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Recommendation Status Summary

Assembly Budget Subcommittee 5 on Public Safety

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 | ENTITY | STATUS OF RECOMMENDATION |
|---|--|--------------------------|
| 1. The California Department of Corrections and Rehabilitation (Corrections) should require the parole agent to submit a personal use certification for the personal use of her assigned state vehicles from June 2015 to present. | Department of Corrections and Rehabilitation | Fully Implemented |
| 2. Corrections should review the duty statements of all employees within the parole division who have held the positions discussed in this report and who have state vehicles for their exclusive use to determine whether the assignments of state vehicles comply with the laws and policies of the State and the parole division. If Corrections determines that a vehicle assignment is appropriate, it should modify each employee's duty statement to indicate the percentage of time the employee should expect to perform fieldwork, ensure that the state vehicles assigned to these employees are not pool vehicles, and ensure that each employee has an approved home storage permit on file. | Department of Corrections and Rehabilitation | Fully Implemented |
| 3. Corrections should discontinue the practice of assigning pool vehicles for the exclusive use of individuals to circumvent state laws and parole division policies. | Department of Corrections and Rehabilitation | Fully Implemented |
| 4. Corrections should train all parole division employees who drive state vehicles about how to properly document their use of a state vehicle on their mileage logs, how to obtain a home storage permit and for whom it is necessary, how and when to submit a personal use certification reporting all personal commutes driven in a state vehicle. | Department of Corrections and Rehabilitation | Fully Implemented |
| 5. Corrections should train all parole division supervisors who oversee employees with state vehicles regarding the department's policy for the proper usage and storage of state vehicles. | Department of Corrections and Rehabilitation | Fully Implemented |
| 14. Corrections should seek repayment from the program chief for the \$2,520 in improper payments. | Department of Corrections and Rehabilitation | Fully Implemented |
| 15. Corrections should revise the Institutional Worker Supervision Pay (IWSP) procedure to require that personnel staff review and ensure that an employee's direct supervisor signs the qualifying employee's timesheets and IWSP documents each month. | Department of Corrections and Rehabilitation | Partially Implemented |
| 16. Corrections should ensure that all Corrections and Correctional Health Care organization charts are current and accurate and that the assigned personnel specialist has access to them. | Department of Corrections and Rehabilitation | Fully Implemented |
| 17. Corrections should enforce its current procedure to retain IWSP documentation. | Department of Corrections and Rehabilitation | Partially Implemented |
| 18. Corrections should enforce its current procedure for personnel staff to conduct annual audits of the IWSP program. | Department of Corrections and Rehabilitation | Partially Implemented |
| 19. Corrections should train all employees, supervisors, and personnel staff who receive, approve, or issue the extra pay to ensure that they are familiar with the requirements of the IWSP procedure and Pay Differential 67. | Department of Corrections and Rehabilitation | Partially Implemented |

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Report Number 2016-126

California Department of Social Services: Its Caregiver Background Check Bureau Lacks Criminal History Information It Needs to Protect Vulnerable Populations in Licensed Care Facilities (March 2017)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|-----------------------|--------------------------|
| <p>1. To ensure that Department of Social Services (Social Services) receives all necessary information for making exemption decisions, the Legislature should amend state law to require the Department of Justice (Justice) to send the Social Services all available sentencing information for all convictions. Additionally, the Legislature should amend state law to require Justice to send juvenile criminal history information related to serious and violent felony offenses as well as any other juvenile criminal history that Social Services identifies as valuable to its exemption reviews.</p> | Legislature | Legislation Enacted |
| <p>2. To ensure that any entity authorized by state or federal law to receive state or federal criminal history information subsequent to receiving the initial RAP sheet is informed of all criminal activity of an individual, the Legislature should amend state law to clearly direct Justice to transmit all convictions it receives to the entities authorized to receive subsequent criminal history and require Justice to obtain and transmit subsequent federal RAP sheets to all entities authorized to receive subsequent California criminal history information and to report to the Legislature periodically about its implementation efforts.</p> | Legislature | No Action Taken |
| <p>4. To ensure that Social Services receives all appropriate criminal history information, Justice should immediately update its procedures to accurately reflect that staff should disseminate nonreferable arrests when there is a corresponding conviction and ensure that staff follow these updated procedures.</p> | Department of Justice | Fully Implemented |
| <p>18. To ensure that Social Services receives criminal history information within 14 days of receiving an individual's fingerprint information, as state law requires, by July 2017 Justice should analyze its process, including delayed transmissions, implement changes to address problems it identifies, and regularly measure itself against the requirement to determine whether it is meeting its statutory requirement.</p> | Department of Justice | Partially Implemented |
| <p>19. To ensure that it has complete disposition information, Justice should coordinate with the Judicial Council of California (Judicial Council) at least once a year to share information about court reporting gaps and to determine the need to distribute additional information to courts about reporting requirements and the manner in which to report. In addition, Justice should reconvene its advisory committee and meet on a regular basis to discuss, at a minimum, improving the frequency and timeliness with which courts report dispositions to Justice and law enforcement agencies report arrest information to Justice.</p> | Department of Justice | Partially Implemented |
| <p>20. To ensure that it is receiving all arrest information from law enforcement agencies, at a minimum, Justice should consider trends in the number of arrest reports each law enforcement agency sends it and the number of reports that it might expect to receive from an agency given the agency's size, location, and reporting history. Whenever Justice identifies a law enforcement agency that it determines may not be reporting all required information, it should request that the agency forward all required arrest information.</p> | Department of Justice | Pending |

Report Number 2017-030

The State Bar of California: It Needs Additional Revisions to Its Expense Policies to Ensure That It Uses Funds Prudently (June 2017)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|-------------------------|--------------------------|
| 1. To better align its compensation practices with those of comparable agencies, the State Bar of California (State Bar) should update and formalize its salaries and benefits policies by continuing its negotiations with the union to transition represented employees to an eight-hour workday and a 40-hour workweek, and to implement new salary and job classifications. | State Bar of California | Fully Implemented |
| 2. To better align its compensation practices with those of comparable agencies, the State Bar should update and formalize its salaries and benefits policies by implementing an eight-hour workday and a 40-hour workweek, as well as new salary and job classifications, for its nonrepresented employees by July 2017. | State Bar of California | Fully Implemented |
| 3. To better align its compensation practices with those of comparable agencies, the State Bar should update and formalize its salaries and benefits policies by requiring a contribution rate to health care costs for nonrepresented employees that is equal to the contribution rate for represented employees by January 2018. | State Bar of California | Fully Implemented |
| 4. To better align its compensation practices with those of comparable agencies, the State Bar should update and formalize its salaries and benefits policies for executive employees hired on or after January 1, 2018, to require that contributions to post-retirement health care costs are at a rate equivalent to their contributions during employment at the State Bar. | State Bar of California | Fully Implemented |
| 5. To better align its compensation practices with those of comparable agencies, the State Bar should update and formalize its salaries and benefits policies by developing and adopting a formal policy by December 2017 to regularly compare staff compensation and benefits with those of comparable agencies. | State Bar of California | Fully Implemented |
| 6. To assign purchasing cards only to appropriate staff, ensure that the State Bar's records of employees' credit limits reflect those established with the bank, and to verify that staff use purchasing cards only for allowable and necessary expenses, the State Bar should immediately develop a policy that requires justification of the business needs for employees to receive purchasing cards, and use this policy to limit the number of staff issued a purchasing card. | State Bar of California | Partially Implemented |
| 7. To assign purchasing cards only to appropriate staff, ensure that the State Bar's records of employees' credit limits reflect those established with the bank, and to verify that staff use purchasing cards only for allowable and necessary expenses, the State Bar should immediately restrict the use of purchasing cards to its original purpose, which was for low-dollar and frequently occurring purchases. For purchases above \$5,000, the State Bar should require the vendor to bill for payment. | State Bar of California | Partially Implemented |
| 8. To demonstrate its commitment to the board's prohibition of all State Bar spending on alcohol, the State Bar should immediately update its procurement manual to reflect this prohibition. | State Bar of California | Fully Implemented |
| 9. To ensure that its costs are reasonable and appropriate, the State Bar should update its meal and catering policy to align with the meal policy of the State's Executive Branch and should require individuals attending committee meetings for the State Bar to comply with standard meal per diem rates. | State Bar of California | Partially Implemented |
| 10. To make certain that the costs for sections events are reasonable and prudent, the State Bar should require that the sections follow the State Bar's meal per diem and lodging rates, and require the sections to limit expenses for events to only those activities that are reasonable and necessary. For off-site events, the State Bar should require the sections to follow the State Bar's existing policy of providing written justification of a significant business need to hold the event off-site and obtain approval from the executive director or chief operating officer. | State Bar of California | Resolved |

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| 11. To ensure that its lobbying expenses are reasonable and cover only allowable activities, the State Bar should revise the terms of its pending lobbying contract to require that the lobbyists provide sufficiently detailed invoices that support the amounts they bill for their services. | State Bar of California | Fully Implemented |
| 12. To ensure that it contracts only for appropriate and necessary services from outside law firms at a prudent rate, the State Bar should put its informal practice into a written policy regarding its assessment of the need for outside counsel, including whether the State Bar's attorneys can provide the specified legal services. | State Bar of California | Fully Implemented |
| 13. To ensure that it contracts only for appropriate and necessary services from outside law firms at a prudent rate, the State Bar should put its informal practice into a written policy regarding its evaluation of the State Bar's past experiences with the law firms being considered. | State Bar of California | Fully Implemented |
| 14. To ensure that it contracts only for appropriate and necessary services from outside law firms at a prudent rate, the State Bar should put its informal practice into a written policy regarding its process to select the outside legal firms, including documentation of proposals from other prospective law firms and the costs it considers reasonable for the legal services. | State Bar of California | Fully Implemented |
| 15. To reduce its reliance on outside legal counsel, the State Bar should continue its efforts to hire staff to fill its remaining vacant attorney positions. | State Bar of California | Partially Implemented |
| 16. To increase transparency, the State Bar should disclose annually to the board a list of all contracts with outside law firms—including a description of the services provided, the need for such contracts, and the value and length of the contracts. | State Bar of California | Fully Implemented |
| 17. To better measure how well its attorney discipline program is meeting the State Bar's core mission to protect the public from attorney misconduct, the State Bar should, by December 2017, identify key goals and metrics for the attorney discipline system. | State Bar of California | Partially Implemented |

Report Number 2016-131

California Department of Corrections and Rehabilitation: It Must Increase Its Efforts to Prevent and Respond to Inmate Suicides (August 2017)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|--|--------------------------|
| 1. To provide additional accountability for Corrections' efforts to respond to and prevent inmate suicides and attempted suicides, the Legislature should require that Corrections report to it in April 2018 and annually thereafter on the following issues: 1) its progress toward meeting its goals related to the completion of risk evaluations in a sufficient manner; 2) its progress toward meeting its goals related to the completion of 72-hour treatment plans in a sufficient manner; 3) the status of its efforts to ensure that all mental health staff receive required training and mentoring related to suicide prevention and response; 4) the status of its efforts to fill vacancies in its mental health treatment programs, especially its efforts to hire and retain psychiatrists; 5) its progress in implementing the recommendations made by the special master's experts, the court-appointed suicide expert, and its own reviewers regarding inmate suicides and attempts and Corrections should include in its report to the Legislature the results of any audits it conducts as part of its planned audit process to measure the success of changes it implements as a result of these recommendations; 6) its progress in identifying and implementing mental health programs that may ameliorate risk factors associated with suicides at the prisons. | Legislature | Legislation Enacted |
| 2. Corrections should immediately require mental health staff to score 100 percent on risk evaluation audits in order to pass. If a staff member does not pass, Corrections should require the prison to follow its current policies by reviewing additional risk evaluations to determine whether the staff member needs to undergo additional mentoring. | Department of Corrections and Rehabilitation | Will Not Implement |

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| <p>3. To ensure that it identifies inmates who are at risk of attempting suicide and determines the treatments needed to prevent them from doing so, Corrections should immediately reevaluate and revise its goals for the percentage of risk evaluations that mental health staff must complete on time and for the percentage of risk evaluations that must pass its risk evaluation audits. It should set revised goals that better take into consideration the importance of mental health staff completing adequate risk evaluations in a timely matter. Corrections should require prisons that perform below its revised goals to develop improvement plans.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>4. To improve the quality of its risk evaluations, by December 2017 Corrections should develop and incorporate into its electronic risk evaluation form prompts to aid mental health staff in completing adequate risk evaluations that meet all audit criteria.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>5. To minimize the number of inmates who spend more than 24 hours in alternative housing, Corrections should use the audit process it is developing to monitor the amount of time inmates spend in alternative housing and annually reassess its need for additional crisis beds.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>6. To ensure that prisons document the privileges, such as yard time, that inmates receive while in a crisis bed, Corrections should immediately require prisons to develop and formalize policies to record on their treatment plans the privileges inmates are allowed and receive while in a crisis bed.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>7. To ensure that prison staff conduct required checks of inmates placed on suicide precaution in a timely manner, Corrections should implement its automated process to monitor suicide precaution checks in its electronic health record system by the time it is implemented systemwide in October 2017. Further, Corrections should train staff on how to plan for and conduct staggered suicide precaution checks.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>8. To monitor prisons' compliance with its requirement that inmates in crisis beds receive daily progress notes, Corrections should implement monitoring of these notes electronically into its audit process by the time the electronic health record system is in use systemwide in October 2017. Corrections should require prisons that are out of compliance to develop and implement quality improvement plans, and it should follow up on the prisons' implementation of those plans.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Pending</p> |
| <p>9. To ensure that prison staff appropriately respond to attempted suicides, Corrections should implement its proposed changes to its emergency response policies regarding cut-down kits by December 2017 and should include in its policies a method for monitoring prisons' compliance.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>10. To address the unique circumstances that may increase its female inmates' rates of suicide and suicide attempts, Corrections should implement its planned same-sex domestic violence curriculum by December 2017.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Fully Implemented</p> |
| <p>11. To address the unique circumstances that may increase its female inmates' rates of suicide and suicide attempts, Corrections should continue to explore additional programs that could address the suicide risk factors for female inmates.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Pending</p> |
| <p>12. To ensure that all prison staff receive required training related to suicide prevention and response, Corrections should immediately implement a process for identifying prisons where staff are not attending required trainings and for working with the prisons to solve the issues preventing attendance.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Pending</p> |
| <p>13. To ensure that trainers and risk evaluation mentors at all prisons are able to train staff effectively, Corrections should immediately begin requiring prisons to report the percentage of their trainers and mentors who have received training on how to conduct training and mentoring. It should work with prisons to ensure that all trainers and mentors receive adequate training.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Pending</p> |
| <p>14. To maximize the value of its trainings related to suicide prevention and response, Corrections should ensure that starting in January 2018, its trainings include all content that the special master and its own policies require.</p> | <p>Department of Corrections and Rehabilitation</p> | <p>Pending</p> |

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| 15. To ensure that it has enough staff to provide mental health services to all inmates who require care, Corrections should review and revise its mental health staffing model by August 2018. | Department of Corrections and Rehabilitation | Pending |
| 16. To ensure that prisons comply with its policies related to suicide prevention and response, Corrections should continue to develop its audit process and implement it at all prisons by February 2018. The process should include, but not be limited to, audits of the quality of prisons' risk evaluations and treatment plans. | Department of Corrections and Rehabilitation | Pending |
| 17. To ensure that prisons can easily access Corrections' current policies related to mental health, Corrections should ensure that its program guide is current and complete as it works to incorporate the program guide into regulations. Corrections should immediately begin working with federal court monitors to draft regulations. | Department of Corrections and Rehabilitation | Pending |
| 18. To ensure that suicide prevention teams meet quorum requirements, Corrections should, starting January 2018, work with prisons that consistently fail to achieve a quorum to resolve issues that may be preventing the teams from having all required members present at meetings. | Department of Corrections and Rehabilitation | Partially Implemented |
| 19. To eliminate confusion regarding suicide prevention team meeting attendance, Corrections should immediately update its program guide to clarify who is required to attend suicide prevention team meetings, which attendees may send designees, and the extent to which staff may fill multiple roles when meeting quorum requirements. | Department of Corrections and Rehabilitation | Fully Implemented |
| 20. To ensure that suicide prevention teams exercise leadership at prisons, Corrections should immediately require them to use available information about critical factors—such as the number and nature of inmate self-harm incidents and the quality and compliance with the policy of risk evaluations and treatment plans—to identify systemic issues related to suicide prevention. Corrections should require the suicide prevention teams to assess lessons they can learn, create plans to resolve current issues, and prevent foreseeable problems in the future. | Department of Corrections and Rehabilitation | Fully Implemented |
| 21. To provide the public and relevant stakeholders with accurate information on suicides and suicide attempts in its prisons, Corrections should immediately require prison staff to work with mental health staff to reconcile any discrepancies on suicides and suicide attempts before submitting numbers to the COMPSTAT unit. | Department of Corrections and Rehabilitation | Pending |
| 22. To ensure that all its prisons provide inmates with effective mental health care, Corrections should continue to take a role in coordinating and disseminating best practices related to mental health treatment by conducting a best practices summit at least annually. The summits should focus on all aspects of suicide prevention and response, including programs that seek to improve inmate mental health and treatment of and response to suicide attempts. Corrections should document and disseminate this information among the prisons, assist prisons in implementing the best practices through training and communication when needed, and monitor and report publicly on the successes and challenges of adopted practices. | Department of Corrections and Rehabilitation | Fully Implemented |
| 23. In an effort to prevent future inmate suicide attempts, Corrections should implement its plan to review attempts with the same level of scrutiny that it uses during its suicide reviews. Corrections should require each prison's suicide prevention team to identify for review at least one suicide attempt per year that occurred at its prison. To ensure that the reviews include critical and unbiased feedback, Corrections should either conduct these reviews itself or require the prisons to review each other. These reviews should start in September 2017 and follow the same timelines as the suicide reviews, with the timeline beginning once the team identifies a suicide attempt for review. | Department of Corrections and Rehabilitation | Fully Implemented |

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 | ENTITY | STATUS OF RECOMMENDATION |
|--|-----------------------|--------------------------|
| 4. The Legislature should require that the partnership between the California Department of Education (Education) and Justice periodically review safety plan requirements to ensure that the plans keep pace with evolving school environments and updated educational research. | Legislature | No Action Taken |
| 9. 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—Safe Schools: A Planning Guide for Action—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. | Department of Justice | Pending |

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 | ENTITY | STATUS OF RECOMMENDATION |
|---|--|--------------------------|
| 7. Corrections should issue a memo to all staff no later than November 2017, and annually thereafter, regarding the prohibition of raffles and the unauthorized sale of alcohol and ammunition. | Department of Corrections and Rehabilitation | Fully Implemented |

Report Number 2017-101

Concealed Carry Weapon Licenses: Sheriffs Have Implemented Their Local Programs Inconsistently and Sometimes Inadequately (December 2017)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|---|--------------------------|
| 1. To ensure that its concealed carry weapon (CCW) licensing decisions align with its CCW policy, Los Angeles County Sheriff's Department (Los Angeles) should only issue licenses to applicants after collecting documentation of specific, personal threats against the applicants so as to satisfy its definition of good cause. If Los Angeles believes that its public licensing policy does not include all acceptable good causes for a CCW license, then by March 2018 it should revise that policy and publish the new policy on its website. It should then immediately begin processing applications according to that revised policy. | Los Angeles County Sheriff's Department | † |
| 2. To ensure that it only issues licenses to individuals after receiving evidence of residency, firearms training, and good moral character that aligns with its policy, Los Angeles should only issue licenses after verifying that it has received this evidence. To avoid overlooking required evidence, Los Angeles should create procedures by March 2018 for its staff to follow to ensure that each CCW file contains the evidence its policy requires before issuing the license. | Los Angeles County Sheriff's Department | † |

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| <p>3. To ensure that staff are gathering consistent evidence from applicants to demonstrate residency, good moral character, and firearms training and are including which requirement applicants did not meet in its denial letters, by March 2018 Sacramento County Sheriff's Department (Sacramento) should create formal CCW processing procedures and train its staff to follow these procedures. These procedures should require staff to gather and evaluate the information the department believes is required to demonstrate that each of the criteria for a CCW license has been met, and they should also require staff to include which requirement applicants did not meet in its denial letters.</p> | Sacramento County Sheriff's Department | † |
| <p>4. To ensure that staff are following its newly established procedures and to identify any need for additional guidance, by March 2018 Sacramento should establish a review process wherein it regularly reviews a selection of license files and denied applications to determine whether its staff are collecting sufficient and consistent documentation in accordance with its policies and are appropriately including which requirement applicants did not meet in its denial letters.</p> | Sacramento County Sheriff's Department | † |
| <p>5. To ensure that its staff appropriately renew CCW licenses, by March 2018 San Diego County Sheriff's Department (San Diego) should establish a routine supervisory review of a selection of renewed licenses.</p> | San Diego County Sheriff's Department | † |
| <p>6. To ensure that it consistently obtains sufficient evidence to demonstrate that an applicant satisfies its requirements for a license, by March 2018 San Diego should develop guidance and train its staff on what good cause documentation staff should request from applicants. Further, it should train its staff regarding the expected documents for residency and training.</p> | San Diego County Sheriff's Department | † |
| <p>7. To ensure that it provides all required information to Justice, Sacramento should immediately inform Justice when it revokes a CCW license, including when it receives a prohibition notice from Justice.</p> | Sacramento County Sheriff's Department | † |
| <p>8. To ensure that it follows state law's requirements for revoking licenses, San Diego should immediately revoke CCW licenses and should then inform Justice that it has revoked licenses whenever license holders become prohibited persons. Additionally, San Diego should notify Justice when it suspends a license or a license is surrendered.</p> | San Diego County Sheriff's Department | † |
| <p>9. The Legislature should amend state law to clarify that licensing authorities can increase fees for CCW applications, renewals, and modifications above \$100, \$25, and \$10, the respective maximum amounts specified in state law, provided that the fee for an initial application does not exceed the authorities' actual costs and that the rate of increase for any of the fees does not exceed that of the California Consumer Price Index.</p> | Legislature | No Action Taken |
| <p>10. To ensure that it is only charging fees that state law allows, Los Angeles should immediately cease charging applicants fees in addition to its license processing fee. Los Angeles should reimburse applicants who paid the unallowable fees. Further, if Los Angeles believes its license fee does not recover its entire cost of processing an initial application, it should complete a cost study and, if appropriate, revise its fee according to the results of that study and the maximum allowed fees under state law.</p> | Los Angeles County Sheriff's Department | † |
| <p>11. To ensure that it is maximizing allowable revenue from the CCW program and reducing its program deficits, Sacramento should perform a cost study of its initial application processing and, on completion of the study, immediately increase its CCW license fees and begin charging the maximum amounts allowable under state law.</p> | Sacramento County Sheriff's Department | † |
| <p>12. To ensure that it maximizes allowable revenue from its CCW program, San Diego should immediately pursue increasing its initial, renewal, and amendment fees to the maximum amounts allowable under state law.</p> | San Diego County Sheriff's Department | † |

Report Number 2017-302

Judicial Council of California: It Needs to Follow Competitive Bidding Processes More Consistently and Establish Clear Guidance for Invoice Processing (December 2017)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|--------------------------------|--------------------------|
| 1. To help ensure that it obtains the best value for the goods and services it purchases and that its staff take the steps necessary to comply with the judicial contracting manual, the Judicial Council should continue to reinforce with staff through management memos, training, or other formal means the need to: Ensure that the person with the appropriate level of authority approves purchases; obtain authorized approvers' signatures for noncompetitive procurements; properly document justification for noncompetitive procurements; and not exclude potential vendors from bidding based on assumptions about their prices. | Judicial Council of California | Fully Implemented |
| 2. To better align the judicial contracting manual with state requirements and to make certain that it receives the best value for services, the Judicial Council should update by March 2018 the judicial contracting manual's guidance on contract splitting and sole-source procurements to reflect the more specific definitions in the state contracting manual. | Judicial Council of California | Fully Implemented |
| 3. To ensure that Judicial Council staff have the information they need to process invoices appropriately and to comply with the judicial contracting manual, the Judicial Council should develop by June 2018 one document with clear invoice-processing procedures for its accounting staff. This document should define the steps for processing invoices related to different types of purchase agreements and common exceptions to the typical process, including instructions for handling invoices processed on behalf of other Judicial Branch entities. | Judicial Council of California | † |
| 4. By June 2018, the Judicial Council should fully implement the State Auditor's recommendation from 2013 related to controls over its information systems. | Judicial Council of California | † |
| 5. To prevent misinterpretation of policies governing its procurement practices, the Judicial Council should reissue its local manual by June 2018, incorporating all updates made since the 2011 version of the manual. | Judicial Council of California | † |
| 6. To help ensure that the Judicial Council complies with state reporting requirements related to conflicts of interest, it should report to the appropriate authority any staff who do not file statements of economic interests after reasonable attempts to prompt them to file, as described in guidance from the Fair Political Practices Commission. Further, the Judicial Council should complete its procedures to improve compliance and implement them beginning in January 2018. | Judicial Council of California | Fully Implemented |

Report Number 2017-131

Hate Crimes in California: Law Enforcement Has Not Adequately Identified, Reported, or Responded to Hate Crimes (May 2018)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|-----------------------|--------------------------|
| 1. To ensure that it receives complete and accurate data, Justice should, by May 2019, develop and maintain a list of law enforcement agencies that it updates annually, obtain hate crime data from all law enforcement agencies, distribute additional guidance to those agencies on procedures for reporting hate crimes, and conduct periodic reviews of law enforcement agencies to ensure that the data they report are accurate. It should also seek the resources to implement these efforts, if necessary. | Department of Justice | † |
| 2. To ensure that all state law enforcement agencies are aware of the support available to help them investigate hate crimes, Justice should engage in outreach efforts to increase awareness of its response team. | Department of Justice | Fully Implemented |

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| 3. To increase the effectiveness of hate crime prevention and response efforts, Justice should provide additional guidance to law enforcement agencies by adding region-specific data fields to the hate crime database, including items such as the zip code in which reported hate crimes took place and other fields that Justice determines will support its outreach efforts. | Department of Justice | † |
| 4. To increase the effectiveness of hate crime prevention and response efforts, Justice should provide additional guidance to law enforcement agencies by analyzing reported hate crimes in various regions in the State and send advisory notices when it detects hate crimes happening across multiple jurisdictions. It should also seek the resources to implement these efforts, if necessary. | Department of Justice | † |
| 5. To increase the effectiveness of hate crime prevention and response efforts, Justice should provide additional guidance to law enforcement agencies by creating and disseminating outreach materials so law enforcement agencies can better engage with their communities. | Department of Justice | † |
| 6. To increase the effectiveness of hate crime prevention and response efforts, Justice should provide additional guidance to law enforcement agencies by creating and making available training materials for law enforcement agencies on how best to identify and respond to hate crimes. | Department of Justice | † |
| 7. To ensure that law enforcement agencies effectively engage with communities regarding hate crimes, Justice should provide guidance and best practices for law enforcement agencies to follow when conducting hate crime outreach to vulnerable communities within their jurisdictions, such as collaborating with a county human rights commission. It should make the outreach materials available to law enforcement agencies and should include in them presentation materials for various types of communities, including immigrants and Muslims, among others. It should seek the resources to implement these efforts, if necessary. | Department of Justice | † |
| 8. To ensure that they accurately identify and report hate crimes, San Francisco State University (SFSU) Police and Los Angeles (LA) Police should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them. | Los Angeles Police Department | † |
| 9. To ensure that they accurately identify and report hate crimes, SFSU Police and LA Police should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them. | Orange County Sheriff's Department | Fully Implemented |
| 11. To ensure that they accurately identify and report hate crimes, SFSU Police and LA Police should update their hate crime policies and procedures, and the Orange County Sheriff and Stanislaus County Sheriff should implement supplemental hate crime reports and require officers to use them. | Stanislaus County Sheriff's Department | No Action Taken |
| 13. To ensure accurate and complete reporting, LA Police and SFSU Police should provide sufficient guidance and oversight to their officers and staff so that they report all hate crimes to Justice. | Los Angeles Police Department | † |
| 14. To help ensure that officers can identify and document that hate crimes have occurred, the Commission on Peace Officer Standards and Training (POST) should send training materials to all POST-certified law enforcement agencies in the State for these agencies to use in refresher training for their officers. | Commission on Peace Officer Standards and Training | Fully Implemented |
| 15. To ensure its hate crime training effectively communicates information essential to properly identifying and addressing hate crimes, POST should evaluate its hate crime courses periodically. It should also seek resources to implement these efforts, if necessary. | Commission on Peace Officer Standards and Training | † |
| 16. To address the increase in hate crimes reported in California, the Legislature should require Justice to add region-specific data fields to the hate crime database, including items such as the zip code in which the reported hate crimes took place as well as other fields that Justice determines will support its outreach efforts. | Legislature | No Action Taken |
| 17. To address the increase in hate crimes reported in California, the Legislature should require Justice to analyze reported hate crimes in various regions in the State and send advisory notices to law enforcement agencies when it detects hate crimes happening across multiple jurisdictions. | Legislature | No Action Taken |

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| 18. To address the increase in hate crimes reported in California, the Legislature should require Justice to create and disseminate outreach materials so law enforcement agencies can better engage with their communities. | Legislature | No Action Taken |
| 19. To address the increase in hate crimes reported in California, the Legislature should require Justice to create and make available training materials for law enforcement agencies on how best to identify and respond to hate crimes. | Legislature | No Action Taken |
| 20. To address the increase in hate crimes reported in California, the Legislature should require Justice to implement a school-based program, in conjunction with representation from local law enforcement agencies, aimed at educating communities to identify and confront issues of bias, prejudice, and harassment. | Legislature | No Action Taken |
| 21. To ensure that hate crime training for law enforcement is effective, the Legislature should require POST to evaluate its hate crime training. | Legislature | No Action Taken |

Report Number I2018-1

Investigations of Improper Activities by State Agencies and Employees: Misuse of State Time, Economically Wasteful Activities, and Misuse of State Property (July 2018)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|--|--------------------------|
| 7. Take appropriate corrective action against the employee, including documenting his attendance abuse in his personnel or supervisory file. | Department of Corrections and Rehabilitation | † |
| 8. Require the supervisor to implement policies and procedures to ensure his subordinates account for all of their missed work hours. | Department of Corrections and Rehabilitation | † |
| 11. Ensure that the licensed vocational nurse (LVN) begins performing duties appropriate for her classification as a nurse who provides patient care. | California Correctional Health Care Services | Resolved |
| 12. Remove the LVN's scheduler access to the scheduling software. | California Correctional Health Care Services | No Action Taken |
| 13. Utilize appropriate administrative staff to perform scheduling duties. | California Correctional Health Care Services | Partially Implemented |
| 14. Ensure that scheduling staff use the appropriate post codes in the scheduling software for all nursing staff so their time is accurately reported. | California Correctional Health Care Services | No Action Taken |
| 15. Ensure that all other nursing staff assignments to ad hoc posts are appropriate, and require schedulers to enter a note in the scheduling software indicating an employee's duties while in a general ad hoc post. | California Correctional Health Care Services | No Action Taken |
| 16. Provide training to the nursing director regarding the requirements for temporary employee reassignments, including proper documentation. | California Correctional Health Care Services | No Action Taken |
| 17. Provide training to the nursing director and the LVN on California Correctional Health Care Services' (Correctional Health Care) policy on personal relationships in the employment setting. | California Correctional Health Care Services | No Action Taken |
| 18. Consider disciplinary action against the nursing director and the LVN for being dishonest when interviewed and for violating Correctional Health Care's policy on personal relationships in the employment setting. | California Correctional Health Care Services | No Action Taken |
| 19. Seek repayment from the analyst for the \$2,925 in improper payments. | Department of Corrections and Rehabilitation | Fully Implemented |
| 20. Fully implement and continue to follow recommendations from prior investigative reports involving similar inappropriate inmate supervision pay at other Corrections' facilities, including the recommendation to train all employees who receive, approve, or issue the inmate supervision pay. | Department of Corrections and Rehabilitation | † |

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| 21. Provide additional training to the individuals involved in this investigation regarding the eligibility requirements for inmate supervision pay and overpayment procedures. | Department of Corrections and Rehabilitation | Partially Implemented |
| 22. Revise the prison's inmate supervision pay approval form to include the date on which the employee received inmate supervision pay training and require signatures on each form from the employee, supervisor, and personnel staff to show that they received the training and are aware of the rules regarding inmate supervision pay. | Department of Corrections and Rehabilitation | Fully Implemented |

Report Number 2018-106

Correctional Officer Health and Safety: Some State and County Correctional Facilities Could Better Protect Their Officers From the Health Risks of Certain Inmate Attacks (September 2018)

| RECOMMENDATION | ENTITY | STATUS OF RECOMMENDATION |
|---|--|--------------------------|
| 1. To ensure the health and safety of its employees and hold its supervisors accountable, the California Institution for Men (CIM) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases. | Department of Corrections and Rehabilitation | Pending |
| 2. To ensure the health and safety of its employees and hold its supervisors accountable, CIM should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them. | Department of Corrections and Rehabilitation | Pending |
| 3. To make certain that victims are aware of threats to their health, CIM should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims. | Department of Corrections and Rehabilitation | Partially Implemented |
| 4. To ensure the health and safety of its employees and hold its supervisors accountable, Los Angeles County Sheriff's Department Men's Central Jail (Men's Central) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases. | Los Angeles County Sheriff's Department | Fully Implemented |
| 5. To ensure the health and safety of its employees and hold its supervisors accountable, Men's Central should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them. | Los Angeles County Sheriff's Department | Fully Implemented |
| 6. To make certain that victims are aware of threats to their health, Men's Central should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims. | Los Angeles County Sheriff's Department | Fully Implemented |
| 7. To ensure the health and safety of its employees and hold its supervisors accountable, Alameda County Sheriff's Office's Santa Rita Jail (Santa Rita) should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the medical services and workers' compensation benefits available to them. | Alameda County Sheriff's Office | Pending |
| 8. To ensure the health and safety of its employees and hold its supervisors accountable, Santa Rita should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of their right to request that the inmates involved be tested for communicable diseases. | Alameda County Sheriff's Office | Partially Implemented |
| 9. To ensure the health and safety of its employees and hold its supervisors accountable, Santa Rita should revise its policies and procedures to require documentation that its supervisors are notifying victims of gassing attacks in a timely manner of the counseling services available to them. | Alameda County Sheriff's Office | Fully Implemented |

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| 10. To make certain that victims are aware of threats to their health, Santa Rita should follow state law and ensure that its medical personnel immediately inform victims of gassing attacks of any evidence suggesting that the inmates involved have a communicable disease. It should further document that it has provided this information to victims. | Alameda County Sheriff's Office | Partially Implemented |
| 11. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should implement procedures to ensure that it collects sufficient physical evidence and submits the gassing substance for laboratory testing, as state law requires. | Department of Corrections and Rehabilitation | Partially Implemented |
| 12. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should develop goals for how long investigations should take and ensure that its officers adhere to these goals. | Department of Corrections and Rehabilitation | Partially Implemented |
| 13. To ensure that it properly investigates gassing attacks and refers cases for prosecution, CIM should separate its evaluation of officers' use of force from the investigation process it uses to refer cases to the district attorney. | Department of Corrections and Rehabilitation | Partially Implemented |
| 14. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Men's Central should implement procedures to ensure that it collects sufficient physical evidence. | Los Angeles County Sheriff's Department | Partially Implemented |
| 15. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Men's Central should develop goals for how long investigations should take and ensure that its officers adhere to these goals. | Los Angeles County Sheriff's Department | No Action Taken |
| 16. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Santa Rita should implement procedures to ensure that it collects sufficient physical evidence and submits the gassing substance for laboratory testing, as state law requires. | Alameda County Sheriff's Office | Fully Implemented |
| 17. To ensure that it properly investigates gassing attacks and refers cases for prosecution, Santa Rita should develop practices to ensure that it submits all cases for prosecution when probable cause of a crime exists. Further, it should expedite its review of the four cases that we identified, and if probable cause exists, submit those cases to the district attorney for prosecution. | Alameda County Sheriff's Office | Pending |
| 18. To better prevent gassing attacks and promote desirable changes in inmate attitude and behavior, CIM should follow its policy and pursue appropriate internal disciplinary actions—including consideration of the inmate's mental health and competency when determining whether to impose internal discipline. | Department of Corrections and Rehabilitation | Pending |
| 19. To ensure the health and safety of its officers when interacting with inmates, CIM should maintain a sufficient supply of preventative equipment that is available to its officers and staff in all locations where gassing attacks can occur. | Department of Corrections and Rehabilitation | Partially Implemented |
| 20. To ensure the health and safety of its officers when interacting with inmates, CIM should develop a policy regarding the placement of "gasser" tags on the cells of inmates who have committed or attempted to commit a gassing attack. | Department of Corrections and Rehabilitation | Partially Implemented |
| 21. To ensure the health and safety of its officers when interacting with inmates, CIM should provide annual training that is specific to preventing and responding to gassing attacks. | Department of Corrections and Rehabilitation | Partially Implemented |
| 22. To ensure that it is able to identify high-risk situations and deter repeat offenders, CIM should specifically track all gassing attacks and use the tracking data as a tool to prevent future gassing attacks. | Department of Corrections and Rehabilitation | Partially Implemented |
| 23. To ensure the safety of its staff, Men's Central should provide annual training that is specific to preventing and responding to gassing attacks. | Los Angeles County Sheriff's Department | Pending |
| 24. To better prevent gassing attacks and promote desirable changes in inmate attitude and behavior, Santa Rita should follow its policy and pursue appropriate internal disciplinary actions—including consideration of the inmate's mental health and competency when determining whether to impose internal discipline. | Alameda County Sheriff's Office | Fully Implemented |
| 25. To ensure the health and safety of its officers when interacting with inmates, Santa Rita should develop a policy regarding the placement of "gasser" tags on the cells of inmates who have committed or attempted to commit a gassing attack. | Alameda County Sheriff's Office | Fully Implemented |

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| 26. To ensure the health and safety of its officers when interacting with inmates, Santa Rita should provide annual training that is specific to preventing and responding to gassing attacks. | Alameda County Sheriff's Office | Fully Implemented |
| 27. To ensure that it is able to identify high risk situations and deter repeat offenders, Santa Rita should specifically track all gassing attacks and use the tracking data as a tool to prevent future gassing attacks. | Alameda County Sheriff's Office | Pending |
| 28. To shorten the time to submit cases of gassing attacks for prosecution, the Legislature should modify state law to provide correctional facilities the discretion to omit testing the gassing substance for the presence of a bodily fluid when the correctional facility, in consultation with its district attorney, finds that such testing is unnecessary to obtain sufficient evidence of a crime. | Legislature | No Action Taken |

† As of December 31, 2018, the entity has not provided a response to the State Auditor or the State Auditor has not assessed the entity's response.