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Table 1
Recommendation Status Summary

Senate Budget & Fiscal Review Subcommittee 1 on Education

Report Number 2015-112
Student Mental Health Services: Some Students' Services Were Affected by a New State Law, and the State Needs to Analyze Student Outcomes and Track Service Costs (January 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. The Legislature should amend state law to require the California Department of Education (Education) to report annually, beginning March 2017, regarding the outcomes for students receiving mental health services in the six key areas we identified. The report to the Legislature should include outcome data for the most recently completed school year and should compare the outcomes for students receiving mental health services with the outcomes for other special education students. Subsequent reports should also identify any trends in outcome data from one year to the next. Education should also provide comments in the report on the trends that it identifies and any actions it plans to take to improve the outcomes for students who receive mental health services.	Partially Implemented	Legislature
2. To ensure that it provides mental health services through an individualized education program (IEP) to all students who require such services, Long Beach Unified School District (Long Beach Unified) should analyze the number of students to whom it provides these services and determine whether the annual decline can be attributed to its early intervention program. If the decline cannot be attributed to the early intervention program, Long Beach Unified should reassess its process for determining whether students require mental health services through an IEP and make any necessary improvements to that process.	Fully Implemented	Long Beach Unified School District
3. To ensure that all local educational agencies (LEAs) comply with federal special education requirements, Education should require them to include directly in a student's IEP document reasons for any changes to student placement or services.	Will Not Implement	Department of Education
4. To better communicate with parents and future IEP teams about reasons for any changes to student services, including changes to mental health services and student placements, Long Beach Unified should develop a process to ensure that IEP teams record these reasons in student IEP documents.	Partially Implemented	Long Beach Unified School District
5. To better communicate with parents and future IEP teams about reasons for any changes to student services, including changes to mental health services and student placements, Mt. Diablo Unified School District (Mt. Diablo Unified) should develop a process to ensure that IEP teams record these reasons in student IEP documents.	Fully Implemented	Mt. Diablo Unified School District
6. To better communicate with parents and future IEP teams about reasons for any changes to student services, including changes to mental health services and student placements, Riverside County (Riverside) Special Education Local Plan Area (SELPA) should develop a process to ensure that IEP teams record these reasons in student IEP documents.	Fully Implemented	Riverside County SELPA
7. To better communicate with parents and future IEP teams about reasons for any changes to student services, including changes to mental health services and student placements, South East Consortium (South East) should develop a process to ensure that IEP teams record these reasons in student IEP documents.	Fully Implemented	South East Consortium SELPA
8. To enable it to review additional areas of its special education program for quality assurance, Education should collect information about the frequency of the provision of each service contained in all students' IEPs. Education should then use this information to annually review the frequency of mental health services and follow up with SELPAs when it observes a significant reduction in the frequency of services.	Will Not Implement	Department of Education
9. To ensure that LEAs comply with federal and state requirements, Education should require all LEAs to use the IEP document to communicate the rationale for residential treatment and any potential harmful effects of such placement.	Will Not Implement	Department of Education
10. To ensure that it complies with federal and state requirements, Long Beach Unified should develop a process to ensure that IEP teams record, in student IEP documents, the rationale for residential treatment and any potential harmful effects of such placement.	Partially Implemented	Long Beach Unified School District

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure that it complies with federal and state requirements, Mt. Diablo Unified should develop a process to ensure that IEP teams record, in student IEP documents, the rationale for residential treatment and any potential harmful effects of such placement.	Fully Implemented	Mt. Diablo Unified School District
12. To ensure that it complies with federal and state requirements, Riverside should develop a process to ensure that IEP teams record, in student IEP documents, the rationale for residential treatment and any potential harmful effects of such placement.	Fully Implemented	Riverside County SELPA
13. To ensure that it complies with federal and state requirements, South East should develop a process to ensure that IEP teams record, in student IEP documents, the rationale for residential treatment and any potential harmful effects of such placement.	Fully Implemented	South East Consortium SELPA
14. To better understand the effectiveness of the mental health services in its special education program, Long Beach Unified should use the six performance indicators we identified to perform analysis annually on the subset of students receiving mental health services.	Pending	Long Beach Unified School District
15. To better understand the effectiveness of the mental health services in its special education program, Mt. Diablo Unified should use the six performance indicators we identified to perform analysis annually on the subset of students receiving mental health services.	Fully Implemented	Mt. Diablo Unified School District
16. To better understand the effectiveness of the mental health services in its special education program, Murrieta Valley Unified School District should use the six performance indicators we identified to perform analysis annually on the subset of students receiving mental health services.	Fully Implemented	Murrieta Valley Unified School District
17. To better understand the effectiveness of the mental health services in its special education program, East Side Union High School District (East Side) should use the six performance indicators we identified to perform analysis annually on the subset of students receiving mental health services.	Partially Implemented	East Side Union High School District
18. Education should analyze and report to the Legislature, by May 30, 2016, on the outcomes for students receiving mental health services statewide, including outcomes across the six performance indicators we identified, in order to demonstrate whether those services are effective. Once it has reported this statewide information, Education should provide each LEA throughout the State a report regarding the outcomes for the students the LEA served.	Will Not Implement	Department of Education
19. The Legislature should amend state law to require counties to enter into agreements with SELPAs to allow SELPAs and their LEAs to access Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) funding through the county mental health plans by providing EPSDT mental health services. If individual counties can demonstrate good reason why this type of arrangement is not possible or beneficial, the amended law should allow the counties to opt out of the collaboration by seeking a time-limited waiver from Health Care Services. The Legislature should require Health Care Services to make a final determination as to whether counties will be allowed to opt out of the required collaboration. The Legislature should require counties seeking a waiver to specify what barriers exist to working with SELPAs and their LEAs and how the county is attempting to remove those barriers.	Legislation Proposed But Not Enacted	Legislature
20. To ensure that the State knows the amount LEAs spend to provide mental health services for student IEPs, before the start of the 2017–18 fiscal year, Education should develop, and require all LEAs to follow, an accounting methodology to track and report expenditures related to special education mental health services.	Will Not Implement	Department of Education
21. To ensure that LEAs provide mental health services as required, Education should, on an annual basis, identify LEAs with accumulated balances of mental health funding and analyze whether the LEA has had a corresponding drop in mental health service levels. For all LEAs that Education determines have both an accumulated balance and a corresponding drop in services, Education should follow up with the LEA to determine whether the LEA is meeting its obligations to provide mental health services to students as part of the special education program.	Resolved	Department of Education
22. To ensure that all staff it hires are qualified to provide mental health services, Long Beach Unified should update its minimum qualifications for the autism supervisor position to comply with state regulatory requirements no later than March 2016.	Fully Implemented	Long Beach Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
23. To ensure that the licensed staff it hires are qualified at the time of hire and throughout their employment, Mt. Diablo Unified should follow its formal procedures to ensure that staff possess required licenses when hired and that their licenses remain current while employed.	Fully Implemented	Mt. Diablo Unified School District
24. To ensure that it can demonstrate that the contracted personnel who provide mental health services are qualified, Long Beach Unified should annually obtain and retain copies of contractor personnel lists and the credentials or licenses for personnel who provide mental health services to students in the SELPA.	Fully Implemented	Long Beach Unified School District
25. To ensure that it can demonstrate that the contracted personnel who provide mental health services are qualified, Mt. Diablo Unified should annually obtain and retain copies of contractor personnel lists and the credentials or licenses for personnel who provide mental health services to students in the SELPA.	Fully Implemented	Mt. Diablo Unified School District
26. To ensure that it can demonstrate that the contracted personnel who provide mental health services are qualified, Riverside should annually obtain and retain copies of contractor personnel lists and the credentials or licenses for personnel who provide mental health services to students in the SELPA.	Fully Implemented	Riverside County SELPA
27. To ensure that it can demonstrate that the contracted personnel who provide mental health services are qualified, East Side should annually obtain and retain copies of contractor personnel lists and the credentials or licenses for personnel who provide mental health services to students in the LEA.	Fully Implemented	East Side Union High School District
28. Education should require all LEAs and SELPAs that hold contracts for mental health services to annually obtain and retain copies of contractor personnel lists and the credentials or licenses for contractor personnel who provide mental health services to students in their respective LEA or SELPA.	Partially Implemented	Department of Education
29. To ensure that the State provides special education and related services to all eligible students, Education should investigate the difference between the estimated number of school aged children statewide who have a severe emotional disturbance and the number receiving mental health services through an IEP and determine the reason for such a discrepancy. Education should then take any steps necessary to assist LEAs in identifying and providing services to children who are severely emotionally disturbed.	Will Not Implement	Department of Education

Report Number 2015-107

The University of California: Its Admissions and Financial Decisions Have Disadvantaged California Resident Students (March 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To meet its commitment to California residents, the University of California (university) should replace its “compare favorably” policy with a new admission standard for nonresident applicants that reflects the intent of the Master Plan. The admission standard should require campuses to admit only nonresidents with admissions credentials that place them in the upper half of the residents it admits.	Will Not Implement	University of California
2. To meet its commitment to California residents, the university should amend its referral process by taking steps to increase the likelihood that referred residents ultimately enroll.	Partially Implemented	University of California
3. To ensure that campuses’ interpretations of admission standards do not adversely impact residents, the university should implement a thorough process to annually evaluate the qualifications of students who apply and students who are admitted. These evaluations should highlight instances when campuses admit nonresidents who are less qualified than residents and should include corrective action steps. Moreover, this evaluation should include resident and nonresident undergraduate enrollment in majors at each campus. The university should make the results of this evaluation—including details of the academic qualifications of students who applied and who were admitted—publicly available.	Partially Implemented	University of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To ensure that it has accurate information upon which to make funding decisions, the Legislature should consider amending the state law that requires the university to prepare a biennial cost study. The amendment should include requirements for the university to differentiate costs by student academic level and discipline and to base the amounts it reports on publicly available financial information. In the absence of legislative action, the university should conduct a cost study every three to five years and ensure that it is based upon publicly-available financial information. The university should use the results of the cost studies as a basis for the tuition it charges and for the proposed funding needs that it presents to the Legislature.	No Action Taken	Legislature
5. To ensure that the university does not base future admission decisions on the revenue that students generate, the Legislature should consider amending state law to limit the percentage of nonresidents that the university can enroll. For example, the Legislature could require that the university limit nonresident enrollment to 5 percent of total undergraduate enrollment. To accomplish this, the Legislature should consider requiring that the university's annual appropriations be based on enrolling agreed-upon percentages of residents and nonresidents.	No Action Taken	Legislature
6. To ensure that the university meets its commitment to residents and to bring transparency and accountability to admission outcomes, the Legislature should consider excluding the students who the university places in the referral pool and who do not ultimately enroll at the referral campus when calculating the university's Master Plan admission rate until the percentage of students who enroll through the referral process more closely aligns with that of the other campuses.	No Action Taken	Legislature
7. To improve its internal operations and promote cost savings related to the nearly \$13 billion it spent on employee salaries in fiscal year 2014–15, the university should conduct a systemwide assessment to identify ways to streamline and reduce its employee costs.	Pending	University of California
8. To ensure the reasonableness of the compensation the university pays its executives, it should include—to the extent possible—all items of compensation when setting or adjusting salaries and benefits, when conducting surveys and studies, and when comparing the compensation packages of its executives to those in similar positions outside the university.	Partially Implemented	University of California
9. To ensure that its process for establishing and revising salaries for its top executives is documented, thorough, and consistently applied, the university should implement the five outstanding recommendations from its 2013 internal review report by August 2016.	Partially Implemented	University of California
10. To improve the transparency and timeliness of its annual compensation report, the university should streamline the process it uses to prepare the report so it can be issued by April of each year.	Will Not Implement	University of California
11. To ensure that the home loan program is the best use of the university's investment funds, it should conduct a cost benefit analysis that factors in the opportunity costs of investing in the home loan program as opposed to other higher-returning assets.	Resolved	University of California
12. To maximize the savings and new revenue from the Working Smarter initiative and ensure that the university uses them for its academic and research missions, the Office of the President should immediately require that the campuses fully participate in all projects unless they can provide compelling evidence demonstrating a harmful effect.	Partially Implemented	University of California
13. To maximize the savings and new revenue from the Working Smarter initiative and ensure that the university uses them for its academic and research missions, the Office of the President should, by June 30, 2016, to the extent possible, implement a process to centrally direct these funds to ensure that campuses use them to support the core academic and research missions of the university.	Partially Implemented	University of California
14. To maximize the savings and new revenue from the Working Smarter initiative and ensure that the university uses them for its academic and research missions, the Office of the President should ensure that it substantiates that projects are actually generating savings and new revenue and that it can demonstrate how the university uses these funds.	Pending	University of California
15. To ensure that its recruiting efforts benefit residents, the university should prioritize recruiting residents over nonresidents. In particular, the university should focus its recruiting efforts broadly to ensure that it effectively recruits resident underrepresented minorities. For example, the university could establish a limit on the amount of funds it dedicates to nonresident recruiting. Further, it should develop a process to better track its nonresident and resident recruiting expenditures.	Partially Implemented	University of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
16. To determine if the campuses are using funds to further the goals of the University of California system and the Legislature, the Office of the President should begin regularly monitoring and analyzing how campuses are using both state funds and nonresident supplemental tuition. If, after the close of the fiscal year, the Office of the President determines that campuses are not using state funds and/or nonresident supplemental tuition in accordance with those goals, the Office of the President should take steps to correct the campuses' spending decisions as soon as possible.	Pending	University of California
17. To ensure that it spends state funds prudently for programs that do not directly relate to educating students, the university should track spending from state funds for programs that do not relate to educating students.	Pending	University of California
18. To ensure that it spends state funds prudently for programs that do not directly relate to educating students, the university should reevaluate these programs each year to determine whether they continue to be necessary to fulfill the university's mission.	Pending	University of California
19. To ensure that it spends state funds prudently for programs that do not directly relate to educating students, the university should explore whether the programs could be supported with alternate revenue sources.	Pending	University of California
20. To increase its transparency and help ensure that it can justify its spending decisions, the university should make publicly available the amounts of state funding it allocates toward per-student funding, as well as the amounts it or campuses spend for programs that are not directly related to educating students. The university should publicly present the ranges of per-student funding based upon the amount of funding excluded from the formula.	Fully Implemented	University of California
21. To ensure that its rebenching efforts lead to equalized per-student funding among the campuses, the university should include actual enrollment numbers in its rebenching formula.	Fully Implemented	University of California
22. To ensure that its rebenching efforts lead to equalized per-student funding among the campuses, the university should adopt a methodology that it can use, at least every three to five years, to update its weighting system to ensure the weight factors take into account campuses' actual costs of instruction, using the cost study that we recommend in Chapter 1 and other revenue sources if necessary.	Pending	University of California
23. To ensure that its rebenching efforts lead to equalized per-student funding among the campuses, the university should exclude from its rebenching calculation all state funding it uses for programs that do not directly relate to educating students. The university should exclude these programs only after it has evaluated them in accordance with the recommendation we made previously.	Will Not Implement	University of California
24. To ensure that its rebenching efforts lead to equalized per-student funding among the campuses, the university should include stakeholders such as students, legislative and executive branch staff, and student groups in future discussions of rebenching to ensure that it considers their viewpoints and to increase transparency regarding its funding decisions.	Fully Implemented	University of California

Report Number 2016-103

Los Angeles Unified School District: It Can Do More to Reduce the Impacts of Removing Teachers From Classrooms Because of Alleged Misconduct (October 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that Los Angeles Unified School District (Los Angeles Unified) is adequately monitoring compliance with key time frames of its reassignment policy, by April 2017 it should begin using its new database to report on how long reassignments have taken to move through the various steps in its policy or begin reporting on all key time frames by another means. Los Angeles Unified should also establish procedures to periodically monitor each key decision point throughout the reassignment process to ensure that responsible parties meet the time frames it has set for resolving teacher reassignments.	Fully Implemented	Los Angeles Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To avoid significant delays in returning reassigned teachers to work, by April 2017 Los Angeles Unified should develop written procedures to guide staff in identifying appropriate placement options. These procedures should include time frames by which relevant Los Angeles Unified personnel including, but not limited to, Employee Relations and the General Counsel, are to meet with one another to ensure an appropriate and timely placement. In cases in which the teacher has been reassigned for a long time, such as in cases returning from the Hearings office, the procedure should also establish time frames by which Los Angeles Unified meets with the teacher to discuss the teacher's placement preferences.	Fully Implemented	Los Angeles Unified School District
3. To improve the consistency of its formal reassignments, by April 2017 Los Angeles Unified should develop a comprehensive risk evaluation tool to guide its local administrators in determining whether allegations against a teacher represent a clear risk to students or district personnel. Los Angeles Unified's evaluation tool should consider factors such as a teacher's prior behavior, the vulnerability of affected students, and the complexity of the allegations.	Fully Implemented	Los Angeles Unified School District
4. To minimize the number of reassignment investigations unnecessarily referred to its Investigation Team, by April 2017 Los Angeles Unified should revise its policy to allow local administrators, in certain circumstances and with sufficient justification, to request small, specific additional amounts of time to complete their initial investigations and possibly avoid formal reassignments. When it grants additional time to a local administrator, Los Angeles Unified should continue to closely monitor the local administrator's activities until its preliminary investigation is complete.	Fully Implemented	Los Angeles Unified School District
5. To ensure that local administrators are providing appropriate and consistent information to reassigned teachers regarding the reasons for their reassignments, by April 2017 Los Angeles Unified should develop procedures to periodically review the documents it began collecting under its May 2016 policy revision and determine whether those documents are consistent with its policy and with the facts of the individual reassignments.	Fully Implemented	Los Angeles Unified School District
6. To ensure that it clearly informs reassigned teachers that they may voluntarily pursue professional development during their reassignments, including online training through Los Angeles Unified's Learning Zone program, by April 2017 Los Angeles Unified should revise the language in its standard reassignment documents.	Fully Implemented	Los Angeles Unified School District
7. To ensure that substitutes do not exceed assignment time limits that state law and regulations have established, by April 2017 Los Angeles Unified should formalize its recent practice of reviewing assignments of substitutes in its Smart Find system weekly. As part of this formalized practice, Los Angeles Unified should review open teacher reassignments to ensure that the Smart Find system includes all substitute assignments for those teachers.	Fully Implemented	Los Angeles Unified School District

Report Number 2016-110*Trade Apprenticeship Programs: The State Needs to Better Oversee Apprenticeship Programs, Such as the Air Conditioning Trade Association's Sheet Metal Program (November 2016)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
4. To ensure that the Air Conditioning Trade Association (ACTA) was reimbursed only for allowable costs from fiscal years 2010–11 through 2014–15, Central Unified School District (Central Unified) should determine how much it reimbursed ACTA for unallowable activities and work with the Community Colleges Chancellor's Office (Chancellor's Office) to determine how to recover those funds from ACTA.	Partially Implemented	Central Unified School District
5. To ensure that Central Unified correctly reimburses state funds to ACTA, Central Unified should develop a process—like the one it currently has for its other two apprenticeship programs—to verify that ACTA's apprentices have attended the online training courses for the corresponding hours ACTA reports. Further, Central Unified should ensure that it reimburses apprenticeship programs only for allowable activities.	Fully Implemented	Central Unified School District
6. To limit its risk and to clarify its roles and responsibilities as they relate to ACTA, Central Unified should update its agreement with ACTA to reflect each party's current roles and responsibilities. Further, Central Unified should periodically update this agreement to ensure that the agreement continues to reflect current roles and responsibilities.	Pending	Central Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
7. To ensure that LEAs develop sound contract agreements with apprenticeship programs, the Chancellor's Office and the Department of Industrial Relations Division of Apprenticeship Standards should develop a model agreement to outline the types of information, roles, and responsibilities for both parties as the Education Code requires and make this model agreement available to K-12 LEAs by April 2017. In addition, this model agreement should specify that K-12 LEAs will verify that the apprentices have attended the instructional courses by collecting supporting documentation such as sign-in sheets or rosters.	Fully Implemented	Community Colleges Chancellor's Office
10. To ensure accountability, the Legislature should amend state law to clarify that the Chancellor's Office has the authority to provide accounting guidance to and conduct audits of the K-12 LEAs' oversight of apprenticeship training funds.	Legislation Enacted	Legislature

Report Number 2016-112
School Library Services: Vague State Laws and a Lack of Monitoring Allow School Districts to Provide a Minimal Level of Library Services (November 2016)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that students receive a level of library services that better aligns with the Model School Library Standards for California Public Schools, Kindergarten Through Grade Twelve (model standards), the Legislature should define the minimum level and types of library services that schools must provide.	Legislation Vetoed	Legislature
2. To ensure that students receive a level of library services that better aligns with the model standards, the Legislature should broaden the authority of Teacher Credentialing and the county offices of education to address classified staff who perform duties that require certification.	No Action Taken	Legislature
3. To strengthen its library programs and help the State assess the condition of school libraries statewide, Redlands Unified School District (Redlands Unified) should ensure that teacher librarians are involved in the selection of library materials at each school.	Fully Implemented	Redlands Unified School District
4. To strengthen its library programs and help the State assess the condition of school libraries statewide, Redlands Unified should consider ways to leverage the teacher librarians it already employs to offer a broader range of services to all grade levels.	Fully Implemented	Redlands Unified School District
5. To strengthen its library programs and help the State assess the condition of school libraries statewide, Redlands Unified should use the model standards to assess the needs of its school library programs and address any identified needs during its local control accountability plan (LCAP) process.	Fully Implemented	Redlands Unified School District
6. To strengthen its library programs and help the State assess the condition of school libraries statewide, Redlands Unified should require its schools to participate in Education's annual school library survey.	Fully Implemented	Redlands Unified School District
7. To strengthen its library programs and help the State assess the condition of school libraries statewide, San Juan Unified School District (San Juan Unified) should ensure that teacher librarians are involved in the selection of library materials at each school.	Pending	San Juan Unified School District
8. To strengthen its library programs and help the State assess the condition of school libraries statewide, San Juan Unified should consider ways to leverage the teacher librarians it already employs to offer a broader range of services to all grade levels.	Fully Implemented	San Juan Unified School District
9. To strengthen its library programs and help the State assess the condition of school libraries statewide, San Juan Unified should use the model standards to assess the needs of its school library programs and address any identified needs during its LCAP process.	Pending	San Juan Unified School District
10. To strengthen its library programs and help the State assess the condition of school libraries statewide, San Juan Unified should require its schools to participate in Education's annual school library survey.	Pending	San Juan Unified School District
11. To strengthen its library programs and help the State assess the condition of school libraries statewide, Woodlake Unified School District (Woodlake Unified) should ensure that teacher librarians are involved in the selection of library materials at each school.	Fully Implemented	Woodlake Unified School District

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
12. To strengthen its library programs and help the State assess the condition of school libraries statewide, Woodlake Unified should consider ways to leverage the teacher librarians it already employs to offer a broader range of services to all grade levels.	Fully Implemented	Woodlake Unified School District
13. To strengthen its library programs and help the State assess the condition of school libraries statewide, Woodlake Unified should use the model standards to assess the needs of its school library programs and address any identified needs during its LCAP process.	Fully Implemented	Woodlake Unified School District
14. To strengthen its library programs and help the State assess the condition of school libraries statewide, Woodlake Unified should require its schools to participate in Education's annual school library survey.	Fully Implemented	Woodlake Unified School District
15. To strengthen school library programs in its county and help school districts comply with state law, the Sacramento County Office of Education should provide guidance to its school districts on using teacher librarians for the provision of library services, completing Education's annual school library survey, and identifying the needs of their school library programs by using the model standards as part of their LCAP process.	Fully Implemented	Sacramento County Office of Education
16. To strengthen school library programs in its county and help school districts comply with state law, the San Bernardino County Superintendent of Schools should provide guidance to its school districts on using teacher librarians for the provision of library services, completing Education's annual school library survey, and identifying the needs of their school library programs by using the model standards as part of their LCAP process.	Fully Implemented	San Bernardino County Superintendent of Schools
17. To strengthen school library programs in its county and help school districts comply with state law, the Tulare County Office of Education should provide guidance to its school districts on using teacher librarians for the provision of library services, completing Education's annual school library survey, and identifying the needs of their school library programs by using the model standards as part of their LCAP process.	Fully Implemented	Tulare County Office of Education
18. To strengthen its monitoring of staff assignments, the California Commission on Teacher Credentialing (Teacher Credentialing) should work with Education to identify potential misassignments by comparing annually the staffing information reported by school districts to Education against Teacher Credentialing's credentialing records. Further, Teacher Credentialing should incorporate misassignments identified using Education's data into its existing notification, reporting, and sanctioning structure. If Teacher Credentialing believes it needs express statutory authority to do so, it should seek it.	Pending	Commission on Teacher Credentialing
19. To better understand the condition of school libraries statewide and to raise stakeholders' awareness of the State Education Board's adopted model standards, Education should redesign its annual school library survey to solicit answers that will better help Education determine whether schools are implementing the model standards and better assess the type and extent of library services the schools provide.	Fully Implemented	Department of Education
20. To better understand the condition of school libraries statewide and to raise stakeholders' awareness of the State Board of Education's (State Education Board) adopted model standards, Education should use its directory of school districts to notify administrators about the annual school library survey and remind them that participation is mandatory.	Fully Implemented	Department of Education
21. To better understand the condition of school libraries statewide and to raise stakeholders' awareness of the State Education Board's adopted model standards, Education should work with the State Education Board to incorporate consideration of all academic content and performance standards adopted by the State Education Board into the tools that guide the local control funding formula (LCFF) process, including but not limited to the LCAP template, the evaluation rubrics, and publicly funded LCFF/LCAP trainings, such as those offered by the California Collaborative for Educational Excellence.	Fully Implemented	Department of Education
22. To better understand the condition of school libraries statewide and to raise stakeholders' awareness of the State Education Board's adopted model standards, Education should work with Teacher Credentialing to assist it in identifying potential misassignments by providing staffing information reported by school districts to Teacher Credentialing by April of each academic year.	Will Not Implement	Department of Education
23. To better understand the condition of school libraries statewide and to raise stakeholders' awareness of the State Education Board's adopted model standards, Education should identify school districts that reported employing significantly fewer teacher librarians in fiscal year 2015–16 than in previous years and verify the accuracy of their fiscal year 2015–16 reports.	Will Not Implement	Department of Education

Report Number 2016-109***Uniform Complaint Procedures: The California Department of Education's Inadequate Oversight Has Led to a Lack of Uniformity and Compliance in the Processing of Complaints and Appeals (January 2017)***

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure the requirements of the uniform complaint procedures (UCP) are consistent for complaints and appeals Education handles, the Legislature should codify the UCP regulations to, among other things, prescribe consistent time frames for completing all investigations of complaints and reviews of appeals by Education.	No Action Taken	Legislature
2. To ensure the requirements of the UCP are consistent for complaints and appeals Education handles, the Legislature should codify the UCP regulations to, among other things, identify a consistent time limit for filing UCP complaints.	No Action Taken	Legislature
3. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should distribute complaints and appeals to the correct divisions for investigation or review.	Will Not Implement	Department of Education
4. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should establish a single database to record and track all investigations of complaints and reviews of appeals. This database should capture all data necessary for Education to effectively make informed decisions related to UCP complaints or appeals. At a minimum, the database should capture the date on which Education received each complaint or appeal, the date on which it forwarded the complaint or appeal to the appropriate division for investigation or review, and the date on which it sent the decision to the complainant. The database should also include the type of complaint or appeal, the LEA involved, and the decision.	Pending	Department of Education
5. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should track the divisions' progress in processing complaints and appeals to ensure the divisions meet all UCP requirements, including documenting exceptional circumstances that constitute good cause for extending investigations beyond 60 days.	Will Not Implement	Department of Education
6. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should work with divisions to establish policies and procedures for the divisions to follow when investigating UCP complaints and reviewing appeals. The procedures should identify the individuals or units responsible for investigating complaints and reviewing appeals, the steps and time frames for conducting investigations and reviews, the requirements for issuing decisions, and the documentation that should be retained in the files.	Pending	Department of Education
7. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should establish and distribute a standard investigation report format that includes the required elements for the divisions to use when processing UCP complaints.	Will Not Implement	Department of Education
8. To ensure that it consistently processes complaints and appeals in a timely manner and that it investigates and reviews all UCP complaints and appeals in compliance with state law and regulations, by July 2017 Education should designate a central office to receive all complaints and appeals. This central office should monitor the divisions' decisions and reports on complaints and appeals to ensure that they comply with requirements.	Pending	Department of Education

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
9. To ensure that its regulations are consistent and align with state and federal requirements, by July 2017 Education should initiate revising its regulations to require its divisions to complete investigations of complaints and reviews of appeals related to all programs within 60 days of Education receiving them, including providing its decisions in writing to complainants, unless otherwise specified in statute or federal regulations.	Will Not Implement	Department of Education
10. To ensure that its regulations are consistent and align with state and federal requirements, by July 2017 Education should initiate revising its regulations to allow Nutrition Services to investigate all complaints as direct intervention.	Will Not Implement	Department of Education
11. To ensure that it complies with UCP regulations and makes complainants aware of the outcome of investigations, beginning February 2017 Nutrition Services should provide them with investigation reports, even when the complainants request anonymity from the LEAs involved.	Fully Implemented	Department of Education
12. To emphasize LEAs' ability to use alternative methods to resolve complaints, including mediation, alternative dispute resolution, or restorative practices, when codifying the UCP regulations, the Legislature should specify these as possible methods for resolving complaints.	No Action Taken	Legislature
13. To make the provisions for extending investigations consistent between Education and LEAs, when codifying the UCP regulations, the Legislature should allow LEAs to extend investigations. Specifically, in the absence of an agreement from the complainant, allow LEAs to extend an investigation under exceptional circumstances that constitute good cause if the LEAs document and support with evidence the reasons for the extensions.	No Action Taken	Legislature
14. To minimize the number of complaints it receives through the UCP process that do not fall within the purview of UCP regulations, Los Angeles Unified should establish a mechanism that allows specified individuals for the districts to promptly discuss with complainants how best to address their issues or complaints and to determine whether their complaints fall under the purview of the UCP before they file complaints.	Fully Implemented	Los Angeles Unified School District
15. To minimize the number of complaints it receive through the UCP process that do not fall within the purview of UCP regulations, San Juan Unified should establish a mechanism that allows specified individuals for the districts to promptly discuss with complainants how best to address their issues or complaints and to determine whether their complaints fall under the purview of the UCP before they file complaints.	Fully Implemented	San Juan Unified School District
16. To increase the efficiency and effectiveness of LEAs' UCP processes, Education should work with those LEAs throughout the State that receive a disproportionately high number of non-UCP complaints through the UCP process to assess the potential benefits of establishing similar mechanisms.	Will Not Implement	Department of Education
17. To ensure that it can defend its extensions of complaint investigations that are authorized by existing UCP regulations, Los Angeles Unified should obtain agreements from complainants before extending investigations beyond the required 60 days.	Fully Implemented	Los Angeles Unified School District
18. To ensure that it can defend its extensions of complaint investigations that are authorized by existing UCP regulations, San Diego Unified School District (San Diego Unified) should obtain agreements from complainants before extending investigations beyond the required 60 days.	Fully Implemented	San Diego Unified School District
19. To ensure that it can defend its extensions of complaint investigations that are authorized by existing UCP regulations, San Juan Unified should obtain agreements from complainants before extending investigations beyond the required 60 days.	Fully Implemented	San Juan Unified School District
20. To ensure its decisions are clear and comply with state regulations, San Juan Unified should include in its investigation reports all required elements, including clear conclusions of law and corrective actions with specific actions and timelines for completion. If it believes the requirements in UCP regulations are not clear, San Juan Unified should seek guidance from Education.	Fully Implemented	San Juan Unified School District
21. To ensure that it meets the legally required time frames for remedying issues alleged in Williams complaints, Los Angeles Unified's Educational Equity Compliance Office should work closely with the divisions responsible for addressing issues in the Williams complaints to ensure they are completed within the required time frame. Further, it should ensure that it maintains the appropriate documentation to demonstrate that it complied with requirements for remedying the issues in Williams complaints within 30 working days.	Fully Implemented	Los Angeles Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
22. To ensure that its regulations are consistent and align with state and federal requirements, Education should revise its regulations to allow LEAs to extend investigations under exceptional circumstances that constitute good cause if the LEAs document and support with evidence the reasons for the extensions.	Pending	Department of Education
23. After it makes the recommended regulatory changes to allow extensions under exceptional circumstances, Education should review LEAs' extensions to investigations as part of its Federal Program Monitoring to ensure that LEAs' documentation is sufficient and that their reasons adequately justify such extensions.	Pending	Department of Education
24. To ensure that all charter schools comply with state law and regulations related to the UCP, to the extent a charter school engages in programs that are subject to UCP, Education should by July 2017 include LEA-authorized charter schools as part of its selection of LEAs when conducting Federal Program Monitoring reviews.	Pending	Department of Education
25. To ensure that all charter schools comply with state law and regulations related to the UCP, to the extent a charter school engages in programs that are subject to UCP, San Diego Unified should by June 2017 establish procedures to include a review of translation requirements during its monitoring of UCP policies, procedures, and complaint forms at its charter schools.	Fully Implemented	San Diego Unified School District
26. To ensure that all charter schools comply with state law and regulations related to the UCP, to the extent a charter school engages in programs that are subject to UCP, Los Angeles Unified should by June 2017 revise its review procedures to verify that all charter schools' policies and procedures meet the requirements of UCP regulations, including required content, during its monitoring reviews. Los Angeles Unified should implement these revised procedures for oversight beginning in the 2017-18 school year.	Pending	Los Angeles Unified School District
27. To ensure it examines sufficient review samples to detect LEAs' noncompliance with UCP laws and regulations, Education should revise its UCP monitoring criteria by July 2017 to increase its random selection of complaint files at each LEA to a minimum of 10 percent or 10 complaint files, whichever is greater.	Pending	Department of Education
28. Education should revise UCP regulations to formally establish uniform time limits for filing all types of complaints.	No Action Taken	Department of Education
29. To ensure it complies with its UCP procedures, San Diego Unified should by March 2017 establish additional measures to verify it sends its final investigation reports in the languages in which the complainants submit their complaints.	Fully Implemented	San Diego Unified School District

Report Number 2016-114

College Readiness of California's High School Students: The State Can Better Prepare Students for College by Adopting New Strategies and Increasing Oversight (February 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. If the Legislature wishes to further prioritize students' completion of college preparatory coursework, it should help ensure grade nine students are ready for the challenge of such work by devoting additional resources or reallocating existing resources for educational efforts beginning in kindergarten and continuing through grade eight, particularly to support math and English college readiness. Funding mechanisms similar to the College Readiness Block Grant could help better prepare kindergarten through grade eight students for the rigors of college preparatory coursework in high school.	No Action Taken	Legislature
2. To ensure that school districts (districts) throughout the State comply with existing law, the Legislature should require districts to conduct analyses to verify that all high school students receive acceptable levels of access to the full range of college preparatory coursework. If the Legislature decides to require these analyses, it should also consider whether additional funding may be necessary to support the districts' associated administrative costs. If implemented, the analyses should require the following components: <ul style="list-style-type: none"> • Districts should report the results of their analyses to Education. • Education should issue an annual report to the Legislature detailing all districts with high schools that have failed to demonstrate sufficient access. 	No Action Taken	Legislature

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
3. To increase students' access to and completion rates of college preparatory coursework, districts should develop and institute an on track/off track student identification model similar to San Francisco's model that will allow them to determine whether students are completing grade-level college preparatory coursework. The districts should notify parents when they identify students as falling off track and should advise the parents and students of available support and credit recovery options. Furthermore, school staff should be required to meet with and document the support they provide to these students.	Pending	Coachella Valley Unified School District
4. To increase students' access to and completion rates of college preparatory coursework, districts should develop and institute an on track/off track student identification model similar to San Francisco's model that will allow them to determine whether students are completing grade-level college preparatory coursework. The districts should notify parents when they identify students as falling off track and should advise the parents and students of available support and credit recovery options. Furthermore, school staff should be required to meet with and document the support they provide to these students.	Pending	Stockton Unified School District
5. To increase students' access to and completion rates of college preparatory coursework, districts should create a robust and stable network of credit recovery options that reflect the needs of their student populations. These options—which the districts should monitor for effectiveness—should include summer school courses and evening courses.	Pending	Coachella Valley Unified School District
6. To increase students' access to and completion rates of college preparatory coursework, districts should create a robust and stable network of credit recovery options that reflect the needs of their student populations. These options—which the districts should monitor for effectiveness—should include summer school courses and evening courses.	Pending	Stockton Unified School District
7. To increase students' access to and completion rates of college preparatory coursework, districts should create and institute a centralized process for submitting, managing, and tracking college preparatory courses and certification requests. This process should maximize the number of certified courses that the district offers. Further, to ensure that students receive appropriate credit for their college preparatory coursework, this process should match the University's course listings with each school's master schedule of courses.	Pending	Coachella Valley Unified School District
8. To increase students' access to and completion rates of college preparatory coursework, districts should create and institute a centralized process for submitting, managing, and tracking college preparatory courses and certification requests. This process should maximize the number of certified courses that the district offers. Further, to ensure that students receive appropriate credit for their college preparatory coursework, this process should match the University's course listings with each school's master schedule of courses.	Resolved	Stockton Unified School District
9. To increase college preparatory completion rates, the Legislature should require Education or another state entity to coordinate statewide college readiness efforts focusing on increasing college preparatory completion rates.	No Action Taken	Legislature
10. To comply with existing law and ensure that students receive sufficient access to college preparatory coursework, Education should provide training and guidance to districts throughout the State on the creation and application of appropriate district- and school-level access analyses.	Partially Implemented	Department of Education
11. To ensure that high school graduates are eligible for admission to the State's public university systems, the Legislature should require county offices to monitor districts to determine whether they offer students adequate access to college preparatory coursework.	No Action Taken	Legislature
12. To ensure districts' accountability plans are accurate and informative, the Legislature should require county offices to review districts' accountability plans and monitor the actions the districts take to implement the goals in those plans.	No Action Taken	Legislature

Report Number I2017-1*Investigations of Improper Activities by State Agencies and Employees: Misuse of Resources, Inaccurate Attendance Records, Disclosure of Confidential Information, and Improper Payments (March 2017)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
24. San Diego State University should continue to collect repayment until the entire amount has been repaid.	Partially Implemented	California State University, San Diego

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
27. California State University, Fresno (Fresno State) should continue to implement the recommendations it made regarding the investigation. Specifically, Fresno State recommended that the library employee's supervisor and lead staff member identify alternative work that the library employee can complete while he is serving as the official library resource, instruct the library employee to limit his Internet use on his work computer during both breaks and lunch, identify online work-related training for the library employee to access during work time if he has completed all of his assigned work for that shift or has other available time during his work hours, and provide more direct supervision of the library employee to ensure that he uses his work time to benefit the needs of the library.	Fully Implemented	California State University, Fresno

Report Number 2016-117

Alliance College-Ready Public Schools: The Nonprofit Did Not Spend Public Funds or Divert Classroom Resources in Response to Unionization Efforts (April 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure it complies with federal laws regarding student privacy, Alliance College-Ready Public Schools (Alliance) should document its revised process for collecting, tracking, and monitoring the list of Alliance students and families who have opted out of sharing their directory information with third parties.	Fully Implemented	Alliance College-Ready Public Schools
2. Alliance should standardize its data-sharing agreements so that each agreement contains robust and specific language regarding data security and the confidentiality of the data being shared.	Fully Implemented	Alliance College-Ready Public Schools
3. The Alliance home office should update and formalize its procurement policies and procedures manual to establish competitive bidding thresholds for the procurement of goods and services, and it should provide adequate training to appropriate staff before the start of the 2017-18 school year.	Fully Implemented	Alliance College-Ready Public Schools
4. The Alliance home office should update and formalize its procurement policies and procedures manual to require both the Alliance home office and charter schools to retain contract records for at least five years, and it should provide adequate training to appropriate staff before the start of the 2017-18 school year.	Fully Implemented	Alliance College-Ready Public Schools
5. The Alliance home office should update and formalize its procurement policies and procedures manual to establish adequate segregation of duties for procurements to mitigate the risk of fraud and abuse, and it should provide adequate training to appropriate staff before the start of the 2017-18 school year.	Fully Implemented	Alliance College-Ready Public Schools
6. The Alliance home office should update and formalize its procurement policies and procedures manual to obtain and retain vendor conflict-of-interest forms, and it should provide adequate training to appropriate staff before the start of the 2017-18 school year.	Fully Implemented	Alliance College-Ready Public Schools

Report Number 2016-122

California State University: Stronger Oversight Is Needed for Hiring and Compensating Management Personnel and for Monitoring Campus Budgets (April 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To improve the oversight of California State University's (CSU) management personnel, the CSU Chancellor's Office (Chancellor's Office) should develop a policy that requires its own divisions and departments and campuses to prepare written justifications for both the purpose and specific number of proposed additional management positions. As appropriate, these should justify the number of management personnel positions to be hired based on a workload staffing analysis and the number of people to be supervised. The Chancellor's Office should also require human resources units to maintain these justifications and make them publicly available to stakeholders when requested. No later than one year following the issuance of this new policy, the Chancellor's Office should begin monitoring its own divisions and departments and campuses to ensure that they are properly justifying all new management personnel hires.	Pending	California State University

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To improve the oversight of CSU's management personnel, the Chancellor's Office should ensure that its own divisions and departments and campuses create, implement, and adhere to a written merit evaluation plan for management personnel in accordance with state regulations. Furthermore, the Chancellor's Office should monitor its own divisions and departments and campuses to ensure that they are complying with their merit evaluation plans and are granting raises to management personnel only based on merit as evidenced by current, documented performance evaluations.	Pending	California State University
3. To improve the oversight of CSU's management personnel, the Chancellor's Office should work with campuses, bargaining unit representatives, the Public Employment Relations Board, and others as necessary to come to an agreement on the appropriate classification of coaches. The Chancellor's Office should take into account the concerns that San Diego State has raised about the labor market for these employees.	Pending	California State University
4. To improve its budget oversight of CSU, the Legislature should require CSU to submit an annual report that provides information on specific activities that CSU engaged in during the previous year to meet the State's goals for student success.	No Action Taken	Legislature
5. To ensure effective, consistent budget oversight at CSU campuses, the Chancellor's Office should require campuses to develop and implement budget oversight policies that define the minimum level and frequency of reviews that budget managers are required to perform, including the periodic comparison of budgets to actual spending levels, the types of corrective actions to take when they identify budget anomalies, and the retention of appropriate records of those reviews.	Fully Implemented	California State University
6. To minimize concerns regarding possible conflicts of interest, the Chancellor's Office should work with the board to develop, approve, and implement an executive compensation policy that expressly prohibits the use of foundation funds to pay campus presidents.	Fully Implemented	California State University
7. To better ensure the reasonability of the reimbursements CSU pays for relocation and moving expenses, the Chancellor's Office should, by October 2017, place an appropriate cap on the amount it will reimburse CSU executives for relocation and moving expenses, based on either a dollar amount or a percentage of base salary. If the chancellor authorizes a reimbursement amount greater than this cap, the chancellor should submit a written explanation to the board to justify the payment.	Pending	California State University
8. To better ensure the reasonability of the reimbursements CSU pays for relocation and moving expenses, the Chancellor's Office should, by October 2017, revise its policy to require campuses to place an appropriate cap on the amount they will reimburse campus staff for relocation and moving expenses, based on either a dollar amount or a percentage of base salary. If the campus president authorizes a reimbursement amount greater than this cap, the president should submit a written explanation to the chancellor to justify the payment.	Pending	California State University
9. To better ensure the reasonability of the reimbursements CSU pays for relocation and moving expenses, the Chancellor's Office should, by October 2017, follow up with the campuses to ensure that they have sufficiently complied with its policy regarding the adoption of thresholds and caps for reimbursing staff for relocation and moving expenses and that those thresholds and caps are reasonable. If necessary, the Chancellor's Office should provide more exact guidance to the campuses on how to establish these thresholds and caps.	Pending	California State University
10. The Chancellor's Office should finish developing the Common Human Resources System and implement it as scheduled by December 2019.	Pending	California State University
11. Once it receives the results of its consultant's study on executive compensation, the Chancellor's Office should collaborate as soon as possible with interested parties, such as the Legislative Analyst's Office, to develop methodologies for future compensation comparisons that consider total compensation.	Pending	California State University
12. Within six months, the Chancellor's Office should revise its policy to clarify when campuses need to obtain indemnifications from management personnel who will be on paid administrative leave and should begin monitoring campuses to ensure that they are adhering to its policy.	Pending	California State University
13. Within six months, the Chancellor's Office should begin monitoring campuses to ensure that they are complying with the faculty bargaining unit requirements for disclosing outside employment.	Resolved	California State University

Report Number 2016-130

The University of California Office of the President: It Failed to Disclose Tens of Millions in Surplus Funds, and Its Budget Practices Are Misleading (April 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
<p>1. To ensure that the Office of the President's actions align with the university's primary mission, the Legislature should appropriate an amount directly to the Office of the President through the annual state budget process that eliminates the need for a campus assessment. Based on the Office of the President's actions as it implements its three-year plan, evaluate the amount of the direct appropriation annually. Once the Office of the President has completed the three-year plan, evaluate the necessity of a continued direct appropriation after assessing the strength of the Office of the President's new budget, accounting, and staffing policies, as well as its demonstrated commitment to ongoing transparency.</p>	Legislation Enacted	Legislature
<p>2. To ensure that the Office of the President's actions align with the university's primary mission, the Legislature should do the following:</p> <ul style="list-style-type: none"> • From the funds appropriated, require the Board of Regents (regents) to contract with an independent third party that can assist the regents in monitoring the three-year corrective action plan for the Office of the President. The Legislature should hold annual hearings that include a status report by the independent third party regarding the Office of the President's progress, challenges, and barriers to success in implementing the three-year corrective action plan. 	Resolved	Legislature
<p>3. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2018 the Office of the President should document and review the restrictions on its funds and fund commitments to determine whether it can reallocate any of these funds to its discretionary budget for eventual reallocation to campuses.</p>	Pending	University of California
<p>4. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2018 the Office of the President should develop a reserve policy that governs how large its reserves should be and the purposes for which they can be used.</p>	Pending	University of California
<p>5. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2018 the Office of the President should implement our recommended budget presentation shown in Figure 11 on page 40. Specifically, the Office of the President's budget presentation to the regents should include a comparison of its proposed budget to its actual expenditures for the previous year. It should also include all its expenditures and identify changes to the discretionary and restricted reserves. The Office of the President should combine both the disclosed and undisclosed budgets into one budget presentation.</p>	Pending	University of California
<p>6. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2018 the Office of the President should increase opportunities for campus stakeholder involvement in the budget development process by reconvening the campus budget committee and establishing an agreed-upon charter that describes the committee's scope, role, and protocol for reviewing and providing comments on the Office of the President's annual budget.</p>	Fully Implemented	University of California
<p>7. To ensure the ongoing accountability of the Office of the President, the regents should require it to implement our recommendations and report periodically on its progress.</p>	Pending	University of California Board of Regents
<p>8. To ensure that the Office of the President's spending aligns with the needs of campuses and students, the regents should hold a public meeting to discuss the results of the Office of the President's review of its fund restrictions and funding commitments, as well as its proposal to reallocate funds to campuses.</p>	Pending	University of California Board of Regents
<p>9. To ensure that the Office of the President's financial safeguards are adequate, the regents should require the Office of the President to engage in a financial audit of only the Office of the President's operations.</p>	Pending	University of California Board of Regents
<p>10. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2018 the Office of the President should develop a method for weighing comparable public and private sector pay data when establishing salaries for all positions.</p>	Pending	University of California

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
11. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2018 the Office of the President should determine how to restructure salary ranges to make certain the ranges encourage employee development and ensure pay equity.	Pending	University of California
12. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2018 the Office of the President should evaluate and identify needed changes in employee benefit policies to ensure that they include reasonable safeguards to control costs.	Partially Implemented	University of California
13. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2018 the Office of the President should complete phase one of CalHR's best-practice workforce planning model by developing a strategic direction for its workforce plan.	Pending	University of California
14. To ensure that the Office of the President's staffing levels are justified and that costs are reasonable and align with the needs of campuses and other stakeholders, the regents should require the Office of the President to implement our recommendations and report periodically on its progress.	Pending	University of California Board of Regents
15. To ensure that the Office of the President is engaging in a thorough review of its systemwide and administrative costs and implementing our recommendations, the regents should develop a contract for an independent third party that can assist the regents in monitoring implementation of the three-year corrective action plan for the Office of the President. The independent third party should have expertise in higher education, public administration, and public finance. Moreover, the independent third party should have complete access to the Office of the President's documentation and its staff so that it has sufficient and appropriate information to verify the Office of the President's actions. The independent third party should report to the regents on the Office of the President's progress, challenges, and barriers to success at least quarterly.	Partially Implemented	University of California Board of Regents
16. To ensure that the Office of the President is engaging in a thorough review of its systemwide and administrative costs and implementing our recommendations, the regents should hold a public meeting that includes university stakeholders, including campuses and students, to discuss the purpose, intent, and prioritization of each systemwide and presidential initiative in light of campus funding levels for students. Require the Office of the President to publish the results of this meeting, including any systemwide or presidential initiatives that are eliminated or scaled down and the amount of money that will be reallocated to campuses for students.	Pending	University of California Board of Regents
17. To ensure that the Office of the President is engaging in a thorough review of its systemwide and administrative costs and implementing our recommendations, the regents should require the Office of the President to implement our recommendations and report periodically on its progress in doing so.	Pending	University of California Board of Regents
18. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2018 the Office of the President should develop and use a clear definition of systemwide initiatives and administration to ensure consistency in future budgets.	Pending	University of California
19. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2018 the Office of the President should develop a comprehensive list of systemwide initiatives and presidential initiatives, including their purpose and actual cost that will be used in the regents' meeting previously recommended.	Pending	University of California
20. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2019 the Office of the President should publish the results of its review of fund restrictions and fund commitments and identify any funds it anticipates reallocating to campuses.	Pending	University of California
21. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2019 the Office of the President should implement the best practices for budgeting identified by the Government Finance Officers Association (GFOA) and the National Association of College and University Business Officers (NACUBO), including developing budget policies and procedures and formally documenting, approving, and justifying all one-time and unexpected expenditure requests.	Pending	University of California
22. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2019 the Office of the President should continue to present a comprehensive budget based on the presentation in Figure 11 to the regents, the Legislature, and the public.	Pending	University of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
23. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2019 the Office of the President should set targets for any needed reductions to salary amounts using the results from its public and private sector comparison and adjust its salaries accordingly.	Pending	University of California
24. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2019 the Office of the President should narrow its salary ranges.	Pending	University of California
25. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2019 the Office of the President should set targets for appropriate employee benefits and implement new processes that ensure that employees adhere to the revised policies regarding employee benefits.	Partially Implemented	University of California
26. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2019 the Office of the President should create a plan for reallocating funds that it saves to campuses as it reduces its staffing costs.	Pending	University of California
27. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2019 the Office of the President should implement phase two of CalHR's best-practice workforce planning model by determining its current and future staffing and competency gaps. As part of this phase, the Office of the President should consider the input of stakeholders, including campuses and students, regarding which elements of its organization are of critical importance and which elements it could eliminate or downsize.	Pending	University of California
28. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2019 the Office of the President should establish spending targets for systemwide initiatives and administrative costs.	Pending	University of California
29. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2019 the Office of the President should publish the results of the review of systemwide and presidential initiatives, including any funds the Office of the President anticipates reallocating to the campuses.	Pending	University of California
30. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2019 the Office of the President should restructure budget and accounting systems to ensure that the costs of the Office of the President can be clearly tracked and reported annually. Specifically, the budget and accounting systems should be able to distinguish between systemwide initiatives, presidential initiatives, and administrative costs.	Pending	University of California
31. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2020 the Office of the President should reallocate to the campuses funds that it identified during its review of fund restrictions and fund commitments.	Pending	University of California
32. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2020 the Office of the President should evaluate its budget process to ensure that it is efficient and has adequate safeguards that ensure that staff approve and justify all budget expenditures. If the Office of the President determines that its safeguards are sufficient, it should begin developing a multiyear budget plan.	Pending	University of California
33. To determine the amount of money that it can reallocate to campuses and to ensure that it publicly presents comprehensive and accurate budget information, by April 2020 the Office of the President should report to the regents on the amount of funds it reallocated to campuses as a result of implementing our recommendations.	Pending	University of California
34. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should adjust its salary levels and ranges to meet its established targets.	Pending	University of California
35. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should adjust its employee benefits to meet its established targets.	Pending	University of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
36. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should reallocate funds to campuses when adjustments to its salaries and benefits result in savings.	Pending	University of California
37. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should implement phase three of CalHR's best-practice workforce planning model by presenting the final workforce plan to its staff and beginning its implementation by carrying out workforce planning strategies covering a three-to five-year period. The Office of the President should make its final workforce plan publicly available.	Pending	University of California
38. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should implement phases four and five of CalHR's best practice workforce planning model by implementing its workforce plan strategies and annually evaluating the completed workforce plan strategies against defined performance indicators and revising the plan where necessary.	Pending	University of California
39. To ensure that its staffing costs align with the needs of campuses and other stakeholders, by April 2020 the Office of the President should report to the regents on the amount of funds it reallocates to campuses as a result of implementing our recommendations.	Pending	University of California
40. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2020 the Office of the President should publicly publish its progress in meeting systemwide initiative and administrative cost targets.	Pending	University of California
41. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2020 the Office of the President should reallocate funds from the review of systemwide and presidential initiatives, as well as any administrative cost savings, to campuses.	Pending	University of California
42. To ensure that its spending aligns with the needs of its stakeholders, including campuses and students, by April 2020 the Office of the President should report to the regents on the amount of funds reallocated to campuses.	Pending	University of California

Report Number 2016-129

K-12 High Speed Network: Improved Budgeting, Greater Transparency, and Increased Oversight Are Needed to Ensure That the Network Is Providing Reliable Services at the Lowest Cost to the State (May 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To help ensure continuous network operations while preserving state resources, the Legislature should appropriate to the K-12 High-Speed Network (K12HSN) program an amount that does not exceed \$10.4 million for fiscal year 2017–18. If the Legislature wishes to appropriate a lower amount for the program, it should direct the Imperial County Office of Education (ICOE) to modify one or more of the planned network upgrades we highlight in our report, either by delaying the upgrade to a subsequent fiscal year or by pursuing a less expensive option.	Legislation Enacted	Legislature
2. To better inform decision makers at the state level about the amount of funding necessary to operate and maintain the network, ICOE should formally amend its annual budget documents by November 2017 to specify multiple potential levels of network expenditures for the coming year, and it should detail the specific network upgrades and project costs included in each scenario. As part of this process, ICOE should also provide information about how these upgrades will affect the network's functionality.	Fully Implemented	Imperial County Office of Education
3. To ensure that its projected program costs are as accurate as possible, ICOE should institute by November 2017 a formal practice for reviewing its budget planning document against its current network design plans and correct any inaccuracies before finalizing and submitting its budget.	Partially Implemented	Imperial County Office of Education
4. To help ensure that the K12HSN program maintains the necessary amount of state funds in reserve, ICOE should prepare a formal methodology for a proposed equipment reserve that is based on the actual likelihood of equipment failure and the costs associated with replacing that equipment.	Fully Implemented	Imperial County Office of Education

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
<p>5. To ensure that it is able to continue critical network services with reduced operating reserves, ICOE should establish procedures to routinely monitor the K12HSN program's cash balance and to evaluate upcoming costs. If at any point ICOE determines that it will be unable to fund its costs due to delayed subsidy payments, it should notify Education regarding the size and timing of the anticipated shortfall and postpone significant discretionary expenditures, such as upgrading network site equipment, until ICOE collects the subsidies it is owed.</p>	Fully Implemented	Imperial County Office of Education
<p>6. To better guarantee that network upgrades are necessary and are achieved at the lowest possible cost to the State, ICOE should develop a formal methodology for reviewing circuit capacity needs. This methodology should include consideration of multiyear trends in network traffic and the implications prospective upgrades may have for other parts of the network. Doing so would not only assist ICOE when determining the magnitude of circuit upgrades relative to the cost involved, but would also help ICOE determine whether it can delay upgrades until it can establish those upgrades' eligibility for E-Rate subsidies.</p>	Partially Implemented	Imperial County Office of Education
<p>7. To provide as many options for network upgrades as possible and to help ICOE provide the most cost-effective upgrade options without risking its eligibility for subsidies, ICOE should adopt the practice of requesting bids at all feasible levels of capacity upgrades as opposed to only those levels that represent a tenfold increase in circuit capacity.</p>	Fully Implemented	Imperial County Office of Education
<p>8. To help facilitate the review of circuit capacity needs, ICOE should maintain historical data for network traffic as long as technically feasible. It should also ensure that its monitoring software includes all network sites.</p>	Partially Implemented	Imperial County Office of Education
<p>9. To reduce the risk of having to react to large increases in network traffic, ICOE should formalize a process to include input from network site administrators during network upgrade planning.</p>	Partially Implemented	Imperial County Office of Education
<p>10. To increase transparency in the K12HSN program and help ensure that the State has sufficient information to measure the program's effectiveness, Education should direct ICOE to report annually on specific performance measures. These performance measures should include the following metrics:</p> <ul style="list-style-type: none"> • Cost per unit of capacity used. • Network bandwidth. • Frequency, duration, cause, and location of network outages or interruptions. • Latency and packet loss on network circuits. <p>Education should stipulate that the receipt of grant funds is conditional based on the recipient's agreement to provide these measures and other information deemed necessary by Education, either on request or at regular intervals determined by Education. If Education believes that it does not currently have legal authority to direct ICOE to report on this information, it should seek legislative change to obtain that authority.</p>	Pending	California Department of Education
<p>11. To better support future reporting efforts for the K12HSN program, ICOE should amend its contract with the Corporation for Education Network Initiatives in California (CENIC) to require CENIC to report on specific network performance measures, including the frequency, cause, location, and duration of network outages or interruptions.</p>	Partially Implemented	Imperial County Office of Education
<p>12. To ensure that the K12HSN program receives all of the service credits to which it is entitled, ICOE should amend its contract with CENIC to clarify CENIC's responsibilities in this area, including reporting to ICOE about network outages or interruptions and requests for credits to service providers, along with the outcomes of those requests.</p>	Partially Implemented	Imperial County Office of Education
<p>13. To ensure efficient use of state funds, ICOE should conduct a cost and benefit analysis of its memorandum of understanding with the Butte County Office of Education to determine whether it represents the most cost-effective approach to providing the program activities it covers.</p>	Pending	Imperial County Office of Education

Report Number 2016-139

California Department of Education: It Has Not Ensured That School Food Authorities Comply With the Federal Buy American Requirement (July 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To strengthen its administrative reviews and help ensure that school food authorities comply with the Buy American requirement, Education should update its written procedures to include a requirement that reviewers collect and retain evidence for all items they evaluate for compliance with the Buy American requirement. This update should occur no later than October 1, 2017.	Will Not Implement	Department of Education
2. To strengthen its administrative reviews and help ensure that school food authorities comply with the Buy American requirement, Education should update its written procedures to include guidance for how its reviewers should interpret common food labels with regard to compliance with the Buy American requirement. It should develop this guidance in consultation with the United States Department of Agriculture (USDA) and should begin working with the USDA by no later than October 1, 2017.	Partially Implemented	Department of Education
3. To comply with federal regulations and provide transparency to the public, Education should immediately post to its website a summary of the results of any administrative reviews that it has shared with the relevant school food authorities. Moving forward, it should comply with federal regulations by posting the results of administrative reviews to its website within 30 days of sharing them with school food authorities.	Pending	Department of Education
4. To ensure that school food authorities comply with the Buy American requirement, Education should develop, no later than December 31, 2017, a training course that explains to school food authorities how to comply with the Buy American requirement. Further, as soon as it develops this training, Education should make it available to all school food authorities.	Fully Implemented	Department of Education
5. To ensure that school food authorities comply with the Buy American requirement, Education should use procurement reviews or its administrative reviews to verify that school food authorities have policies and procedures that address the Buy American requirement. Further, Education should verify that these policies and procedures align with the USDA's guidance for including Buy American-related language in bid solicitations and contract documents and for maintaining exception documentation for foreign-sourced food purchases.	Pending	Department of Education
6. To help ensure that they consistently comply with the Buy American requirement, Elk Grove Unified School District should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following: <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	Partially Implemented	Elk Grove Unified School District
7. To help ensure that they consistently comply with the Buy American requirement, Fresno Unified School District should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following: <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	Fully Implemented	Fresno Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
<p>8. To help ensure that they consistently comply with the Buy American requirement, Los Angeles Unified should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following:</p> <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	Partially Implemented	Los Angeles Unified School District
<p>9. To help ensure that they consistently comply with the Buy American requirement, San Diego Unified should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following:</p> <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	Partially Implemented	San Diego Unified School District
<p>10. To help ensure that they consistently comply with the Buy American requirement, San Francisco Unified School District should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following:</p> <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	†	San Francisco Unified School District
<p>11. To help ensure that they consistently comply with the Buy American requirement, Stockton Unified School District should establish written policies and procedures related to the Buy American requirement by October 1, 2017. At a minimum, those policies and procedures should include the following:</p> <ul style="list-style-type: none"> • An explanation of how it will ensure that it consistently includes language related to the Buy American requirement in its bid solicitation documents and contracts. • A minimum expectation for how regularly it will verify that food items its vendors provide are domestic commodities or products. • A requirement that its staff identify the need to purchase foreign-sourced items as early as possible in the food purchasing process and that they begin documenting the justification for such exceptions to the Buy American requirement at that time. • Guidance for how it will maintain documentation showing that its purchases of foreign-sourced food items meet one of the two allowable exceptions. 	Pending	Stockton Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
12. To ensure effective oversight of the meal programs and to increase public transparency, the Legislature should require Education to track school food authorities' purchases of foreign-sourced food items and to post to its website the school food authorities that purchase foreign-sourced food items, the types of food items they purchase, and the countries of origin of the food items they purchase.	Legislation Proposed But Not Enacted	Legislature
13. To address the challenges food labels present to ensuring that California's school food authorities purchase domestic food items, the Legislature should work with the California congressional delegation and request that Congress direct the USDA to establish a voluntary certification program through which the USDA could certify that food products are compliant with the Buy American requirement. This certification program should include an indicator, such as a certification logo, that would identify that products comply with the requirement.	No Action Taken	Legislature

Report Number 2016-125.1
The University of California Office of the President: It Has Not Adequately Ensured Compliance With Its Employee Displacement and Services Contract Policies (August 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that the university maximizes the use of competition, the Legislature should revise the Public Contract Code to specify the conditions under which the university may amend contracts without competition.	Legislation Vetoed	Legislature
2. To ensure that the university maximizes the use of competition, the Legislature should revise the Public Contract Code to narrowly define the professional and personal services that the university may exempt from competitive bidding.	Legislation Vetoed	Legislature
3. To ensure that university locations adequately justify the necessity of contracts that will displace university employees, the Office of the President should actively enforce compliance with the displacement guidelines by monitoring university locations for compliance, providing regular training on the displacement guidelines to university locations, and amending the displacement guidelines to state that the Office of the President's human resources department has the authority to approve or reject displacement decisions.	Partially Implemented	University of California
4. To ensure that university locations adequately justify the necessity of contracts that will displace university employees, the Office of the President should revise contracting policies to address situations in which university locations are contemplating entering into services contracts instead of hiring university employees to perform an activity. In these situations, the Office of the President should require university locations to perform an analysis that is similar to the one it requires when current university employees are displaced.	Pending	University of California
5. To ensure that university locations adequately justify the necessity of contracts that will displace university employees, the Office of the President should ensure that staff with the necessary business and financial skills at the Office of the President review and approve the cost analyses that university locations submit.	Pending	University of California
6. To ensure that university locations adequately justify the necessity of contracts that will displace university employees, the Office of the President should revise the cost analysis requirements in the displacement guidelines to mitigate the risk of university locations incorrectly estimating savings by requiring a threshold level of savings as part of their business and financial necessity analyses and requiring that university locations periodically reevaluate the savings after the services contracts take effect to inform future contracting decisions.	Pending	University of California
7. To ensure that the university achieves its goals of obtaining services at the lowest cost or best value and of providing vendors with fair access to contracting opportunities, the Office of the President should direct university locations, including its own local procurement office, to implement controls to ensure staff better comply with the university's contract manual's requirements for using standard terms and conditions, obtaining the proper contract approvals, and awarding of sole-source contracts.	Pending	University of California

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
8. To ensure that the university achieves its goals of obtaining services at the lowest cost or best value and of providing vendors with fair access to contracting opportunities, the Office of the President should revise the university's contract manual to incorporate the best practices found in the State Contracting Manual for limiting the use of amendments to repeatedly extend existing contracts.	Pending	University of California
9. To ensure that the university achieves its goals of obtaining services at the lowest cost or best value and of providing vendors with fair access to contracting opportunities, the Office of the President should revise the university's contract manual to narrow the exemption from competition to only selected professional services, similar to the State Contracting Manual.	Pending	University of California
10. To ensure that the university achieves its goals of obtaining services at the lowest cost or best value and of providing vendors with fair access to contracting opportunities, the Office of the President should direct all university locations to implement controls in their online procurement systems to prevent staff from avoiding the requirement to competitively bid a contract when individual purchases of the same good or service accumulate to \$100,000 or more within a fiscal year.	Pending	University of California
11. To help ensure that the university will implement its central contract database for tracking and monitoring all university contracts in a timely manner, the Office of the President should develop a detailed project implementation plan by October 2017 that outlines a schedule of the specific activities that will need to occur to complete this effort.	Fully Implemented	University of California
12. To maximize benefits from the systemwide procurement initiative and to ensure that the university uses those benefits for its teaching, research, and public service missions, the Office of the President should direct all university locations to provide better documentation to substantiate actual benefits they claim related to their procurement decisions.	Pending	University of California
13. To maximize benefits from the systemwide procurement initiative and to ensure that the university uses those benefits for its teaching, research, and public service missions, the Office of the President should revise its guidance to ensure the benefits that university locations claim result from only procurement-related activities.	Pending	University of California
14. To maximize benefits from the systemwide procurement initiative and to ensure that the university uses those benefits for its teaching, research, and public service missions, the Office of the President should implement a process to centrally direct these benefits to ensure that university locations use them to support the university's core missions.	Will Not Implement	University of California
15. To maximize benefits from the systemwide procurement initiative and to ensure that the university uses those benefits for its teaching, research, and public service missions, the Office of the President should study ways to measure actual procurement benefits—possibly focusing this effort on benefits from larger dollar amounts—and if such measurement is not possible, it should clearly disclose to the regents and the public that the amounts it reports are based on estimates.	No Action Taken	University of California
16. To maximize benefits from the systemwide procurement initiative and to ensure that the university uses those benefits for its teaching, research, and public service missions, the Office of the President should, if actual benefits are measurable, implement a process to monitor and report annually to the regents the estimated and actual benefits.	No Action Taken	University of California

Report Number 2016-125.2

The University of California Office of the President: Increasing Costs and Scheduling Delays Have Hampered the UCPath Project and Originally Anticipated Savings Are Unlikely to Materialize (August 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that they are able to exercise necessary oversight for the university's significant information technology (IT) projects, the regents should develop status reporting standards for the Office of the President and all university locations to follow by December 2017. Such reporting standards should apply to all university IT projects with more than a specified cost and, at a minimum, should establish the frequency with which the Office of the President and all university locations must report to the regents. Such updates should occur at least three times per calendar year and coincide with regents' meetings to allow for oral discussion.	Pending	University of California Board of Regents

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
2. To ensure that they are able to exercise necessary oversight for the university's significant IT projects, the regents should develop status reporting standards for the Office of the President and all university locations to follow by December 2017. Such reporting standards should apply to all university IT projects with more than a specified cost and, at a minimum, should establish the types of disclosures the Office of the President and all university locations must present about each IT project including, but not limited to, changes in scope, projected cost, and schedule.	Pending	University of California Board of Regents
3. To ensure that they are able to exercise necessary oversight for the university's significant IT projects, the regents should develop status reporting standards for the Office of the President and all university locations to follow by December 2017. Such reporting standards should apply to all university IT projects with more than a specified cost and, at a minimum, should establish the types of significant project risks the Office of the President and all university locations must disclose. The updates should also describe the actions the Office of the President and all university locations are taking to mitigate the risks and the potential effects of those risks on a project's cost, schedule, and scope.	Pending	University of California Board of Regents
4. To ensure that it fully reports the cost of the IT projects, the Office of the President should develop the cost reporting guidelines by December 2017 for UCPath and other significant IT projects across all university locations. These cost guidelines should identify cost categories at both the Office of the President and university locations to ensure that the estimates capture and communicate all development and implementation costs. In addition, the Office of the President should produce cost reports to share with stakeholders at least quarterly.	No Action Taken	University of California
5. To ensure that it consistently follows best practices related to project management, the Office of the President should develop and implement guidelines for IT project development by June 2018. The guidelines should apply to all IT projects undertaken by any university location with a cost estimate of at least \$5 million or more and should include a means to assess schedules for reasonableness, and requirements for the creation and maintenance of an integrated schedule and resource plan for each project.	Partially Implemented	University of California
6. To ensure that it consistently follows best practices related to project management, the Office of the President should develop and implement guidelines for IT project development by June 2018. The guidelines should apply to all IT projects undertaken by any university location with a cost estimate of at least \$5 million or more and should include requirements for rigorous change management processes that establish a means of assessing the implications of changes to a project's scope, cost, and schedule.	Partially Implemented	University of California
7. To ensure that it consistently follows best practices related to project management, the Office of the President should develop and implement guidelines for IT project development by June 2018. The guidelines should apply to all IT projects undertaken by any university location with a cost estimate of at least \$5 million or more and should include procedurally sound requirements for identifying, reviewing, and resolving risks to a project.	Partially Implemented	University of California
8. To ensure that it consistently follows best practices related to project management, the Office of the President should develop and implement guidelines for IT project development by June 2018. The guidelines should apply to all IT projects undertaken by any university location with a cost estimate of at least \$5 million or more and should include independent verification and validation services to oversee the technical aspects of project development.	Partially Implemented	University of California
9. The Office of the President should require that all university locations follow best practices by ensuring that each location creates a deliverable expectations document for each IT contract similar to the documents the State's management framework describes. The Office of the President should establish this requirement by December 2017. The deliverable expectations document should, at a minimum, identify the deliverables for each milestone and define the scope, content, entrance criteria, acceptance criteria, and development schedule for each deliverable.	Partially Implemented	University of California

Report Number 2016-136

School Violence Prevention: School Districts, County Offices of Education, and the State Must Do More to Ensure That School Safety Plans Help Protect Students and Staff During Emergencies (August 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that students and staff are prepared to respond to violent incidents on or near school sites, the Legislature should require that safety plans include procedures, such as lockdowns, recommended by federal and state agencies. The Legislature should also require schools to hold periodic training and drills on these procedures.	No Action Taken	Legislature
2. To ensure that districts and county office of education (county offices) are complying with state law each year, the Legislature should require Education to conduct an annual statewide survey to determine whether schools have submitted plans and whether those plans have been reviewed and approved by their respective district or county office. The Legislature should also require Education to issue an annual report detailing the survey's results.	No Action Taken	Legislature
3. To ensure that districts and county offices are complying with state laws related to safety plans, the Legislature should add a requirement to the Education Audit Appeals Panel audit guide for districts and county offices to receive audits of their approval of safety plans.	No Action Taken	Legislature
4. The Legislature should require that the partnership between Education and the California Department of Justice (Justice) periodically review safety plan requirements to ensure that the plans keep pace with evolving school environments and updated educational research.	No Action Taken	Legislature
5. To ensure that districts and county offices properly review and approve safety plans as required, Education should provide additional guidance regarding district and county office responsibilities under state law by updating and correcting the safety plan compliance checklist and making it available to all districts and county offices.	Fully Implemented	Department of Education
6. To ensure that districts and county offices properly review and approve safety plans as required, Education should provide additional guidance regarding district and county office responsibilities under state law by providing general direction to schools on what to include in their building disaster plans.	Pending	Department of Education
7. To ensure that districts and county offices properly review and approve safety plans as required, Education should provide additional guidance regarding district and county office responsibilities under state law by providing information on best practices similar to those we discuss in this report for monitoring and approving safety plans.	Pending	Department of Education
8. To ensure that districts, county offices, and schools receive guidance on a variety of safety issues and to comply with state law, Education and Justice should resume their partnership activities, as required by state law. Further, the partnership should update the 2002 handbook, <i>Safe Schools: A Planning Guide for Action</i> , and distribute it to all districts and county offices. If Education or Justice determine the need for additional funds to implement the legislative recommendations or to reestablish the partnership's activities, they should request those funds from the Legislature.	Pending	Department of Education
10. To ensure that their schools' safety plans comply with state law and are submitted and approved on or before March 1 each year, the Kern, Placer, and San Bernardino county offices, and San Bernardino City Unified School District (San Bernardino Unified) should implement procedures to monitor and approve their schools' safety plans. The procedures should include the use of electronic document-tracking systems and safety plan templates.	Pending	Kern County Office of Education
11. To ensure that their schools' safety plans comply with state law and are submitted and approved on or before March 1 each year, the Kern, Placer, and San Bernardino county offices, and San Bernardino Unified should implement procedures to monitor and approve their schools' safety plans. The procedures should include the use of electronic document-tracking systems and safety plan templates.	Pending	Placer County Office of Education
12. To ensure that their schools' safety plans comply with state law and are submitted and approved on or before March 1 each year, the Kern, Placer, and San Bernardino county offices, and San Bernardino Unified should implement procedures to monitor and approve their schools' safety plans. The procedures should include the use of electronic document-tracking systems and safety plan templates.	Pending	San Bernardino County Superintendent of Schools
13. To ensure that their schools' safety plans comply with state law and are submitted and approved on or before March 1 each year, the Kern, Placer, and San Bernardino county offices, and San Bernardino Unified should implement procedures to monitor and approve their schools' safety plans. The procedures should include the use of electronic document-tracking systems and safety plan templates.	Partially Implemented	San Bernardino City Unified School District

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Report Number I2017-2*Investigations of Improper Activities by State Agencies and Employees: Inaccurate Attendance Records, Violation of State Laws, and Misuse of State Resources (October 2017)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
6. University of California, Davis, should require the professor to undergo travel reimbursement training that should focus specifically on appropriate and allowable expenses.	Fully Implemented	University of California, Davis

Report Number 2016-141*Charter Schools: Some School Districts Improperly Authorized and Inadequately Monitored Out-of-District Charter Schools (October 2017)*

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that districts obtain community support for charter schools that they authorize, the Legislature should amend state law to further clarify the conditions prospective charter schools must meet to qualify for the geographic exception. For example, the Legislature could clarify whether prospective charter schools qualify for the exception when their petitions indicate that they will serve primarily students residing outside the authorizing district's jurisdiction.	No Action Taken	Legislature
2. To ensure that districts obtain community support for charter schools that they authorize, the Legislature should amend state law to require any district that is considering authorizing an out-of-district charter school to notify the school's host district 30 days in advance of the board meeting at which the potential authorizing district is scheduled to make its authorization decision. The Legislature should also require the potential authorizing district to hold the public hearing within the host district's boundaries, notwithstanding restrictions in the State's Ralph M. Brown Act that would otherwise require the hearing to occur in the authorizing district.	No Action Taken	Legislature
3. To reduce the need for litigation between authorizing districts and host districts, the Legislature should establish an appeals process through which districts can resolve disputes related to establishing out of district charter schools.	No Action Taken	Legislature
4. To ensure charter school accountability, the Legislature should amend state law to require districts to strengthen their authorization processes by using the State Education Board's criteria for evaluating charter school petitions.	No Action Taken	Legislature
5. To ensure charter school accountability, the Legislature should amend state law to require charter schools to report annually all of their school locations—including school sites, resource centers, and administrative offices—to their authorizers and Education.	No Action Taken	Legislature
6. To remove the financial incentive for districts to authorize out-of-district charter schools, the Legislature should amend state law to prohibit districts from charging fees for additional services above the actual cost of services provided.	No Action Taken	Legislature
7. To ensure that authorizers have adequate tools and guidance for providing effective financial oversight, the Legislature should require the State Education Board and Education to work with representatives from county offices of education, representatives from districts, and subject matter experts such as the Fiscal Crisis Management and Assistance Team, to either establish a committee or work with an existing committee to report to the Legislature recommendations on establishing a minimum reserve requirement for charter schools, defining criteria that would allow authorizers to revoke or deny renewal of schools' charters for financial mismanagement despite increases in academic achievement, and developing a template that authorizers can use to provide their charter schools with annual feedback on their financial condition.	No Action Taken	Legislature
8. To ensure that districts are aware of significant issues that may impact the out-of-district charter schools they authorize, the Legislature should amend state law to require each district to place a district representative as a nonvoting member on each out-of-district charter school's governing board and allow such a representative to attend all meetings of the charter school's governing board.	No Action Taken	Legislature
9. To ensure that charter schools improve the educational outcomes of their students, the Legislature should amend state law to require authorizers to annually assess whether their charter schools are meeting the academic goals established in their charters.	No Action Taken	Legislature

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
10. To make certain that it authorizes only qualified petitions, Acton-Agua Dulce Unified School District (Acton-Agua Dulce Unified) should revise its charter school authorization policy to require the documentation of its evaluation of charter school petitions. The district should present this documentation to its governing board for its consideration.	†	Acton-Agua Dulce Unified School District
11. To ensure that it has a method to hold charter schools accountable for their educational programs, Acton-Agua Dulce Unified should, as a best practice, strengthen its authorization process by using the State Education Board's criteria for evaluating petitions.	†	Acton-Agua Dulce Unified School District
12. To ensure compliance with state law, Acton-Agua Dulce Unified should immediately establish a procedure to periodically review and update its charter school policy to include all of the requirements in state law.	†	Acton-Agua Dulce Unified School District
13. To ensure compliance with state law, Acton-Agua Dulce Unified should immediately review petitions to ensure they include all of the requirements in state law at the time of their approval.	†	Acton-Agua Dulce Unified School District
14. To ensure compliance with state law, Acton-Agua Dulce Unified should immediately require its charter schools to submit material revisions when they add new locations.	†	Acton-Agua Dulce Unified School District
15. To ensure compliance with state law, Acton-Agua Dulce Unified should immediately track its actual costs for providing oversight and verify that its oversight fees do not exceed legal limits.	†	Acton-Agua Dulce Unified School District
16. To better ensure effective oversight of their charter schools' finances, Acton-Agua Dulce Unified should develop written procedures for reviewing charter schools' financial information and conducting annual oversight visits. These procedures should include relevant requirements from memorandums of understanding with the charter schools and best practices.	†	Acton-Agua Dulce Unified School District
17. To better ensure effective oversight of its charter schools' finances, Acton-Agua Dulce Unified should develop written procedures for addressing financial concerns, such as a charter school's failure to meet the minimum reserve requirement established in the district's memorandum of understanding with the charter school.	†	Acton-Agua Dulce Unified School District
18. To better ensure effective oversight of its charter schools' finances, Acton-Agua Dulce Unified should place a district representative as a nonvoting member on each charter school's governing board.	†	Acton-Agua Dulce Unified School District
19. To ensure that charter schools work toward the academic goals established in their charters, Acton-Agua Dulce Unified should adopt a policy requiring it to provide its charter schools with timely feedback and recommendations regarding academic performance.	†	Acton-Agua Dulce Unified School District
20. To ensure that charter schools work toward the academic goals established in their charters, Acton-Agua Dulce Unified should adopt an academic oversight policy that includes steps for working with charter schools with poor performance results.	†	Acton-Agua Dulce Unified School District
21. To ensure that charter schools work toward the academic goals established in their charters, Acton-Agua Dulce Unified should provide its charter schools with annual oversight reports on their academic performance.	†	Acton-Agua Dulce Unified School District
22. Acton-Agua Dulce Unified should maintain active memorandums of understanding with its charter schools that describe the district's oversight responsibilities and ensure the schools meet the measurable student outcomes to which they have agreed.	†	Acton-Agua Dulce Unified School District
23. To ensure that it has a method to hold charter schools accountable for their educational programs, Antelope Valley Union High School District (Antelope Valley Union) should, as a best practice, strengthen its authorization process by using the State Education Board's criteria for evaluating petitions.	No Action Taken	Antelope Valley Union High School District
24. To ensure compliance with state law, Antelope Valley Union should immediately establish a procedure to periodically review and update its charter school policy to include all of the requirements in state law.	Pending	Antelope Valley Union High School District
25. To ensure compliance with state law, Antelope Valley Union should immediately review petitions to ensure they include all of the requirements in state law at the time of their approval.	No Action Taken	Antelope Valley Union High School District

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
26. To ensure compliance with state law, Antelope Valley Union should immediately require its charter schools to submit material revisions when they add new locations.	No Action Taken	Antelope Valley Union High School District
27. To ensure compliance with state law, Antelope Valley Union should immediately track its actual costs for providing oversight and verify that its oversight fees do not exceed legal limits.	Pending	Antelope Valley Union High School District
28. To better ensure effective oversight of its charter schools' finances, Antelope Valley Union should develop written procedures for reviewing charter schools' financial information and conducting annual oversight visits. These procedures should include relevant requirements from memorandums of understanding with the charter schools and best practices.	Pending	Antelope Valley Union High School District
29. To better ensure effective oversight of its charter schools' finances, Antelope Valley Union should develop written procedures for addressing financial concerns, such as a charter school's failure to meet the minimum reserve requirement established in the district's memorandum of understanding with the charter school.	Pending	Antelope Valley Union High School District
30. To better ensure effective oversight of its charter schools' finances, Antelope Valley Union should place a district representative as a nonvoting member on each charter school's governing board.	Pending	Antelope Valley Union High School District
31. To better ensure effective oversight of its charter schools' finances, Antelope Valley Union should provide charter schools with written feedback and recommendations for improving their financial operations after completing its financial reviews and annual oversight visits.	Pending	Antelope Valley Union High School District
32. To ensure that charter schools work toward the academic goals established in their charters, Antelope Valley Union should adopt a policy requiring it to provide its charter schools with timely feedback and recommendations regarding academic performance.	Pending	Antelope Valley Union High School District
33. To ensure that charter schools work toward the academic goals established in their charters, Antelope Valley Union should adopt an academic oversight policy that includes steps for working with charter schools with poor performance results.	Pending	Antelope Valley Union High School District
34. To ensure that charter schools work toward the academic goals established in their charters, Antelope Valley Union should provide its charter schools with annual oversight reports on their academic performance.	Pending	Antelope Valley Union High School District
35. Antelope Valley Union should maintain active memorandums of understanding with its charter schools that describe the district's oversight responsibilities and ensure the schools meet the measurable student outcomes to which they have agreed.	Pending	Antelope Valley Union High School District
36. To make certain that it authorizes only qualified petitions, New Jerusalem Elementary School District (New Jerusalem) should revise its charter school authorization policy to require the documentation of its evaluation of charter school petitions. The district should present this documentation to its governing board for its consideration.	†	New Jerusalem Elementary School District
37. To ensure that it has a method to hold charter schools accountable for their educational programs, New Jerusalem should, as a best practice, strengthen its authorization process by using the State Education Board's criteria for evaluating petitions.	†	New Jerusalem Elementary School District
38. To ensure compliance with state law, New Jerusalem should immediately establish a procedure to periodically review and update its charter school policy to include all of the requirements in state law.	†	New Jerusalem Elementary School District
39. To ensure compliance with state law, New Jerusalem should immediately review petitions to ensure they include all of the requirements in state law at the time of their approval.	†	New Jerusalem Elementary School District
40. To ensure compliance with state law, New Jerusalem should immediately require its charter schools to submit material revisions when they add new locations.	†	New Jerusalem Elementary School District
41. To ensure compliance with state law, New Jerusalem should immediately track its actual costs for providing oversight and verify that its oversight fees do not exceed legal limits.	†	New Jerusalem Elementary School District
42. To better ensure effective oversight of its charter schools' finances, New Jerusalem should develop written procedures for reviewing charter schools' financial information and conducting annual oversight visits. These procedures should include relevant requirements from memorandums of understanding with the charter schools and best practices.	†	New Jerusalem Elementary School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
43. To better ensure effective oversight of its charter schools' finances, New Jerusalem should develop written procedures for addressing financial concerns, such as a charter school's failure to meet the minimum reserve requirement established in the district's memorandum of understanding with the charter school.	†	New Jerusalem Elementary School District
44. To better ensure effective oversight of its charter schools' finances, New Jerusalem should place a district representative as a nonvoting member on each charter school's governing board.	†	New Jerusalem Elementary School District
45. To better ensure effective oversight of its charter schools' finances, New Jerusalem should provide charter schools with written feedback and recommendations for improving their financial operations after completing its financial reviews and annual oversight visits.	†	New Jerusalem Elementary School District
46. To ensure that charter schools work toward the academic goals established in their charters, New Jerusalem should adopt a policy requiring it to provide its charter schools with timely feedback and recommendations regarding academic performance.	†	New Jerusalem Elementary School District
47. To ensure that charter schools work toward the academic goals established in their charters, New Jerusalem should adopt an academic oversight policy that includes steps for working with charter schools with poor performance results.	†	New Jerusalem Elementary School District
48. To ensure that charter schools work toward the academic goals established in their charters, New Jerusalem should provide its charter schools with annual oversight reports on their academic performance.	†	New Jerusalem Elementary School District
49. New Jerusalem should maintain active memorandums of understanding with its charter schools that describe the district's oversight responsibilities and ensure the schools meet the measurable student outcomes to which they have agreed.	†	New Jerusalem Elementary School District

Report Number 2017-104

Montebello Unified School District: County Superintendent Intervention Is Necessary to Address Its Weak Financial Management and Governance (November 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that Montebello Unified School District (Montebello Unified) takes the steps necessary to prevent state intervention and regain its positive financial certification, the Los Angeles County Superintendent (county superintendent) should direct Montebello Unified to submit a corrective action plan to address the issues identified in this report including balancing its budget, amending and adhering to its hiring procedures, and establishing adequate safeguards to ensure that policies related to bond proceeds, conflicts of interest, and the approval of expenditures are implemented and followed.	*	Los Angeles County Office of Education
2. To ensure that Montebello Unified takes the steps necessary to prevent state intervention and regain its positive financial certification, the county superintendent should assist Montebello Unified in developing a plan to justify its workforce size and cost in terms of its current and projected enrollment, including evaluating the necessity of current staff levels and personnel costs.	*	Los Angeles County Office of Education
3. To ensure that Montebello Unified takes the steps necessary to prevent state intervention and regain its positive financial certification, the county superintendent should evaluate the necessity of executive positions and adjust executives' salaries based on an analysis of the number and cost of executives in comparable districts.	*	Los Angeles County Office of Education
4. To ensure that Montebello Unified takes the steps necessary to prevent state intervention and regain its positive financial certification, the county superintendent should ensure that Montebello Unified implements all of the recommendations detailed below (in the report).	*	Los Angeles County Office of Education
5. To improve its current financial condition and ensure future viability, Montebello Unified should within 60 days, revise its fiscal stabilization plan and make the necessary cuts to fund its ongoing commitments.	*	Montebello Unified School District
6. To improve its current financial condition and ensure future viability, Montebello Unified should create a robust budgeting process within 90 days using best practices of the GFOA to ensure Montebello Unified's ability to meet its priorities while maintaining the required level of reserves that buffers the district from drastic cuts in times of economic instability.	*	Montebello Unified School District

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RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
7. To improve its current financial condition and ensure future viability, Montebello Unified should within 90 days, implement an effective budget monitoring process with regular budget-to-actual comparisons. This process should include safeguards against spending in excess of budgeted expenditures and require advance board approval of such spending before it occurs. For example, Montebello Unified should require that the budget manager perform monthly reviews of budget-to-actual figures and provide detailed explanations to the board for any variances.	*	Montebello Unified School District
8. To ensure that Montebello Unified hires the most qualified executive and management staff, Montebello should immediately adhere to its policies for hiring classified employees, including screening candidates to ensure that they meet the minimum qualifications. Montebello Unified should also hold provisional employees to the same standards for minimum qualifications as its policy requires.	*	Montebello Unified School District
9. To ensure that Montebello Unified hires qualified classified employees, the personnel commission should, within 90 days, revise its policies to require the classified director to provide it with the education and work experience of any candidates on eligibility lists for high-ranking positions. It should also require the director of the personnel commission—the classified director—to provide it with a list of all provisional appointments, including information on how those employees meet the minimum qualifications.	*	Montebello Unified School District
10. To ensure that it does not violate state law, Montebello Unified should immediately adhere to its policies and ensure that provisional employees do not work more than the legal maximum number of days of service.	*	Montebello Unified School District
11. To ensure that Montebello Unified hires executives who meet the minimum qualifications, it should verify that such individuals hold both an administrative and teaching credential before appointing them to a position of superintendent or assistant superintendent.	*	Montebello Unified School District
12. In order to rebuild trust with its community, Montebello Unified should adhere to its policies for hiring certificated personnel and fill any vacant positions for executives through a competitive hiring process, including advertising the positions, screening to ensure that minimum qualifications are met, and interviewing to ensure that it hires and retains the most qualified and talented leaders.	*	Montebello Unified School District
13. To ensure that Montebello Unified creates employee positions only when necessary, it should establish a policy within 30 days that requires a justification for why the district is creating a position. Additionally, in order to maintain transparency when creating new positions, Montebello Unified should immediately begin to document its justifications.	*	Montebello Unified School District
14. To ensure that Montebello Unified hires qualified certificated and classified employees, within 90 days the Montebello Unified Board of Education (board) should revise its policies to require the superintendent or his or her designee to provide information to the board about recruitments for high-ranking employees. The board should consider, at a minimum, the following information when approving appointments: <ul style="list-style-type: none"> • The number of initial applicants. • The number of candidates who passed the screening and interviewing steps. • The education and work experience of the final candidate recommended by the superintendent or designee. 	*	Montebello Unified School District
15. To ensure that Montebello Unified is making hiring decisions free of bias or favoritism, within 90 days it should strengthen its hiring policies related to nepotism and conflicts of interest for classified and certificated personnel to include the following: establishing restrictions on immediate family members being involved in the screening and interviewing processes and definitions of what types of personal relationships fall under the nepotism policy, which work relationships the nepotism policy applies to, and what factors to consider when evaluating the potential impact of a personal relationship.	*	Montebello Unified School District
16. To ensure that bond funds are spent appropriately, Montebello Unified should immediately ensure that its bond committee meets at least once per year.	*	Montebello Unified School District
17. To ensure that bond funds are spent appropriately, the Montebello Unified should immediately ensure that the bond committee member positions are filled.	*	Montebello Unified School District
18. To ensure that bond funds are spent appropriately, the Montebello Unified should immediately require that its contracted project manager provides detailed bond expenditure reports for all relevant bonds to the bond committee at least biannually.	*	Montebello Unified School District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
19. To ensure that bond funds are spent appropriately, the Montebello Unified should immediately ensure that its contracted auditor delivers a timely bond audit and that Montebello Unified addresses the auditor's concerns and recommendations.	*	Montebello Unified School District
20. To ensure that staff who make or influence district decisions are free from perceived or actual conflicts of interest, Montebello Unified should immediately identify all positions whose incumbents make or influence district decisions and designate those not already identified in its conflict-of-interest policy.	*	Montebello Unified School District
21. To ensure that staff who make or influence district decisions are free from perceived or actual conflicts of interest, Montebello Unified should immediately require designated employees to file statements of economic interests and adhere to its conflict-of-interest policy.	*	Montebello Unified School District
22. To ensure that staff who make or influence district decisions are free from perceived or actual conflicts of interest, Montebello Unified should within 60 days, expand its policy to require all employees approving contracts or expenditures to be designated and file a statement of economic interests.	*	Montebello Unified School District
23. To ensure that Montebello Unified spends its funds for allowable and reasonable purposes, it should require employees whose salaries are funded by voter-approved bond proceeds to fill out detailed timesheets to demonstrate that they work on bond-related activities. Bond proceeds should only be used to pay the portion of the salary relating to bond-funded activities that is supported by the timesheet.	*	Montebello Unified School District
24. To ensure that Montebello Unified spends its funds for allowable and reasonable purposes, it should implement an inventory tracking system that allows it to know where its equipment is located. Montebello Unified should also periodically review its inventory listing to ensure that equipment is being properly used.	*	Montebello Unified School District
25. To ensure that Montebello Unified spends its funds for allowable and reasonable purposes, it should close the adult education fund's revolving fund account.	*	Montebello Unified School District
26. To ensure that Montebello Unified spends its funds for allowable and reasonable purposes, it should require all employees to obtain approval for overtime before performing any overtime work and to submit an explanation of tasks they completed during their overtime work when they submit their overtime timesheet for payment.	*	Montebello Unified School District
27. To ensure that Montebello Unified spends its funds for allowable and reasonable purposes, it should follow the procedures in its purchase card manual including requiring employees to submit receipts for all purchases made with the card. If in violation of the manual, suspend or cancel the employee's card privileges and require employees to reimburse the district for improper purchases.	*	Montebello Unified School District
28. To ensure that state adult education expenditures are reasonable and justified, the board should within one year develop a policy that requires adult education classes to meet specific minimum thresholds for class size. If classes do not meet these thresholds, the adult program must cancel the class	*	Montebello Unified School District
29. To ensure that state adult education expenditures are reasonable and justified, the board should within one year require the adult program to annually report to the Los Angeles Regional Adult Education Consortium (consortium) and to the board on the accurate number of students in each class, number of hours taught, and cost of the class per student.	*	Montebello Unified School District
30. To improve the cash collection process, Montebello Unified should ensure that the adult program has adequate safeguards in place to minimize the risk of misuse of funds. It should specifically, within 60 days, implement policies and procedures that align with best practices for cash collection and cash deposits that include robust safeguards such as ensuring separation of duties in the cash collection process.	*	Montebello Unified School District
31. To ensure that state adult education funds are used in the most efficient and effective manner, the consortium should, within one year, complete an assessment of Montebello Unified's ability to meet the requirements of its adult education plan to determine whether its use of state funds has been effective. If Montebello Unified is found to be consistently ineffective, the consortium should immediately recalculate the adult program's fund allocation for the future.	*	Los Angeles Regional Adult Education Consortium

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
32. To ensure that state adult education funds are used in the most efficient and effective manner, the consortium should, within one year, develop policies and procedures to ensure the proper collection and reporting of enrollment, attendance, and expenditure data by consortium members. Periodically review enrollment, attendance, and expenditure data to ensure their accuracy.	*	Los Angeles Regional Adult Education Consortium

Report Number 2017-102

California Community Colleges: The Colleges Reviewed Are Not Adequately Monitoring Services for Technology Accessibility, and Districts and Colleges Should Formalize Procedures for Upgrading Technology (December 2017)

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
1. To ensure that all community colleges are complying with timeliness requirements, by June 2018, the Chancellor's Office should establish guidance for the colleges on tracking and monitoring their effectiveness in responding to students' requests for instructional materials in alternate media in a timely manner. At a minimum, this guidance should provide direction to all community colleges on establishing a time-frame goal for completing students' requests. The guidance should also provide direction to colleges for establishing procedures to track and periodically monitor their performance in promptly responding to requests, identify reasons for delays in responding to requests, and take action as needed to improve their timeliness in completing future requests.	*	Community Colleges Chancellor's Office
2. To ensure that community colleges promptly address any complaints they receive related to alternate media requests and web accessibility, by June 2018, the Chancellor's Office should provide guidance to the community colleges on developing procedures to track and periodically review complaints received related to accessibility services, and to address any accessibility complaints in a timely fashion.	*	Community Colleges Chancellor's Office
3. To comply with statutory reporting requirements on its efforts to serve students with disabilities, by June 2018, the Chancellor's Office should establish and report on a system for evaluating state-funded programs and services for disabled students, including its gathering of outcome data, staff and student perceptions of program effectiveness, and data on the implementation of the program.	*	Community Colleges Chancellor's Office
4. To ensure that students with disabilities have equal access to instructional materials, by June 2018, the Chancellor's Office should develop guidance for the community colleges on periodically monitoring the accessibility of instructional materials and on providing training to all instructors in making their materials accessible to students with disabilities.	*	Community Colleges Chancellor's Office
5. To ensure that community colleges' websites comply with accessibility guidelines, by September 2018, the Chancellor's Office should provide guidance to colleges on establishing policies and procedures to monitor the accessibility of their websites. Additionally, by September 2018, the Chancellor's Office should provide guidance on best practices for colleges to use in preventing their websites from containing inaccessible information.	*	Community Colleges Chancellor's Office
6. To assist all community college districts and colleges in ensuring that they have consistent, transparent, and continuous implementation of their processes for upgrading and replacing IT equipment, by September 2018, the Chancellor's Office should issue guidance to the districts and community colleges on establishing written procedures for those processes.	*	Community Colleges Chancellor's Office
7. To assist all community colleges in increasing transparency of their shared governance decision-making processes, by September 2018, the Chancellor's Office should issue guidance to the community colleges on establishing procedures to document the attendees, input received, and agreements reached during department meetings, including those to consider technology equipment requests.	*	Community Colleges Chancellor's Office
8. To ensure that it is fulfilling requests for alternate media services from students with disabilities in a timely manner, by June 2018, Cerritos Community College (Cerritos) should establish procedures for monitoring its timeliness in responding to such requests so that it can periodically review its performance in completing the requests. Specifically, Cerritos should record and track sufficient information to be able to review how long it takes to complete requests. Additionally, Cerritos should calculate the number of days it takes to complete requests, and periodically evaluate its performance against its time-frame goals.	*	Cerritos Community College District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
9. To ensure that it promptly addresses any complaints it receives related to web accessibility and alternate media requests, by June 2018, Cerritos should establish procedures for tracking and reviewing complaints received related to accessibility and addressing complaints in a timely fashion.	*	Cerritos Community College District
10. To ensure that students with disabilities have equal access to instructional materials, by June 2018, Cerritos should develop procedures to monitor and periodically review the accessibility of instructional materials. For example, Cerritos could develop an accessibility checklist for instructors to complete when developing or selecting instructional materials, from which the college could periodically review a sample of course content to ensure that instructors completed the checklist and that the instructional materials comply with accessibility standards.	*	Cerritos Community College District
11. To ensure that all instructors are aware of the accessibility standards for instructional materials, Cerritos should include in its next collective bargaining negotiations a requirement for instructors to periodically attend accessibility trainings.	*	Cerritos Community College District
12. To ensure the consistent, transparent, and continuous implementation of processes for technology equipment upgrades and replacements, by June 2018, Cerritos should establish written procedures for those processes.	*	Cerritos Community College District
13. To ensure that its technology master plan supports the strategic goals of the district, Cerritos should update its master plan by June 2018, and should ensure that the plan includes detailed steps to accomplish its goals.	*	Cerritos Community College District
14. To increase the transparency of its annual review process, by June 2018, Cerritos should establish procedures requiring its departments to document attendees, input received, and agreements reached during meetings to consider instructional technology equipment requests.	*	Cerritos Community College District
15. To ensure that it is fulfilling requests for alternate media services from students with disabilities in a timely manner, by June 2018, Foothill-De Anza district (De Anza) should establish procedures for monitoring its timeliness in responding to such requests so that it can periodically review its performance in completing the requests. Specifically, it should record and track sufficient information to be able to review how long it takes to complete requests. Additionally, De Anza should calculate the number of days it takes to complete requests, and periodically evaluate its performance against its time-frame goals. Further, to evaluate its performance, De Anza should establish a time-frame goal for completing alternate media requests.	*	Foothill-De Anza Community College District
16. To ensure that it promptly addresses any complaints it receives related to web accessibility and alternate media requests, De Anza should follow its new procedures for tracking and reviewing complaints related to accessibility.	*	Foothill-De Anza Community College District
17. To ensure that students with disabilities have equal access to instructional materials, by June 2018, De Anza should develop procedures to monitor and periodically review the accessibility of instructional materials. For example, De Anza could develop an accessibility checklist for instructors to complete when developing or selecting instructional materials, from which the college could periodically review a sample of course content to ensure that instructors completed the checklist and that the instructional materials comply with accessibility standards.	*	Foothill-De Anza Community College District
18. To ensure that its website complies with accessibility standards, by June 2018, De Anza should develop procedures to monitor website accessibility and incorporate steps to prevent instructors from publishing inaccessible content on the college's website. These procedures should include a tracking mechanism to demonstrate how many accessibility errors the college identifies and how long it takes to fix those errors.	*	Foothill-De Anza Community College District
19. To ensure that all instructors are aware of the accessibility standards for instructional materials, De Anza should include in its next collective bargaining negotiations a requirement for instructors to periodically attend accessibility trainings.	*	Foothill-De Anza Community College District
20. To ensure the consistent, transparent, and continuous implementation of processes for technology equipment upgrades and replacements, by June 2018, De Anza should establish written procedures for those processes.	*	Foothill-De Anza Community College District
21. To increase the transparency of its annual review process, by June 2018, De Anza should establish procedures requiring its departments to document attendees, input received, and agreements reached during meetings to consider instructional technology equipment requests.	*	Foothill-De Anza Community College District

RECOMMENDATION	STATUS OF RECOMMENDATION	ENTITY
22. To ensure that it is fulfilling requests for alternate media services from students with disabilities in a timely manner, by June 2018, American River should establish procedures for monitoring its timeliness in responding to such requests so that it can periodically review its performance in completing the requests. Specifically, American River should calculate the number of days it take to complete requests, and periodically evaluate its performance against its time-frame goals.	*	Los Rios Community College District
23. To ensure that it promptly address any complaints it receives related to web accessibility and alternate media requests, by June 2018, American River should establish procedures for tracking and reviewing complaints received related to accessibility and addressing complaints in a timely fashion.	*	Los Rios Community College District
24. To ensure that students with disabilities have equal access to instructional materials, by June 2018, American River should develop procedures to monitor and periodically review the accessibility of instructional materials. For example, American River could develop an accessibility checklist for instructors to complete when developing or selecting instructional materials, from which the college could periodically review a sample of course content to ensure that instructors completed the checklist and that the instructional materials comply with accessibility standards.	*	Los Rios Community College District
25. To ensure that its website complies with accessibility standards, by June 2018, American River should develop procedures to monitor website accessibility and incorporate steps to prevent instructors from publishing inaccessible content on the college's website. These procedures should include a tracking mechanism to demonstrate how many accessibility errors the college identifies and how long it takes to fix those errors.	*	Los Rios Community College District
26. To ensure that all instructors are aware of the accessibility standards for instructional materials, American River should include in its next collective bargaining negotiations a requirement for instructors to periodically attend accessibility trainings.	*	Los Rios Community College District
27. To ensure the consistent, transparent, and continuous implementation of processes for technology equipment upgrades and replacements, by June 2018, the Los Rios district and American River should each establish written procedures for those processes.	*	Los Rios Community College District
28. To ensure that it fully implements its technology master plan, by June 2018, American River should establish an implementation plan with detailed steps for achieving the goals in its technology master plan that it has not yet accomplished. Further, it should develop an implementation plan in conjunction with the development of its future technology master plan.	*	Los Rios Community College District
29. To increase the transparency of its annual review processes, by June 2018, American River should establish procedures requiring its departments to document attendees, input received, and agreements reached during meetings to consider instructional technology equipment requests.	*	Los Rios Community College District

* The status of recommendations for audits issued between November and December 2017 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.

† As of December 31, 2017, the entity has not provided a response to the State Auditor.