bar should follow its policy to conduct and record meetings and trainings related to the audit report's recommendations.	Not Fully Implemented	State Bar of California
8. To ensure that the audit and review unit's random audits of closed case files provide an effective oversight mechanism, the audit and review unit should oversee the retrieval of case files for audit.	Fully Implemented	State Bar of California
9. To ensure that the review function within the audit and review unit continues to provide a means for complainants to appeal the State Bar's decisions on closed cases, the State Bar should implement a policy that prohibits the chief trial counsel from dissolving the review function of the audit and review unit. Alternatively, at a minimum, it should require board approval for such an action.	Fully Implemented	State Bar of California
10. To provide independent oversight of the Office of the Chief Trial Counsel and assurance that it properly closes its case files, the audit and review unit should report to an individual or body that is separate from the chief trial counsel, such as the executive director or the board.	Fully Implemented	State Bar of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure that it spends revenues from the membership fee appropriately, the State Bar needs to implement policies and procedures to restrict its ability to transfer money between funds that its board or state law has designated for specific purposes.	Fully Implemented	State Bar of California
12. To ensure that it can justify future expenditures that exceed a certain dollar level, such as capital or information technology (IT) projects that cost more than \$2 million, the State Bar should implement a policy that requires accurate cost-benefit analyses comparing relevant cost estimates. The policy should include a requirement that the State Bar present the analyses to the board to ensure that it has the information necessary to make appropriate and cost-effective decisions. In addition, the State Bar should be clear about the sources of funds it will use to pay for each project.	Fully Implemented	State Bar of California
13. To justify any future special assessment that the State Bar wants to add to the annual membership fee, the State Bar should first present the Legislature with the planned uses for those funds and cost estimates for the project for which the State Bar intends to use the special assessment.	Fully Implemented	State Bar of California
14. To ensure that it adequately informs the Legislature about the status of the IT projects in its strategic plan, the State Bar should annually update the projects' cost estimates, their respective status, and the funds available for their completion.	Fully Implemented	State Bar of California
15. To ensure that the State Bar's fund balances do not exceed reasonable thresholds, the Legislature should consider putting a restriction in place to limit its fund balances. For example, the Legislature could limit the State Bar's fund balances to the equivalent of two months of the State Bar's average annual expenditures.	No Action Taken	Legislature
16. To provide the State Bar with the opportunity to ensure that its revenues align with its operating costs, the Legislature should consider amending state law to, for example, a biennial approval process for the State Bar's membership fees rather than the current annual process.	No Action Taken	Legislature
17. To determine a reasonable and justified annual membership fee that better reflects its actual costs, the State Bar should conduct a thorough analysis of its operating costs and develop a biennial spending plan. It should work with the Legislature to set an appropriate annual membership fee based upon its analysis. The first biennial spending plan should also include an analysis of the State Bar's plans to spend its current fund balances.	Resolved	State Bar of California

Report Number 2015-504

Follow-Up—California Department of Justice: Delays in Fully Implementing Recommendations Prevent It From Accurately and Promptly Identifying All Armed Persons With Mental Illness, Resulting in Continued Risk to Public Safety (July 2015)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the California Department of Justice (Justice) fairly balances competing responsibilities and avoids redirecting Armed Prohibited Persons System (APPS) unit staff to conduct Dealers' Record of Sale background checks, the Legislature should require Justice to complete an initial review of cases in the daily queue within seven days and periodically reassess whether Justice can complete these reviews more quickly.	Legislation Enacted	Legislature
2. To ensure that it accurately identifies all prohibited persons, Justice should implement its plan to develop a checklist by July 2015 and desk procedures by September 2015 to aid its analysts in making correct prohibition determinations.	Fully Implemented	Department of Justice
3. To ensure staff can promptly address the daily queue and the historical backlog, by July 2016 Justice should identify and implement strategies, including pursuing funding, to staff its bureau operations to the level it needs.	Fully Implemented	Department of Justice
4. To fully implement our previous recommendation and ensure that it keeps an updated accurate list of all mental health facilities, by July 2015 Justice should implement supervisory review of its analyst's comparison of Justice's mental health facilities list and the Department of Health Care Services' list to ensure staff identified and corrected all discrepancies.	Fully Implemented	Department of Justice
5. To fully implement our previous recommendation and ensure that it investigates all significant drops in mental health facility reporting, Justice should revise its procedure to consider drops between each quarter.	Fully Implemented	Department of Justice

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Report Number I2015-1*Investigations of Improper Activities by State Agencies and Employees: Violations of State Law Including Failure to Seek Competitive Bids, Increase Rental Rates, Properly Dispose of Surplus Property, and Adequately Supervise (August 2015)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and California Correctional Health Care Services (Correctional Health Care) should reduce the accumulated leave balances of Employee A by 886 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Partially Implemented	Department of Corrections and Rehabilitation
13. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should work with the California Public Employees' Retirement System and attempt to recoup the \$22,766 in CTO leave hours Employee B—who retired in April 2015—cashed out but to which he was not entitled.	Partially Implemented	Department of Corrections and Rehabilitation
15. To recoup the payment and leave accumulations to which its employees were not entitled, Corrections and Correctional Health Care should reduce the accumulated leave balances of Employee C by 261 hours. If his accumulated leave balances are not sufficient, offset any remaining hours against future accumulations of leave.	Resolved	Department of Corrections and Rehabilitation
17. Corrections and Correctional Health Care should develop a policy requiring all labor relations analysts, including the labor relations analyst at Prison 1, to document any communications from the Office of Labor Relations at Corrections that affect employee compensation.	Fully Implemented	Department of Corrections and Rehabilitation
19. Corrections and Correctional Health Care should run a query of exempt positions related to the chief psychologist classification, such as clinical psychologists and senior psychologists, to determine whether any other exempt employees were improperly credited or paid for on-call or call-back assignments prior to December 2014, and seek recovery through reducing those employees' accumulated leave balances.	Partially Implemented	Department of Corrections and Rehabilitation

Report Number 2015-302*Judicial Branch Procurement: Although the Judicial Council Needs to Strengthen Controls Over Its Information Systems, Its Procurement Practices Generally Comply With Applicable Requirements (December 2015)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. The Judicial Council should update its judicial contracting manual to include the required minimum fuel economy standards for the judicial branch's vehicle purchases.	Fully Implemented	Judicial Council of California
2. The Judicial Council should develop a corrective action plan by February 29, 2016 to address the recommendation from our December 2013 audit report related to the controls over its information systems. The corrective action plan should include prioritizing the tasks, resources, primary and alternative funding sources, and milestones for all of the actions required to fully implement its framework of information system controls by June 2016. Further, the Judicial Council should continue to provide guidance and routinely follow up with the superior courts to assist with their effort to make the necessary improvements to their information system controls.	Pending	Judicial Council of California

Report Number 2015-115*Dually Involved Youth: The State Cannot Determine the Effectiveness of Efforts to Serve Youth Who Are Involved in Both the Child Welfare and Juvenile Justice Systems (February 2016)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that county child welfare service (CWS) and probation agencies are able to identify their populations of dually involved youth, the Legislature should require Social Services to implement a function within the statewide case management system that will enable county CWS and probation agencies to identify dually involved youth.	Legislation Enacted	Legislature

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To ensure that county CWS and probation agencies are able to identify their populations of dually involved youth, the Legislature should require Social Services to issue guidance to the counties on how to use the statewide case management system to track joint assessment hearing information completely and consistently for these youth.	Legislation Enacted	Legislature
3. To better understand and serve the dually involved youth population, the Legislature should require the Judicial Council to work with county CWS and probation agencies and state representatives to establish a committee, or to work with an existing committee, to develop a common identifier counties can use to reconcile data across CWS and probation data systems statewide.	Legislation Enacted	Legislature
4. To better understand and serve the dually involved youth population, the Legislature should require the Judicial Council to work with county CWS and probation agencies and state representatives to establish a committee, or to work with an existing committee, to develop standardized definitions for terms related to the populations of youth involved in both the CWS and probation systems, such as dually involved, crossover, and dual status youth.	Legislation Enacted	Legislature
5. To better understand and serve the dually involved youth population, the Legislature should require the Judicial Council to work with county CWS and probation agencies and state representatives to establish a committee, or to work with an existing committee, to identify and define outcomes for counties to track for dually involved youth, such as outcomes related to recidivism and education.	Legislation Enacted	Legislature
6. To better understand and serve the dually involved youth population, the Legislature should require the Judicial Council to work with county CWS and probation agencies and state representatives to establish a committee, or to work with an existing committee, to establish baselines and goals for those outcomes.	Legislation Enacted	Legislature
7. To better understand and serve the dually involved youth population, the Legislature should require the Judicial Council to work with county CWS and probation agencies and state representatives to establish a committee, or to work with an existing committee, to share the common identifier, definitions, and outcomes with the Legislature, for their consideration to require counties to utilize and track these elements.	Legislation Enacted	Legislature
8. If the State enacts data-related requirements, it should require the Judicial Council's committee to compile and publish county data two years after the start of county data collection requirements.	Legislation Enacted	Legislature
9. Alameda County probation department should update its existing procedures to ensure that its staff are accurately recording family reunification service components within the statewide case management system.	Will Not Implement	Alameda County
10. Sacramento County probation department should update its existing procedures to ensure that its staff are accurately recording family reunification service components within the statewide case management system.	Pending	Sacramento County
11. To identify their population of dually involved youth, Alameda County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	Will Not Implement	Alameda County
12. To identify their population of dually involved youth, Kern County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	Fully Implemented	Kern County
13. To identify their population of dually involved youth, Los Angeles County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	Fully Implemented	Los Angeles County
14. To identify their population of dually involved youth, Riverside County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	Pending	County of Riverside
15. To identify their population of dually involved youth, Sacramento County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	Pending	Sacramento County

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. To identify their population of dually involved youth, Santa Clara County's CWS and probation agencies should designate the data system they will use for tracking the dates and results of joint assessment hearings.	No Action Taken	Santa Clara County
17. To identify their population of dually involved youth, Alameda County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	Will Not Implement	Alameda County
18. To identify their population of dually involved youth, Kern County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	Fully Implemented	Kern County
19. To identify their population of dually involved youth, Los Angeles County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	Pending	Los Angeles County
20. To identify their population of dually involved youth, Riverside County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	Fully Implemented	County of Riverside
21. To identify their population of dually involved youth, Sacramento County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	Pending	Sacramento County
22. To identify their population of dually involved youth, Santa Clara County's CWS and probation agencies should provide guidance or training to staff on recording joint assessment hearing information consistently within the designated system.	No Action Taken	Santa Clara County

Report Number 2015-047*The State Bar of California: Its Lack of Transparency Has Undermined Its Communications With Decision Makers and Stakeholders (May 2016)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To reduce the length of time that victims of dishonest lawyers must wait for reimbursement from the Client Security Fund, the State Bar should continue to explore fund transfers, member fee increases, and operating efficiencies that would increase resources available for payouts.	Pending	State Bar of California
2. To ensure that it maximizes its cost-recovery efforts related to the Client Security Fund, the State Bar should adopt a policy to file for money judgments against disciplined attorneys for all eligible amounts as soon as possible after courts settle the discipline cases.	Pending	State Bar of California
3. To ensure that it maximizes its cost-recovery efforts related to the Client Security Fund, the State Bar should adopt a policy to evaluate annually the effectiveness of the various collection methods it uses to recover funds from disciplined attorneys.	Pending	State Bar of California
4. To reduce the risk of errors in financial reporting, the State Bar should update its procedures to include guidance on detailed steps that staff should take to prepare financial statements and to ensure that the statements are accurate and complete.	Fully Implemented	State Bar of California
5. To reduce the risk of errors in financial reporting, the State Bar should update its procedures on management's review and approval of financial statements.	Fully Implemented	State Bar of California
6. To increase the transparency and comparability of its financial information, the State Bar should limit significant changes in its indirect cost reporting.	Fully Implemented	State Bar of California
7. To increase the transparency and comparability of its financial information, the State Bar should clearly disclose any changes in its accounting practices.	Fully Implemented	State Bar of California
8. To increase the transparency and comparability of its financial information, the State Bar should disclose the reasons for any significant changes to program costs.	Partially Implemented	State Bar of California
9. To ensure that it accounts appropriately for information technology project costs and their related funding sources, the State Bar should develop a reasonable method for allocating information technology project costs.	Pending	State Bar of California
10. To ensure that it accounts appropriately for information technology project costs and their related funding sources, the State Bar should apply its new cost-allocation method to the costs of its Technology Improvement Fund.	Pending	State Bar of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure it informs stakeholders of conditions that may affect its policy and programmatic decisions, the State Bar should document the assumptions and methodology underlying its budget estimates.	Pending	State Bar of California
12. To ensure it informs stakeholders of conditions that may affect its policy and programmatic decisions, the State Bar should concisely present its budget assumptions and methodology in the final budget document it provides to its board and the Legislature.	Pending	State Bar of California
13. To make certain that its budget documents conform to the requirements in state law and that they are comparable to prior budgets, the State Bar should establish a process for ensuring that budget documents conform to the requirements in state law.	Fully Implemented	State Bar of California
14. To make certain that its budget documents conform to the requirements in state law and that they are comparable to prior budgets, the State Bar should update its budget policies to require supplementary schedules and narratives for any budget in the year in which the State Bar implements changes to the presentation of its budget.	Fully Implemented	State Bar of California
15. To ensure that the State Bar's board can make informed decisions about its consultant's recommendations regarding budgeting and financial reporting, the State Bar should analyze the costs and benefits of implementing its consultant's recommendations about budgets and present this analysis to its board for consideration.	Fully Implemented	State Bar of California
16. To make certain that the Legislature is not limited in its ability to set member fees, the Legislature should require the State Bar to notify or seek its approval when the State Bar plans to pledge its member fee revenue for a period that exceeds 12 months or overlaps fiscal years.	No Action Taken	Legislature
17. To ensure that it retains appropriate supervision and control over the State Bar's financial affairs, the board should establish a policy that includes a description of the parameters for the creation of nonprofit organizations limiting such organizations to the purposes consistent with the law and the State Bar's mission.	Pending	State Bar of California
18. To ensure that it retains appropriate supervision and control over the State Bar's financial affairs, the board should establish a policy that includes a description of the board's oversight role in relation to the State Bar's nonprofit organizations.	Pending	State Bar of California
19. To ensure that it retains appropriate supervision and control over the State Bar's financial affairs, the board should establish a policy that includes requirements to make sure that the board reviews and approves all documents the State Bar uses in the creation and use of a nonprofit organization, including original and amended bylaws as well as agreements between the State Bar and the organization.	Pending	State Bar of California
20. To ensure that it retains appropriate supervision and control over the State Bar's financial affairs, the board should establish a policy that includes requirements ensuring that the board reviews, approves, and monitors regularly the budgets and other financial reports of any nonprofit organizations.	Pending	State Bar of California
21. To ensure that it retains appropriate supervision and control over the State Bar's financial affairs, the board should establish a policy that includes requirements that the State Bar develop policies and procedures to prevent the mingling of its funds and any nonprofit organization's funds.	Pending	State Bar of California
22. To improve its oversight of the State Bar's financial affairs, the Legislature should require the State Bar to disclose the creation of and use of nonprofit organizations, including the nonprofits' annual budgets and reports on their financial condition explaining the sources and uses of the nonprofits' funding.	No Action Taken	Legislature
23. To ensure that the compensation it provides its executives is reasonable, the State Bar should include in the comprehensive salary and benefits study that it plans to complete by October 2016 data for the salaries and benefits for comparable positions in the state government's executive branch.	Fully Implemented	State Bar of California
24. To ensure that the compensation it provides its executives is reasonable, the State Bar should revise its policy for housing allowances and relocation expenses to align with the requirements in the state law that are applicable to managerial employees.	Pending	State Bar of California

Report Number 2015-129

King City Police Department: Strengthening Management Practices Would Help Its Efforts to Prevent Officer Misconduct and to Regain the Public's Trust (July 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To provide for a more comprehensive review of complaints and to ensure that the public is aware of the King City Police Department's (Department) willingness to receive complaints in an open manner, the Department should update its complaint policy by December 2016 to require the chief to review all supervisor decisions related to personnel complaints.	Pending	King City
2. To provide for a more comprehensive review of complaints and to ensure that the public is aware of the Department's willingness to receive complaints in an open manner, the Department should modify its website by December 2016 to state explicitly its openness to accepting all complaints, and inform members of the public that complaint forms may be filed at city hall, through its website, or during its community presentations. Similarly, the Department should more prominently display complaint option information in its lobby.	Pending	King City
3. To provide for a more comprehensive review of complaints and to ensure that the public is aware of the Department's willingness to receive complaints in an open manner, the Department should perform outreach by December 2016, such as through informal surveys, to identify potentially unreported complaints.	Pending	King City
4. To provide for a more comprehensive review of complaints and to ensure that the public is aware of the Department's willingness to receive complaints in an open manner, the Department should reach out to community organizations by December 2016 to connect with members of the community who may have complaints.	Fully Implemented	King City
5. The city should consider whether to establish a community advisory group, ombudsman position, or city council committee as an additional resource for receiving complaints.	Pending	King City
6. To better manage its operations related to issuing traffic citations, the Department should implement a process by March 2017 to verify quarterly the accuracy and completeness of the data in its records management system.	Pending	King City
7. To better manage its operations related to issuing traffic citations, the Department should develop a process by March 2017 to conduct a quarterly review of its traffic citation statistics and follow up with its officers as needed to ensure a consistent enforcement strategy.	Pending	King City
8. To hold its officers accountable, the Department should implement a policy by September 2016 to document the patrol directives, such as citation and enforcement strategies, that it provides to officers.	Fully Implemented	King City
9. To ensure that its policies are consistent with the city council's directives and that it can hold its officers accountable for them, the Department should immediately update its towing policy to reflect the March 2014 city council resolution that officers not tow for minor traffic offenses if the vehicle is legally parked, registered, and insured; that officers must receive sergeant authorization for all tows; and that the Department provide monthly tow reports to the city manager. The Department should also specify in its policy that officers must receive two trainings each year on the updated towing policy.	Fully Implemented	King City
10. To address community and city management concerns about its towing of vehicles, the Department should provide additional information in its monthly towing report by December 2016 about the reason that a vehicle was stopped and the reason the Department needed to tow the vehicle.	Fully Implemented	King City
11. To address community and city management concerns about its towing of vehicles, the Department should implement a process by December 2016 for the chief to review the monthly tow reports and follow up on any cases related to unlicensed drivers to determine if the reasons for the tows comply with the directives from city council.	Fully Implemented	King City
12. To ensure that gasoline cards are used consistently and appropriately, the Department should develop a formal process by December 2016 for monitoring gasoline invoices and transactions. The Department should implement a policy that includes a requirement for gasoline cards to be issued to patrol vehicles as a means to track gasoline usage against vehicle mileage. The requirement should also include a description of how the Department will identify the officer responsible for each gasoline card purchase, either by assigning a unique identifier to each officer or by using a vehicle assignment log.	Fully Implemented	King City

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
13. To ensure that gasoline cards are used consistently and appropriately, the Department should develop a formal process by December 2016 for monitoring gasoline invoices and transactions. The Department should implement a policy that includes procedures for obtaining explanations for any gasoline purchase that appears out of the ordinary.	Pending	King City
14. To ensure that it is appropriately maintaining custody of evidence items and complying with Peace Officer Standards and Training (POST) recommendations, the Department should conduct a comprehensive inventory to develop an accurate list of evidence and property.	Pending	King City
15. To ensure that it is appropriately maintaining custody of evidence items and complying with POST recommendations, the Department should update by September 2016 its evidence oversight policies to provide explicit direction, based on POST guidelines, to staff and management who perform evidence oversight activities.	Pending	King City
16. To ensure that it is appropriately maintaining custody of evidence items and complying with POST recommendations, the Department should perform its monthly evidence inspections per its policy.	Fully Implemented	King City
17. To ensure that it is appropriately maintaining custody of evidence items and complying with POST recommendations, the Department should develop a process by September 2016 for the chief to review compliance with the monthly inspection requirement.	Pending	King City
18. To ensure that it is appropriately maintaining custody of evidence items and complying with POST recommendations, the Department should perform annual audits that are thorough and well documented.	Pending	King City
19. To ensure that it uses consistent standards to evaluate whether information found in assessments of an officer candidate's moral character could lead to conflicts of interest, the city council should establish screening criteria for the types of activities and circumstances it considers to be incompatible with the official duties of an officer, such as in the areas of an officer candidate's past drug use, amount of debt, and number of traffic citations received.	Fully Implemented	King City
20. To minimize the potential for conflicts of interest, the Department should develop a written policy by September 2016 that formalizes its practice of preventing officers from being involved in cases associated with their family members.	Fully Implemented	King City
21. To comply with state regulations, to better assess candidates' ability to interact effectively with the community and other officers, and to ensure consistency, the Department should by September 2016 document its interview questions, including at least one question from each of the six areas in the POST interview guidelines.	Pending	King City
22. To work more effectively with community members, the Department should solicit and incorporate feedback from the community and create a formal community engagement plan that is tailored to meet community needs by December 2016.	Partially Implemented	King City
23. To work more effectively with community members, the Department should implement a process by September 2016 for the chief to review all promotional materials and presentations and ensure they are communicated in both English and Spanish, where appropriate, according to the direction provided by the city manager.	Fully Implemented	King City
24. To provide feedback and information to the Department, the city council should consider the formation of a community advisory group.	Pending	King City
25. To ensure that its policy is being implemented correctly and to prevent further inappropriate reimbursements, the city should monitor at least semiannually the implementation of its new policy on expense approvals that it adopted in February 2016.	Pending	King City
26. To ensure that the Department appropriately budgets for planned expenses, the city should continue to monitor its new policy on budget development that it adopted in January 2016. Specifically, the chief should monitor the budgeted and actual expenses of the Department each month, paying close attention to any areas where those expenses vary significantly from the amount budgeted, and discuss this analysis with the city manager each quarter to identify any weaknesses in its budget process.	Pending	King City

Report Number 2015-130

The CalGang Criminal Intelligence System: As the Result of Its Weak Oversight Structure, It Contains Questionable Information That May Violate Individuals' Privacy Rights (August 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that CalGang, or any equivalent statewide shared gang database, has an oversight structure that supports accountability for proper database use and for protecting individuals' rights, the Legislature should designate Justice as the state agency responsible for administering and overseeing CalGang or any equivalent statewide shared gang database.	No Action Taken	Legislature
2. To ensure that CalGang, or any equivalent statewide shared gang database, has an oversight structure that supports accountability for proper database use and for protecting individuals' rights, the Legislature should require that CalGang or any equivalent statewide shared gang database adhere to federal regulations and relevant safeguards from the state guidelines, including supervisory reviews of database entries and regular reviews of all records.	Legislation Enacted	Legislature
3. To ensure that CalGang, or any equivalent statewide shared gang database, has an oversight structure that supports accountability for proper database use and for protecting individuals' rights, the Legislature should specify that Justice's oversight responsibilities include developing and implementing standardized periodic training as well as conducting—or hiring an external entity to conduct— periodic audits of CalGang or any equivalent statewide shared gang database.	No Action Taken	Legislature
4. To promote public participation in key issues that may affect California's citizens and to help ensure consistency in the use of any shared gang database, the Legislature should require Justice to interpret and implement shared gang database requirements through the regulatory process. This process should include public hearings and should address adopting requirements for entering and reviewing gang designations, including establishing a retention period for gangs.	No Action Taken	Legislature
5. To promote public participation in key issues that may affect California's citizens and to help ensure consistency in the use of any shared gang database, the Legislature should require Justice to interpret and implement shared gang database requirements through the regulatory process. This process should include public hearings and should address adopting criteria for identifying gang members. These criteria should define which offenses are consistent with gang activity.	No Action Taken	Legislature
6. To promote public participation in key issues that may affect California's citizens and to help ensure consistency in the use of any shared gang database, the Legislature should require Justice to interpret and implement shared gang database requirements through the regulatory process. This process should include public hearings and should address specifying how user agencies will operate any statewide shared gang database, including requiring user agencies to implement supervisory review procedures and periodic record reviews. The user agencies should report the results of the reviews to Justice.	No Action Taken	Legislature
7. To promote public participation in key issues that may affect California's citizens and to help ensure consistency in the use of any shared gang database, the Legislature should require Justice to interpret and implement shared gang database requirements through the regulatory process. This process should include public hearings and should address standardizing practices for user agencies to adhere to the State's juvenile notification requirements, including guidelines for documenting and communicating the bases for juveniles' gang designations.	No Action Taken	Legislature
8. To ensure transparency, the Legislature should require Justice to publish an annual report with key shared gang database statistics—such as the number of individuals added to and removed from the database—and summary results from periodic audits conducted by Justice or an external entity. Further, the Legislature should require Justice to invite and assess public comments following the report's release. Subsequent annual reports should summarize any public comments Justice received and actions it took in response.	No Action Taken	Legislature
9. To help ensure that Justice has the technical information it needs to make certain that CalGang or any equivalent shared gang database remains an important law enforcement tool, the Legislature should establish a technical advisory committee to advise Justice about database use, database needs, database protection, and any necessary updates to policies and procedures. The Legislature should specify the qualifications for membership in the technical advisory committee, which should include representatives from local and state agencies that use the shared gang database. Further, it should require that the committee meet at least twice a year and adhere to the Bagley-Keene Open Meeting Act and other relevant open-meeting laws.	No Action Taken	Legislature

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
<p>10. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, developing best practices based on the requirements stated in the federal regulations, the state guidelines and state law, and advising user agencies on the implementation of those practices. The best practices should include, but not be limited to reviewing criminal intelligence, appropriately disseminating information, performing robust audit practices, establishing plans to recover from disasters, and meeting all of the State's juvenile notification law requirements. Justice should guide the board and the committee to develop these best practices by June 30, 2017.</p>	Pending	Department of Justice
<p>11. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to instructing user agencies that use CalGang to complete a comprehensive review of all the gangs documented in CalGang to determine if they meet the necessary requirements for inclusion and to purge from CalGang any groups that do not meet the requirements. Justice should guide the board and the committee to ensure that user agencies complete this review in phases, with the final phase to be completed by June 30, 2018.</p>	Pending	Department of Justice
<p>12. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, instructing all user agencies to complete a comprehensive review of the records in CalGang to determine if the user agencies have adequate support for the criteria associated with all the individuals they have entered as gang members. If the user agencies do not have adequate support, they should immediately purge the criteria—and, if necessary, the individuals—from CalGang. In addition, the user agencies should ensure that all the fields in each CalGang record are accurate. Justice should guide the board and the committee to ensure that user agencies complete this review in phases, with the final phase to be completed by September 30, 2019.</p>	Pending	Department of Justice
<p>13. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, instructing all user agencies to report to Justice every six months, beginning in January 2017, on their progress toward completing their gang and gang member reviews.</p>	Pending	Department of Justice
<p>14. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, developing standardized periodic training content for all CalGang users and training instructors. Justice should guide the board and the committee to develop such standardized training content by June 30, 2017.</p>	Pending	Department of Justice
<p>15. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, establishing a plan to recertify all CalGang users and training instructors on the new training content. Justice should guide the board and the committee to complete the draft plan by June 30, 2017, and the recertification training by June 30, 2018.</p>	Pending	Department of Justice
<p>16. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, developing policies and procedures requiring the disabling of user accounts for all individuals who no longer have a need to or right to access CalGang because they have separated from their employment with user agencies or for other reasons. Justice should guide the board and the committee to identify and disable all such accounts by September 30, 2016.</p>	Pending	Department of Justice

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
17. As the Legislature considers creating a public program for shared gang database oversight and accountability, Justice should guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight. The guidance Justice provides to the board and the committee should address, but not be limited to, determining what steps must be taken to upgrade CalGang's controls to ensure that CalGang will automatically purge all individuals whose records have not been updated by user agencies for five years.	Pending	Department of Justice
18. To promote transparency and hold the board, the committee, and user agencies accountable for implementing and adhering to criminal intelligence safeguards, Justice should post quarterly reports on its website, beginning June 30, 2017, that summarize how it has guided the board and the committee to implement and adhere to criminal intelligence safeguards; the progress the board, the committee, and the user agencies have made in implementing and adhering to these safeguards; the steps these entities still must take to implement these safeguards; and any barriers to the board's and the committee's success in achieving these goals.	Pending	Department of Justice
19. To promote transparency and encourage public participation in CalGang's meetings, Justice should post summary results from the committee's audits of CalGang records to its website unless doing so would compromise criminal intelligence information or other information that must be shielded from public release.	Pending	Department of Justice
20. To promote transparency and encourage public participation in CalGang's meetings, Justice should post the agendas, minutes, and referenced attachments for all future board and committee meetings, as well as all other documents of significance such as letters, memos, or agreements to its website unless doing so would compromise criminal intelligence information or other information that must be shielded from public release.	Pending	Department of Justice
21. To promote transparency and encourage public participation in CalGang's meetings, Justice should post from the past five years, all available agendas, minutes, and referenced attachments from scheduled and ad hoc board and committee meetings, as well as all other documents of significance. Justice should post these materials by October 31, 2016, to its website unless doing so would compromise criminal intelligence information or other information that must be shielded from public release.	Pending	Department of Justice
22. If Justice believes it needs additional resources to guide the board and the committee to identify and address the shortcomings that exist in CalGang's current operations and oversight, to report on the board and committee's progress in addressing CalGang's shortcomings, and to post necessary information to its website, Justice should take steps to secure the resources it needs.	Pending	Department of Justice
23. Until the Los Angeles Police Department receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by reviewing the gangs it has entered into CalGang to ensure the gangs meet reasonable suspicion requirements. It should also begin reviewing the gang members it has entered into CalGang to ensure the existence of proper support for each criterion. It should purge from CalGang any records for gangs or gang members that do not meet the criteria for entry. Individuals who are independent from the ongoing administration and use of CalGang should lead this review. The agency should complete the gang and gang member reviews in phases, with the final phase for gangs to be completed by June 30, 2018, and the final phase for gang members to be completed by June 30, 2019.	Pending	Los Angeles Police Department
24. Until Los Angeles Police Department receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by developing or modifying as necessary all its policies and procedures related to CalGang to ensure they align with state law, CalGang policy, the federal regulations, and the state guidelines. In particular, the agency should implement appropriate policies and procedures for entering gangs; performing supervisory reviews of gang and gang member entries; performing periodic CalGang record reviews; sharing CalGang information; and complying with juvenile notification requirements. The agency should complete this recommendation by March 31, 2017.	Pending	Los Angeles Police Department

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
25. Until Santa Ana Police Department receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by reviewing the gangs it has entered into CalGang to ensure the gangs meet reasonable suspicion requirements. It should also begin reviewing the gang members it has entered into CalGang to ensure the existence of proper support for each criterion. It should purge from CalGang any records for gangs or gang members that do not meet the criteria for entry. Individuals who are independent from the ongoing administration and use of CalGang should lead this review. The agency should complete the gang and gang member reviews in phases, with the final phase for gangs to be completed by June 30, 2018, and the final phase for gang members to be completed by June 30, 2019.	Pending	Santa Ana Police Department
26. Until Santa Ana Police Department receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by developing or modifying as necessary all its policies and procedures related to CalGang to ensure they align with state law, CalGang policy, the federal regulations, and the state guidelines. In particular, the agency should implement appropriate policies and procedures for entering gangs; performing supervisory reviews of gang and gang member entries; performing periodic CalGang record reviews; sharing CalGang information; and complying with juvenile notification requirements. The agency should complete this recommendation by March 31, 2017.	Pending	Santa Ana Police Department
27. Until Santa Clara County Sheriff's Office receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by reviewing the gangs it has entered into CalGang to ensure the gangs meet reasonable suspicion requirements. It should also begin reviewing the gang members it has entered into CalGang to ensure the existence of proper support for each criterion. It should purge from CalGang any records for gangs or gang members that do not meet the criteria for entry. Individuals who are independent from the ongoing administration and use of CalGang should lead this review. The agency should complete the gang and gang member reviews in phases, with the final phase for gangs to be completed by June 30, 2018, and the final phase for gang members to be completed by June 30, 2019.	Pending	Santa Clara County Sheriff's Office
28. Until Santa Clara County Sheriff's Office receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by developing or modifying as necessary all its policies and procedures related to CalGang to ensure they align with state law, CalGang policy, the federal regulations, and the state guidelines. In particular, the agency should implement appropriate policies and procedures for entering gangs; performing supervisory reviews of gang and gang member entries; performing periodic CalGang record reviews; sharing CalGang information; and complying with juvenile notification requirements. The agency should complete this recommendation by March 31, 2017.	Pending	Santa Clara County Sheriff's Office
29. Until Sonoma County Sheriff's Office receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by reviewing the gangs it has entered into CalGang to ensure the gangs meet reasonable suspicion requirements. It should also begin reviewing the gang members it has entered into CalGang to ensure the existence of proper support for each criterion. It should purge from CalGang any records for gangs or gang members that do not meet the criteria for entry. Individuals who are independent from the ongoing administration and use of CalGang should lead this review. The agency should complete the gang and gang member reviews in phases, with the final phase for gangs to be completed by June 30, 2018, and the final phase for gang members to be completed by June 30, 2019.	Pending	Sonoma County Sheriff's Office
30. Until Sonoma County Sheriff's Office receives further direction from the board, the committee, or Justice, it should address the specific deficiencies we found by developing or modifying as necessary all its policies and procedures related to CalGang to ensure they align with state law, CalGang policy, the federal regulations, and the state guidelines. In particular, the agency should implement appropriate policies and procedures for entering gangs; performing supervisory reviews of gang and gang member entries; performing periodic CalGang record reviews; sharing CalGang information; and complying with juvenile notification requirements. The agency should complete this recommendation by March 31, 2017.	Pending	Sonoma County Sheriff's Office

Report Number 2016-301

Judicial Branch Procurement: The Five Superior Courts We Reviewed Mostly Adhered to Required and Recommended Practices, but Some Improvements Are Needed (November 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. The San Joaquin court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the San Joaquin court should follow the recommended process for applicable noncompetitive procurements to ensure that vendors' prices are fair and reasonable.	Pending	Superior Court of California, County of San Joaquin
2. The San Mateo court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the San Mateo court should follow the recommended process for applicable noncompetitive procurements to ensure that vendors' prices are fair and reasonable.	Pending	Superior Court of California, County of San Mateo
3. The Tehama court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the Tehama court should follow the recommended process for applicable noncompetitive procurements to ensure that vendors' prices are fair and reasonable.	Pending	Superior Court of California, County of Tehama
4. The San Joaquin court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the San Joaquin court should follow the judicial contracting manual's recommendations for procurement processes, and it should provide and consistently retain in contract files its justifications for entering into contracts that it has not competitively bid.	Pending	Superior Court of California, County of San Joaquin
5. The San Mateo court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the San Mateo court should follow the judicial contracting manual's recommendations for procurement processes, and it should provide and consistently retain in contract files its justifications for entering into contracts that it has not competitively bid.	Pending	Superior Court of California, County of San Mateo
6. The Tehama court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the Tehama court should follow the judicial contracting manual's recommendations for procurement processes, and it should provide and consistently retain in contract files its justifications for entering into contracts that it has not competitively bid.	Pending	Superior Court of California, County of Tehama
7. The San Joaquin court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the San Joaquin court should ensure that contracts include all required elements and are properly approved.	Pending	Superior Court of California, County of San Joaquin
8. The Tehama court should follow the requirements and recommended practices of the Judicial Council and the State to ensure that it obtains the best value for the goods and services it purchases through contracts. Specifically, the Tehama court should ensure that contracts include all required elements and are properly approved.	Pending	Superior Court of California, County of Tehama
9. To ensure that it properly authorize payments and purchases only allowable items, the San Joaquin court should process payments in accordance with the requirements and recommended practices of the Judicial Council and the State. Specifically, the San Joaquin court should implement a process to ensure that its staff adheres to the requirements within its policy when exceeding the \$1,500 per transaction limit for purchase cards as established in the judicial contracting manual.	Pending	Superior Court of California, County of San Joaquin
10. To ensure that it properly authorize payments and purchases only allowable items, the San Joaquin court should process payments in accordance with the requirements and recommended practices of the Judicial Council and the State. Specifically, the San Joaquin court should make sure that it is receiving the goods and services it ordered. It should also pay vendors only after verifying receipt of the goods or services.	Pending	Superior Court of California, County of San Joaquin

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure that it properly authorize payments and purchases only allowable items, the San Mateo court should process payments in accordance with the requirements and recommended practices of the Judicial Council and the State. Specifically, the San Mateo court should make sure that it is receiving the goods and services it ordered. It should also pay vendors only after verifying receipt of the goods or services.	Pending	Superior Court of California, County of San Mateo
12. To ensure that it properly authorize payments and purchases only allowable items, the San Mateo court should process payments in accordance with the requirements and recommended practices of the Judicial Council and the State. Specifically, the San Mateo court should take steps to ensure that appropriate employees authorize all payments.	Pending	Superior Court of California, County of San Mateo
13. To ensure that it properly authorize payments and purchases only allowable items, the San Mateo court should process payments in accordance with the requirements and recommended practices of the Judicial Council and the State. Specifically, the San Mateo court should amend its bottled water service contract to ensure that water is purchased for use by jurors and court room staff only.	Pending	Superior Court of California, County of San Mateo

* The status of recommendations for audits issued between November and December 2016 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