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Table 1
Recommendation Status Summary

Senate Budget & Fiscal Review Subcommittee 1 on 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	ENTITY	STATUS OF RECOMMENDATION
1. To ensure the requirements of the uniform complaint procedures (UCP) are consistent for complaints and appeals the California Department of Education (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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Department of Education	Will Not Implement
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 local educational agency (LEA) involved, and the decision.	Department of Education	Partially Implemented
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.	Department of Education	Pending
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.	Department of Education	Pending

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.	Department of Education	Pending
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.	Department of Education	Partially Implemented
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.	Department of Education	Will Not Implement
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.	Department of Education	Will Not Implement
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.	Department of Education	Fully Implemented
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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 School District (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.	Los Angeles Unified School District	Fully Implemented
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 School District (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.	San Juan Unified School District	Fully Implemented
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.	Department of Education	Will Not Implement
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.	Los Angeles Unified School District	Fully Implemented

<p>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.</p>	<p>San Diego Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>San Juan Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>San Juan Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Los Angeles Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>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.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>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.</p>	<p>Department of Education</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>San Diego Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Los Angeles Unified School District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Department of Education</p>	<p>Fully Implemented</p>
<p>28. Education should revise UCP regulations to formally establish uniform time limits for filing all types of complaints.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>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.</p>	<p>San Diego Unified School District</p>	<p>Fully Implemented</p>

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	ENTITY	STATUS OF RECOMMENDATION
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.	Legislature	No Action Taken
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. 	Legislature	No Action Taken
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.	Coachella Valley Unified School District	Pending
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.	Stockton Unified School District	Fully Implemented
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.	Coachella Valley Unified School District	Pending
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.	Stockton Unified School District	Fully Implemented
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 of California's (UC) course listings with each school's master schedule of courses.	Coachella Valley Unified School District	Pending

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 UC's course listings with each school's master schedule of courses.	Stockton Unified School District	Resolved
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.	Legislature	No Action Taken
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.	Department of Education	Fully Implemented
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken

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
24. California State University, San Diego should continue to collect repayment until the entire amount has been repaid.	California State University, San Diego	Fully Implemented
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.	California State University, Fresno	Fully Implemented

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	ENTITY	STATUS OF RECOMMENDATION
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.	Alliance College-Ready Public Schools	Fully Implemented
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.	Alliance College-Ready Public Schools	Fully Implemented

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.	Alliance College-Ready Public Schools	Fully Implemented
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.	Alliance College-Ready Public Schools	Fully Implemented
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.	Alliance College-Ready Public Schools	Fully Implemented
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.	Alliance College-Ready Public Schools	Fully Implemented

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	ENTITY	STATUS OF RECOMMENDATION
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.	California State University	Resolved
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.	California State University	Resolved
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.	California State University	Pending
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.	Legislature	Legislation Proposed But Not Enacted
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.	California State University	Fully Implemented

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.	California State University	Fully Implemented
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.	California State University	Resolved
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.	California State University	Resolved
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.	California State University	Fully Implemented
10. The Chancellor's Office should finish developing the Common Human Resources System and implement it as scheduled by December 2019.	California State University	Pending
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 (LAO), to develop methodologies for future compensation comparisons that consider total compensation.	California State University	Pending
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.	California State University	Resolved
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.	California State University	Resolved

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	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that the UC Office of the President's actions align with the UC'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.	Legislature	Legislation Enacted

<p>2. To ensure that the Office of the President's actions align with the UC's primary mission, the Legislature should, from the funds appropriated, require the UC 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.</p>	Legislature	No Longer Necessary
<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>	University of California	Fully Implemented
<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>	University of California	Partially Implemented
<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>	University of California	Partially Implemented
<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>	University of California	Fully Implemented
<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>	University of California Board of Regents	Partially Implemented
<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>	University of California Board of Regents	Fully Implemented
<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>	University of California Board of Regents	Partially Implemented
<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>	University of California	Fully Implemented
<p>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.</p>	University of California	Fully Implemented
<p>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.</p>	University of California	Fully Implemented
<p>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 the California Department of Human Resources' (CalHR) best-practice workforce planning model by developing a strategic direction for its workforce plan.</p>	University of California	Fully Implemented

<p>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.</p>	<p>University of California Board of Regents</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>University of California Board of Regents</p>	<p>Partially Implemented</p>
<p>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 UC 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.</p>	<p>University of California Board of Regents</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California Board of Regents</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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 National Association of College and University Business Officers, including developing budget policies and procedures and formally documenting, approving, and justifying all one-time and unexpected expenditure requests.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Pending</p>
<p>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.</p>	<p>University of California</p>	<p>Pending</p>
<p>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.</p>	<p>University of California</p>	<p>Pending</p>

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.	University of California	Partially Implemented
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Partially Implemented
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.	University of California	Fully Implemented
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Fully Implemented
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.	University of California	Pending
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.	University of California	Pending

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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending
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.	University of California	Pending

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	ENTITY	STATUS OF RECOMMENDATION
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.	Legislature	Legislation Enacted
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.	Imperial County Office of Education	Fully Implemented
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.	Imperial County Office of Education	Fully Implemented
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.	Imperial County Office of Education	Fully Implemented
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.	Imperial County Office of Education	Fully Implemented

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<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>	Imperial County Office of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented
<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>	Department of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented
<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>	Imperial County Office of Education	Fully Implemented

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	ENTITY	STATUS OF RECOMMENDATION
1. To strengthen its administrative reviews and help ensure that school food authorities comply with the federal 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.	Department of Education	Will Not Implement
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.	Department of Education	Fully Implemented
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.	Department of Education	Fully Implemented
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.	Department of Education	Fully Implemented
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.	Department of Education	Fully Implemented
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. 	Elk Grove Unified School District	Fully Implemented

<p>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:</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. 	Fresno Unified School District	Fully Implemented
<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. 	Los Angeles Unified School District	Fully Implemented
<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. 	San Diego Unified School District	Fully Implemented
<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. 	<p>Stockton Unified School District</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>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.</p>	<p>Legislature</p>	<p>No Action Taken</p>

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	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that the UC maximizes the use of competition, the Legislature should revise the Public Contract Code to specify the conditions under which the UC may amend contracts without competition.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>2. To ensure that the UC maximizes the use of competition, the Legislature should revise the Public Contract Code to narrowly define the professional and personal services that the UC may exempt from competitive bidding.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>3. To ensure that UC locations adequately justify the necessity of contracts that will displace UC employees, the Office of the President should actively enforce compliance with the displacement guidelines by monitoring UC locations for compliance, providing regular training on the displacement guidelines to UC 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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>4. To ensure that UC locations adequately justify the necessity of contracts that will displace UC employees, the Office of the President should revise contracting policies to address situations in which UC locations are contemplating entering into services contracts instead of hiring UC employees to perform an activity. In these situations, the Office of the President should require UC locations to perform an analysis that is similar to the one it requires when current UC employees are displaced.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>5. To ensure that UC locations adequately justify the necessity of contracts that will displace UC 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 UC locations submit.</p>	<p>University of California</p>	<p>Fully Implemented</p>

6. To ensure that UC locations adequately justify the necessity of contracts that will displace UC employees, the Office of the President should revise the cost analysis requirements in the displacement guidelines to mitigate the risk of UC locations incorrectly estimating savings by requiring a threshold level of savings as part of their business and financial necessity analyses and requiring that UC locations periodically reevaluate the savings after the services contracts take effect to inform future contracting decisions.	University of California	Fully Implemented
7. To ensure that the UC 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 UC locations, including its own local procurement office, to implement controls to ensure staff better comply with the UC's contract manual's requirements for using standard terms and conditions, obtaining the proper contract approvals, and awarding of sole-source contracts.	University of California	Fully Implemented
8. To ensure that the UC 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 UC'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.	University of California	Partially Implemented
9. To ensure that the UC 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 UC's contract manual to narrow the exemption from competition to only selected professional services, similar to the State Contracting Manual.	University of California	Partially Implemented
10. To ensure that the UC 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 UC 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.	University of California	Fully Implemented
11. To help ensure that the UC will implement its central contract database for tracking and monitoring all UC 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.	University of California	Fully Implemented
12. To maximize benefits from the systemwide procurement initiative and to ensure that the UC uses those benefits for its teaching, research, and public service missions, the Office of the President should direct all UC locations to provide better documentation to substantiate actual benefits they claim related to their procurement decisions.	University of California	Pending
13. To maximize benefits from the systemwide procurement initiative and to ensure that the UC 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 UC locations claim result from only procurement-related activities.	University of California	Pending
14. To maximize benefits from the systemwide procurement initiative and to ensure that the UC 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 UC locations use them to support the UC's core missions.	University of California	Will Not Implement
15. To maximize benefits from the systemwide procurement initiative and to ensure that the UC 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.	University of California	Pending
16. To maximize benefits from the systemwide procurement initiative and to ensure that the UC 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.	University of California	Pending

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	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that they are able to exercise necessary oversight for the UC's significant information technology (IT) projects, the regents should develop status reporting standards for the Office of the President and all UC locations to follow by December 2017. Such reporting standards should apply to all UC information technology (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 UC 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.</p>	University of California Board of Regents	Fully Implemented
<p>2. To ensure that they are able to exercise necessary oversight for the UC's significant IT projects, the regents should develop status reporting standards for the Office of the President and all UC locations to follow by December 2017. Such reporting standards should apply to all UC 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 UC locations must present about each IT project including, but not limited to, changes in scope, projected cost, and schedule.</p>	University of California Board of Regents	Fully Implemented
<p>3. To ensure that they are able to exercise necessary oversight for the UC's significant IT projects, the regents should develop status reporting standards for the Office of the President and all UC locations to follow by December 2017. Such reporting standards should apply to all UC 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 UC locations must disclose. The updates should also describe the actions the Office of the President and all UC locations are taking to mitigate the risks and the potential effects of those risks on a project's cost, schedule, and scope.</p>	University of California Board of Regents	Fully Implemented
<p>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 UC locations. These cost guidelines should identify cost categories at both the Office of the President and UC 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.</p>	University of California	Fully Implemented
<p>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 UC 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.</p>	University of California	Fully Implemented
<p>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 UC 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.</p>	University of California	Fully Implemented
<p>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 UC 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.</p>	University of California	Fully Implemented

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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 UC 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.	University of California	Fully Implemented
9. The Office of the President should require that all UC 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.	University of California	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
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Department of Education	Fully Implemented
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.	Department of Education	Fully Implemented
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.	Department of Education	Fully Implemented
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, "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 Education	Pending

<p>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.</p>	<p>Kern County Office of Education</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Placer County Office of Education</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>San Bernardino County Superintendent of Schools</p>	<p>No Action Taken</p>
<p>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.</p>	<p>San Bernardino City Unified School District</p>	<p>Fully Implemented</p>

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
<p>6. University of California, Davis, should require the professor to undergo travel reimbursement training that should focus specifically on appropriate and allowable expenses.</p>	<p>University of California, Davis</p>	<p>Fully Implemented</p>

Report Number 2016-141

Charter Schools: Some School Districts Improperly Authorized and Inadequately Monitored Out-of-District Charter Schools (October 2017)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>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.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>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.</p>	<p>Legislature</p>	<p>No Action Taken</p>
<p>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.</p>	<p>Legislature</p>	<p>No Action Taken</p>

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4. To ensure charter school accountability, the Legislature should amend state law to require districts to strengthen their authorization processes by using the State Board of Education (State Education Board) criteria for evaluating charter school petitions.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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.	Legislature	No Action Taken
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	Fully Implemented
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	No Action Taken
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	Partially Implemented
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	No Action Taken
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	Fully Implemented
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	No Action Taken
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	Fully Implemented
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	Fully Implemented

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	No Action Taken
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	Fully Implemented
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	Partially Implemented
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	Fully Implemented
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	Pending
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Partially Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented
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.	Antelope Valley Union High School District	Fully Implemented

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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.	Antelope Valley Union High School District	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	No Action Taken
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	Fully Implemented
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	Fully Implemented
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	Pending
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	Fully Implemented

Report Number 2017-104

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

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
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	Pending
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	Pending
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	Pending
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 in the report.	Los Angeles County Office of Education	Pending
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	Pending
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 GFAO 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	Pending
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	Pending
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	Pending
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	Pending
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	Pending

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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	Fully Implemented
12. In order to rebuild trust with its community, Montebello 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	Pending
13. To ensure that Montebello 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 should immediately begin to document its justifications.	Montebello Unified School District	Pending
14. To ensure that Montebello Unified hires qualified certificated and classified employees, within 90 days the 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	Pending
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	Pending
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	Fully Implemented
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	Fully Implemented
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	Pending
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	Pending
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	Fully Implemented
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	Pending
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	Fully Implemented
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	Pending

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	Pending
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	Fully Implemented
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	Pending
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	Fully Implemented
28. To ensure that state adult education expenditures are reasonable and justified, the Montebello Unified Board of Education (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	Fully Implemented
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 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	Pending
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	Fully Implemented
31. To ensure that state adult education funds are used in the most efficient and effective manner, the Los Angeles Regional Adult Education Consortium (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	Partially Implemented
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	Partially Implemented

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	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that all community colleges are complying with timeliness requirements, by June 2018, the Community Colleges 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	Fully Implemented

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2. To ensure that community colleges promptly address any complaints they receive related to alternate media requests and web accessibility, by June 2018, the Community Colleges 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	Fully Implemented
3. To comply with statutory reporting requirements on its efforts to serve students with disabilities, by June 2018, the Community Colleges 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	Partially Implemented
4. To ensure that students with disabilities have equal access to instructional materials, by June 2018, the Community Colleges 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	Pending
5. To ensure that community colleges' websites comply with accessibility guidelines, by September 2018, the Community Colleges 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 Community Colleges 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	Pending
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 Community Colleges Chancellor's Office should issue guidance to the districts and community colleges on establishing written procedures for those processes.	Community Colleges Chancellor's Office	Fully Implemented
7. To assist all community colleges in increasing transparency of their shared governance decision-making processes, by September 2018, the Community Colleges 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	Will Not Implement
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 District (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	Fully Implemented
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	Fully Implemented
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	No Action Taken
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	No Action Taken
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	Fully Implemented

<p>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.</p>	<p>Cerritos Community College District</p>	<p>Pending</p>
<p>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.</p>	<p>Cerritos Community College District</p>	<p>No Action Taken</p>
<p>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 Community College 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.</p>	<p>Foothill-De Anza Community College District</p>	<p>Pending</p>
<p>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.</p>	<p>Foothill-De Anza Community College District</p>	<p>†</p>
<p>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.</p>	<p>Foothill-De Anza Community College District</p>	<p>Pending</p>
<p>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.</p>	<p>Foothill-De Anza Community College District</p>	<p>Pending</p>
<p>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.</p>	<p>Foothill-De Anza Community College District</p>	<p>Pending</p>
<p>20. To ensure the consistent, transparent, and continuous implementation of processes for technology equipment upgrades and replacements, by June 2018, the Foothill-De Anza district should establish written procedures for those processes.</p>	<p>Foothill-De Anza Community College District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Foothill-De Anza Community College District</p>	<p>Pending</p>
<p>22. To ensure that it is fulfilling requests for alternate media services from students with disabilities in a timely manner, by June 2018, Los Rios Community College District (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.</p>	<p>Los Rios Community College District</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Los Rios Community College District</p>	<p>Fully Implemented</p>

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	Pending
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	Pending
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	Will Not Implement
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	Pending
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	Pending
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	Pending

Report Number 2017-116

Community Child Care Council of Santa Clara County: Because It Disadvantaged Some Families and Misused State Funds, It Could Benefit From Increased Monitoring by the California Department of Education (April 2018)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that families have sufficient time to respond to notices regarding eligibility, Community Child Care Council of Santa Clara County (4Cs) should establish specific controls in its child-care data system by July 2018 to prevent staff from backdating the notification dates of the notices, and it should begin conducting periodic reviews of notification dates in the data system by October 2018 to ensure that the controls are effective.	Community Child Care Council of Santa Clara County	Partially Implemented
2. To ensure that families understand how to elevate appeals to Education, 4Cs should amend its notice forms and its handbook by October 2018 to consistently describe additional means for contacting Education beyond a mailing address and fax number, such as a telephone number, an email address, and a link to Education's website for online information about reporting appeals.	Community Child Care Council of Santa Clara County	Partially Implemented
3. To ensure that it is processing all provider payments promptly, 4Cs should formalize policies by October 2018 that address communication between its subsidy department and fiscal department regarding provider payments. These policies should be clearly communicated to both departments and provide a way for staff to be held accountable for late communications resulting in delayed payments to providers.	Community Child Care Council of Santa Clara County	Fully Implemented

<p>4. To make its appeal process more accessible to families who may not receive a satisfactory resolution from its contractors, Education should, by October 2018, require that its contractors share key information in their communications with families about the process for appealing notices. The required information should include valid grounds for a family to file an appeal as well as information or documentation Education would need in order to review the family's appeal of adverse decisions regarding their child-care services. Education should also require contractors to incorporate this information into contractually mandated staff training and into publicly available policies and procedures.</p>	<p>Department of Education</p>	<p>Will Not Implement</p>
<p>5. To ensure that it can justify the costs for which it seeks reimbursement, 4Cs should, by October 2018, strengthen its controls over its approval of the expenditures it charges to the State's share of its funding. These controls should include retention of all documentation to justify appropriate approval of these expenditures.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Fully Implemented</p>
<p>6. To ensure that the amount of benefits it provides to families is justifiable, 4Cs should develop formal procedures by October 2018 for its eligibility determinations, including a policy to retain in the family case files the documentation it uses to determine eligibility.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Fully Implemented</p>
<p>7. To ensure that staff possess the required knowledge and skills to assist families with child-care programs, 4Cs should develop and implement procedures by October 2018 to identify staff training needs and create orientation and training plans to meet those needs.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Fully Implemented</p>
<p>8. To ensure effective child-care programs, 4Cs should document separate self-evaluation and monitoring procedures for each child-care program when it prepares its future self-evaluation documents. Each of these self-evaluation processes should demonstrate how it used stakeholder feedback to improve each program and monitor each program's effectiveness.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Pending</p>
<p>9. In order to rectify 4Cs' inappropriate use of state funding, Education should, by October 2018, recalculate the amount of 4Cs' reimbursable costs based on the unallowable costs we identified and recover any funds that should be repaid.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>10. After completing its performance audit in September 2018, Education should determine whether to conduct any follow-up reviews of 4Cs' administrative costs and whether it needs to expand its procedures for identifying questionable costs. In addition, Education should determine whether the results of its audit identify any systemic issues pertaining to administrative costs for which it should consider expanding its audit procedures over administrative costs claimed by its other child-care contractors.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>11. To ensure that its contractors can effectively make program improvements and maintain successes in ways that are meaningful to their stakeholders, Education should adopt measures to ensure its contractors follow the terms of their contracts by demonstrating that their board members conduct a critical appraisal of each education program.</p>	<p>Department of Education</p>	<p>Will Not Implement</p>
<p>12. To strengthen the quality of its monitoring efforts, Education should create and implement procedures by October 2018 for staff to document the evidence used to support their contract monitoring reviews. Further, Education should use the results and evidence of compliance identified in these reviews to enhance its comparative performance measures and formulate effective training for its contractors.</p>	<p>Department of Education</p>	<p>Pending</p>
<p>13. To ensure that beneficiaries do not have restrictions limiting their ability to transfer their retirement funds, 4Cs should, by October 2018, move the funds for its primary and supplemental retirement plans out of the restrictive securities to the extent possible without incurring additional charges for beneficiaries. For any subsequent new participants, 4Cs should assign funds only to securities that do not have extensive charges associated with transferring or rolling over the funds.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Pending</p>
<p>14. To ensure that its retirement plan participants can make appropriate financial planning decisions, 4Cs should provide the required disclosures in its retirement benefit statements, summary plan description, and annual report, and it should maintain documentation that it did so.</p>	<p>Community Child Care Council of Santa Clara County</p>	<p>Pending</p>

15. To ensure the appropriate use of state grant funds, Education should determine, to the extent possible, the amount of supplemental plan funds that did not comply with federal requirements, and it should require 4Cs to reimburse the State for improper payments of state funds it made to the supplemental plan.	Department of Education	Pending
16. To ensure compliance with legal requirements and to promote a safe and responsible workplace, 4Cs should, by October 2018, create an anti-retaliation policy that specifically follows federal guidance on such policies. Additionally, 4Cs should update its policy manual and include federally recommended elements in its policy addressing unlawful harassment.	Community Child Care Council of Santa Clara County	Fully Implemented
17. To ensure that it maintains the integrity and impartiality of its human resources (HR) investigations, 4Cs should implement controls by October 2018 to ensure that it consistently follows its HR investigation process for all complaints, and it should maintain proper documentation of all actions taken.	Community Child Care Council of Santa Clara County	Fully Implemented

Report Number 2017-119

California State University: It Has Not Provided Adequate Oversight of the Safety of Employees and Students Who Work With Hazardous Materials (April 2018)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that it provides effective oversight of health and safety issues on the campuses, the Chancellor's Office should, by September 2018, review and identify all recommendations issued to the Chancellor's Office and the campuses from the University Auditor's systemwide audits of campus health and safety practices since 1994.	California State University	Fully Implemented
2. To ensure that it provides effective oversight of health and safety issues on the campuses, the Chancellor's Office should, using the information from recommendation 1, develop and implement a plan by January 2019 to ensure that the campuses have taken appropriate actions to comply with health and safety requirements.	California State University	†
3. To ensure that it provides effective oversight of health and safety issues on the campuses, the Chancellor's Office should, by November 2018, develop a uniform health and safety reporting template and require the campuses to use it to annually report information related to campus health and safety, including data regarding employee and student training and any other areas the Chancellor's Office considers critical to its oversight of health and safety compliance. In developing this reporting template, the Chancellor's Office should consider the information from its own health and safety-related audits as well as the findings and recommendations of this audit.	California State University	†
4. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the Chancellor's Office should assess the data and information in the reports to identify trends, risks, and best practices.	California State University	†
5. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the Chancellor's Office should develop recommendations for improving campus health and safety and follow up on the campuses' implementation of any corrective actions related to these recommendations.	California State University	†
6. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the Chancellor's Office should incorporate the risks identified in its assessments into the University Auditor's audit plan to ensure that the University Auditor evaluates problem areas related to campus health and safety.	California State University	†
7. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the Chancellor's Office should follow up with campuses that fail to submit the required annual health and safety reports and take appropriate steps to ensure compliance with this requirement.	California State University	†
8. To ensure that it identifies systemwide trends and makes appropriate recommendations to address health and safety issues, the Chancellor's Office should work with the appropriate union to form a systemwide joint committee, as agreed upon in its bargaining agreement with the union, by September 2018.	California State University	Fully Implemented

<p>9. To ensure that it identifies systemwide trends and makes appropriate recommendations to address health and safety issues, the Chancellor's Office should ensure that the systemwide joint committee meets and fulfills its responsibilities in accordance with the bargaining agreement by actively working with the union on an ongoing basis.</p>	<p>California State University</p>	<p>†</p>
<p>10. To ensure the health and safety of employees working with hazardous materials, the Chancellor's Office should prescribe the frequency for which the campuses provide refresher laboratory safety training to employees.</p>	<p>California State University</p>	<p>†</p>
<p>11. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, California State University, Channel Islands (Channel Islands) should ensure that its joint committee meets and fulfills its responsibilities in accordance with the bargaining agreement. If such committee does not exist, it should work with the union to form it by September 2018.</p>	<p>California State University, Channel Islands</p>	<p>†</p>
<p>12. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, California State University, Sacramento (Sacramento) should ensure that its joint committee meets and fulfills its responsibilities in accordance with the bargaining agreement. If such committee does not exist, it should work with the union to form it by September 2018.</p>	<p>California State University, Sacramento</p>	<p>†</p>
<p>13. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, California State University, San Diego (San Diego) should ensure that its joint committee meets and fulfills its responsibilities in accordance with the bargaining agreement. If such committee does not exist, it should work with the union to form it by September 2018.</p>	<p>California State University, San Diego</p>	<p>†</p>
<p>14. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, Sonoma State University (Sonoma State) should ensure that its joint committee meets and fulfills its responsibilities in accordance with the bargaining agreement. If such committee does not exist, it should work with the union to form it by September 2018.</p>	<p>Sonoma State University</p>	<p>Fully Implemented</p>
<p>15. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, Channel Islands should ensure that its joint committee records meeting minutes and provides copies of the minutes and other information to the systemwide joint committee, as requested.</p>	<p>California State University, Channel Islands</p>	<p>†</p>
<p>16. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, Sacramento should ensure that its joint committee records meeting minutes and provides copies of the minutes and other information to the systemwide joint committee, as requested.</p>	<p>California State University, Sacramento</p>	<p>†</p>
<p>17. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, San Diego should ensure that its joint committee records meeting minutes and provides copies of the minutes and other information to the systemwide joint committee, as requested.</p>	<p>California State University, San Diego</p>	<p>†</p>
<p>18. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, Sonoma should ensure that its joint committee records meeting minutes and provides copies of the minutes and other information to the systemwide joint committee, as requested.</p>	<p>Sonoma State University</p>	<p>†</p>
<p>19. To increase its oversight of chemical safety, Sacramento should establish a chemical committee consistent with its chemical plan requirements.</p>	<p>California State University, Sacramento</p>	<p>Fully Implemented</p>
<p>20. To increase its oversight of chemical safety, Sacramento should, by June 2018, specify how often the new chemical committee should meet and then ensure that it meets as frequently as required and that it proactively addresses issues related to chemical hygiene and safety on campus.</p>	<p>California State University, Sacramento</p>	<p>Fully Implemented</p>

21. To increase its oversight of chemical safety, Sacramento should ensure that the new chemical committee records its meeting minutes and makes those minutes available to all employees.	California State University, Sacramento	Fully Implemented
22. To increase oversight of chemical safety, Sonoma should, by June 2018, specify in its chemical plan how often its chemical committee should meet.	Sonoma State University	Fully Implemented
23. To increase oversight of chemical safety, Sonoma should ensure that its chemical committee meets as frequently as required and that it proactively addresses issues related to chemical hygiene and safety on campus.	Sonoma State University	†
24. To increase oversight of chemical safety, Sonoma should ensure that its chemical committee records its meeting minutes and makes those minutes available to all employees.	Sonoma State University	Fully Implemented
25. To more effectively provide oversight of its chemical plan, Channel Islands should annually evaluate its chemical plan for effectiveness and document the results of that evaluation, including its discussions of any recommended revisions.	California State University, Channel Islands	Fully Implemented
26. To more effectively provide oversight of its chemical plan, Sacramento should annually evaluate its chemical plan for effectiveness and document the results of that evaluation, including its discussions of any recommended revisions.	California State University, Sacramento	†
27. To more effectively provide oversight of its chemical plan, San Diego should annually evaluate its chemical plan for effectiveness and document the results of that evaluation, including its discussions of any recommended revisions.	California State University, San Diego	†
28. To more effectively provide oversight of its chemical plan, Sonoma should annually evaluate its chemical plan for effectiveness and document the results of that evaluation, including its discussions of any recommended revisions.	Sonoma State University	†
29. To ensure that it has a chemical plan that is up to date and reflects current campus practices, Sacramento should develop and implement a revised chemical plan by January 2019.	California State University, Sacramento	†
30. San Diego should ensure that its chemical plan clearly defines the campus entity or individual who is responsible for reviewing and evaluating the effectiveness of its chemical plan at least annually.	California State University, San Diego	Fully Implemented
31. To ensure that its chemical plan is updated to reflect current practices and changes to how the campus may have evolved, Sonoma should immediately update its chemical plan.	Sonoma State University	†
32. To ensure the health and safety of employees working with hazardous materials, Channel Islands should, by June 2018, review the training records of all employees who are required to take trainings related to laboratory safety, hazardous waste, hazard communication, or blood borne pathogens and identify those who have not taken these trainings.	California State University, Channel Islands	Fully Implemented
33. To ensure the health and safety of employees working with hazardous materials, Sacramento should, by June 2018, review the training records of all employees who are required to take trainings related to laboratory safety, hazardous waste, hazard communication, or blood borne pathogens and identify those who have not taken these trainings.	California State University, Sacramento	Fully Implemented
34. To ensure the health and safety of employees working with hazardous materials, San Diego should, by June 2018, review the training records of all employees who are required to take trainings related to laboratory safety, hazardous waste, hazard communication, or blood borne pathogens and identify those who have not taken these trainings.	California State University, San Diego	†
35. To ensure the health and safety of employees working with hazardous materials, Sonoma should, by June 2018, review the training records of all employees who are required to take trainings related to laboratory safety, hazardous waste, hazard communication, or blood borne pathogens and identify those who have not taken these trainings.	Sonoma State University	†
36. To ensure the health and safety of employees working with hazardous materials, Channel Islands should, by December 2018, make the required trainings available to employees and establish procedures for ensuring that the employees have received all required trainings.	California State University, Channel Islands	†

37. To ensure the health and safety of employees working with hazardous materials, Sacramento should, by December 2018, make the required trainings available to employees and establish procedures for ensuring that the employees have received all required trainings.	California State University, Sacramento	†
38. To ensure the health and safety of employees working with hazardous materials, San Diego should, by December 2018, make the required trainings available to employees and establish procedures for ensuring that the employees have received all required trainings.	California State University, San Diego	†
39. To ensure the health and safety of employees working with hazardous materials, Sonoma should, by December 2018, make the required trainings available to employees and establish procedures for ensuring that the employees have received all required trainings.	Sonoma State University	†
40. To ensure the health and safety of employees working with hazardous materials, Channel Islands should, going forward, regularly monitor employee training records to ensure that all employees have received the required trainings.	California State University, Channel Islands	†
41. To ensure the health and safety of employees working with hazardous materials, Sacramento should, going forward, regularly monitor employee training records to ensure that all employees have received the required trainings.	California State University, Sacramento	†
42. To ensure the health and safety of employees working with hazardous materials, San Diego should, going forward, regularly monitor employee training records to ensure that all employees have received the required trainings.	California State University, San Diego	†
43. To ensure the health and safety of employees working with hazardous materials, Sonoma should, going forward, regularly monitor employee training records to ensure that all employees have received the required trainings.	Sonoma State University	†
44. To ensure that employees working in a laboratory setting receive current information regarding laboratory safety, Channel Islands should provide periodic refresher laboratory safety training to these employees beginning in the Fall 2018 semester.	California State University, Channel Islands	†
45. To ensure the health and safety of students in a laboratory setting, Sacramento should, by June 2018, develop campuswide policies to ensure that its departments are accountable for providing student training on laboratory safety.	California State University, Sacramento	Fully Implemented
46. To ensure the health and safety of students in a laboratory setting, Channel Islands should work with appropriate faculty to develop student safety training acknowledgement forms by June 2018.	California State University, Channel Islands	†
47. To ensure the health and safety of students in a laboratory setting, Sacramento should work with appropriate faculty to develop student safety training acknowledgement forms by June 2018.	California State University, Sacramento	†
48. To ensure the health and safety of students in a laboratory setting, Sonoma should work with appropriate faculty to develop student safety training acknowledgement forms by June 2018.	Sonoma State University	†
49. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Channel Islands should require departments to have those students required to wear personal protective equipment (PPE) sign the student safety training acknowledgement forms to demonstrate that they have received proper laboratory safety training.	California State University, Channel Islands	†
50. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sacramento should require departments to have those students required to wear PPE sign the student safety training acknowledgement forms to demonstrate that they have received proper laboratory safety training.	California State University, Sacramento	†
51. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, San Diego should require departments to have those students required to wear PPE sign the student safety training acknowledgement forms to demonstrate that they have received proper laboratory safety training.	California State University, San Diego	†
52. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sonoma should require departments to have those students required to wear PPE sign the student safety training acknowledgement forms to demonstrate that they have received proper laboratory safety training.	Sonoma State University	†

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53. To ensure the health and safety of students in a laboratory setting, by May 2018, Sacramento should remind all departments to retain student training acknowledgment forms for at least three years after the end of classes.	California State University, Sacramento	Fully Implemented
54. To ensure the health and safety of students in a laboratory setting, by May 2018, San Diego should remind all departments to retain student training acknowledgment forms for at least three years after the end of classes.	California State University, San Diego	†
55. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sacramento should perform reviews at least annually to ensure that all departments are using the student training acknowledgement forms and are complying with the retention requirement.	California State University, Sacramento	†
56. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, San Diego should perform reviews at least annually to ensure that all departments are using the student training acknowledgement forms and are complying with the retention requirement.	California State University, San Diego	†
57. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sonoma should perform reviews at least annually to ensure that all departments are using the student training acknowledgement forms and are complying with the retention requirement.	Sonoma State University	†
58. As part of the uniform health and safety-reporting template that we recommend that it develop, the Chancellor's Office should require campuses to annually report on the timeliness of their inspections of safeguards, engineering controls, and ventilation systems and identify the reasons for any delays.	California State University	†
59. Based on campuses annual reports on the timeliness of their inspections of safeguards, engineering controls, and ventilation systems, the Chancellor's Office should follow up with campuses that report untimely inspections and should require that the campuses develop action plans to ensure that they complete inspections as often as state regulations require.	California State University	†
60. To ensure compliance with state requirements to notify employees about the presence of asbestos, the Chancellor's Office should immediately remind all of its campuses that state regulations require posting signage at the entrances to mechanical rooms that contain asbestos.	California State University	Fully Implemented
61. To ensure compliance with state requirements to notify employees about the presence of asbestos, the Chancellor's Office should, by September 2018, ensure that campuses are compliant with the requirement to post warning signage at the entrances to mechanical rooms that contain asbestos.	California State University	†
62. Sacramento should monitor the implementation of its new processes for inspecting safeguards to ensure that it completes monthly flushes of eyewashes and showers as state regulations require.	California State University, Sacramento	†
63. Sacramento should immediately assess the health and safety risks in its art sculpture lab and take action to ensure that safeguards are readily accessible as state regulations require.	California State University, Sacramento	†
64. San Diego should immediately develop and implement a plan to ensure that it consistently completes its flushes of eyewashes and showers monthly as state regulations require.	California State University, San Diego	†
65. Sonoma should continue to implement and adhere to its plan to ensure that it flushes showers and eyewashes and that it inspects fire extinguishers monthly as state regulations require.	Sonoma State University	†
66. Sonoma should add preventative maintenance work orders to its work order system by September 2018 to ensure that it completes fume hood and biosafety cabinet inspections annually as state regulations require.	Sonoma State University	†
67. San Diego should continue to implement its new policy to regularly review open work orders to ensure that it closes work orders in a timely fashion.	California State University, San Diego	†
68. San Diego should immediately develop and implement a plan to ensure that it consistently completes its inspections of air handler units at least annually.	California State University, San Diego	†

69. By September 2018, Sonoma should begin using its work order management system to track and ensure preventative maintenance inspections of air handler units are completed at least annually.	Sonoma State University	†
70. Channel Islands should immediately begin following its policies to conduct departmental self-audits to identify and address safety concerns in its laboratories. Further, Channel Islands should amend its chemical plan to include specific expectations about how often departments and its Environmental Health and Safety (EH&S) office will conduct self-audits.	California State University, Channel Islands	Pending
71. Sonoma should immediately begin following its policies to conduct departmental self-audits to identify and address safety concerns in its laboratories. Further, Sonoma should ensure that its self-audits review whether timely flushes of eyewashes and showers have occurred. As part of self-audits, Sonoma's departments should ensure that fume hoods have received annual inspections. Finally, Sonoma's EH&S department should regularly review whether departments are conducting self-audits.	Sonoma State University	†
72. Sacramento should immediately begin following its policies to conduct departmental self-audits to identify and address safety concerns in its laboratories. Further, Sacramento should ensure that its self-audits review whether timely flushes of eyewashes and showers have occurred.	California State University, Sacramento	†
73. San Diego should ensure that it documents all self-audits it conducts, including when it does not identify any violations during the audit. Further, San Diego should continue to implement and follow its new process to include reviews of safeguard inspections as a part of its self-audits.	California State University, San Diego	†
74. San Diego should immediately ensure that the entrances to all mechanical rooms with asbestos or material presumed to contain asbestos have signage to inform employees about the presence of the hazardous substance.	California State University, San Diego	†
75. Sacramento should immediately ensure that the entrances to all mechanical rooms with asbestos or material presumed to contain asbestos have signage to inform employees about the presence of the hazardous substance.	California State University, Sacramento	Fully Implemented

Report Number 2017-032

Clery Act Requirements and Crime Reporting: Compliance Continues to Challenge California's Colleges and Universities (May 2018)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that it accurately reports Clery Act crime statistics, Berkeley City College, by working with its district, should by August 2018 enter into an updated memorandum of understanding with the Berkeley Police that outlines the process for compiling crime statistics and defines the responsibilities of both parties.	Berkeley City College	Fully Implemented
2. To ensure that its district provides it with policies and processes that the Clery Act and federal regulations require, Berkeley City College should develop and begin following a policy by August 2018 requiring that it periodically review the district's annual security reports or templates, as well as district policies. To the extent that it identifies any inaccurate information or missing policies, it should work with its district to make updates as necessary.	Berkeley City College	Fully Implemented
3. To ensure that its district provides it with policies and processes that the Clery Act and federal regulations require, West Los Angeles College (West LA) should develop and begin following a policy by August 2018 requiring that it periodically review the district's annual security reports or templates, as well as district policies. To the extent that it identifies any inaccurate information or missing policies, it should work with its district to make updates as necessary.	West Los Angeles College	Pending
4. Berkeley City College should develop and implement procedures by August 2018 that it will regularly review and adhere to applicable guidance related to the Clery Act to ensure that it develops or discloses all required policies.	Berkeley City College	Fully Implemented

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5. Humboldt State University (Humboldt State) should develop and implement procedures by August 2018 that it will regularly review and adhere to applicable guidance related to the Clery Act to ensure that it develops or discloses all required policies.	Humboldt State University	Fully Implemented
6. West LA should develop and implement procedures by August 2018 that it will regularly review and adhere to applicable guidance related to the Clery Act to ensure that it develops or discloses all required policies.	West Los Angeles College	Pending
7. To ensure the completeness of its daily crime log, Berkeley City College should develop and implement a policy by August 2018 that describes its process for maintaining the log and ensuring that it is adequately maintained by its security guards.	Berkeley City College	Fully Implemented
8. To ensure that it includes all criminal incidents in its daily crime logs, West LA should by December 2018 create and follow appropriate procedures, such as requiring supervisor review of entries or programming its records management systems to create the daily crime logs automatically.	West Los Angeles College	Fully Implemented
9. Berkeley City College should create and follow procedures by August 2018 to ensure that it includes all crimes in its daily crime log as it becomes aware of those crimes, such as when it receives crime reports from local law enforcement agencies.	Berkeley City College	Fully Implemented
10. To ensure that its campuses include all necessary policy disclosures in their annual security reports, the CSU Chancellor's Office should revise its systemwide annual security report template by August 2018 so that it directs its campuses to specifically include each of the policies that the Clery Act and federal regulations require.	California State University	Fully Implemented
11. To help ensure its institutions maintain complete and accurate information about crimes that occur on their properties, the CSU Chancellor's Office should issue a policy by August 2018 to specify the information its institutions should include in their daily crime logs.	California State University	Fully Implemented
12. To ensure that it does not underreport crime statistics in its annual security reports, Humboldt State should create and begin following written procedures by August 2018 that clearly describe the Clery Act crime identification processes it will follow. These processes should include maintaining contemporaneous lists of Clery Act crimes that occur.	Humboldt State University	Fully Implemented
13. To ensure that it does not overreport or misreport its crime statistics, Humboldt State should develop and begin following procedures by August 2018 to review and adhere to applicable guidance related to the Clery Act, including the OPE handbook, when categorizing the Clery Act crimes it reports.	Humboldt State University	Fully Implemented
14. To ensure that it does not underreport crime statistics in its annual security reports, Bakersfield College (Bakersfield) should create and begin following written procedures by August 2018 that clearly describe the Clery Act crime identification processes it will follow. These processes should include maintaining contemporaneous lists of Clery Act crimes that occur.	Bakersfield College	Partially Implemented
15. To ensure that it does not underreport crime statistics in its annual security reports, California State University, San José (San José) State should create and begin following written procedures by August 2018 that clearly describe the Clery Act crime identification processes it will follow. These processes should include maintaining contemporaneous lists of Clery Act crimes that occur.	California State University, San José	Fully Implemented
16. To ensure that it does not overreport or misreport its crime statistics, Bakersfield should develop and begin following procedures by August 2018 to review and adhere to applicable guidance related to the Clery Act, including the OPE handbook, when categorizing the Clery Act crimes it reports.	Bakersfield College	Fully Implemented
17. To ensure that it does not overreport or misreport its crime statistics, San José State should develop and begin following procedures by August 2018 to review and adhere to applicable guidance related to the Clery Act, including the OPE handbook, when categorizing the Clery Act crimes it reports.	California State University, San José	Fully Implemented
18. To ensure that it does not overreport its crime statistics, Azusa Pacific University (Azusa) should strengthen its procedures by August 2018 to review and adhere to applicable guidance related to the Clery Act, including the OPE handbook, when categorizing the Clery Act crimes it reports.	Azusa Pacific University	Fully Implemented

19. To ensure Bakersfield requests and reports Clery Act crimes from local law enforcement, the institution should by August 2018 create and begin following a procedure, in conjunction with a written agreement with local law enforcement, to obtain crime statistics for the annual security report.	Bakersfield College	Pending
20. To ensure that its district provides it with policies and processes that the Clery Act and federal regulations require, Bakersfield should develop and begin following a policy by August 2018 requiring that it periodically review the district's annual security reports or templates, as well as district policies. To the extent that it identifies any inaccurate information or missing policies, it should work with its district to make updates as necessary.	Bakersfield College	Fully Implemented
21. Bakersfield should develop and implement procedures by August 2018 that it will regularly review and adhere to applicable guidance related to the Clery Act to ensure that it develops or discloses all required policies.	Bakersfield College	Fully Implemented
22. San José State should develop and implement procedures by August 2018 that it will regularly review and adhere to applicable guidance related to the Clery Act to ensure that it develops or discloses all required policies.	California State University, San José	Fully Implemented
23. To ensure that it includes all criminal incidents in its daily crime logs, Azusa should by December 2018 create and follow appropriate procedures, such as requiring supervisor review of entries or programming its records management systems to create the daily crime logs automatically.	Azusa Pacific University	Fully Implemented
24. To ensure that it includes all criminal incidents in its daily crime logs, San José State should by December 2018 create and follow appropriate procedures, such as requiring supervisor review of entries or programming its records management systems to create the daily crime logs automatically.	California State University, San José	Fully Implemented
25. Bakersfield should create and follow procedures by August 2018 to ensure that it includes all crimes in its daily crime log as it becomes aware of those crimes, such as when it receives crime reports from local law enforcement agencies.	Bakersfield College	Fully Implemented
26. San José State should create and follow procedures by August 2018 to ensure that it includes all crimes in its daily crime log as it becomes aware of those crimes, such as when it receives crime reports from local law enforcement agencies.	California State University, San José	Fully Implemented
27. To help prevent errors during the next Clery Act reporting cycle, UC Office of the President should revise its Clery Act policy by August 2018 to include details on where institutions can find the specific disclosure requirements for their annual security reports.	University of California	Fully Implemented
28. Humboldt State should properly notify students of the availability of its annual security report.	Humboldt State University	Fully Implemented
29. Berkeley City College should retain documentation of Peralta's notification to its students demonstrating that Peralta appropriately notified the campus's community about the availability of its annual security report.	Berkeley City College	Fully Implemented
30. To ensure it properly informs students and employees, Humboldt State should notify its students and employees and update the U.S. Department of Education (U.S. DOE) about the corrected Clery Act statistics as soon as possible.	Humboldt State University	Fully Implemented
31. To ensure that its annual security report's crime statistics and the statistics it submits to the U.S. DOE align, Humboldt State should reconcile these statistics before publishing its reports or submitting the data to the U.S. DOE.	Humboldt State University	Fully Implemented
32. To ensure that its campuses provide the necessary resources and information to students about campus safety, Peralta should by December 2018, develop all required policies related to campus safety in compliance with the Education Code.	Peralta Community College District	†
33. To ensure that its campuses provide the necessary resources and information to students about campus safety, the Los Angeles Community College District should by December 2018, develop all required policies related to campus safety in compliance with the Education Code.	Los Angeles Community College District	Pending
34. To ensure it is fully compliant with the Education Code, the CSU Chancellor's Office should create and implement a procedure by December 2018 regarding the handling of requests for information regarding sexual assault incidents.	California State University	Pending

35. To ensure it properly informs students and employees, Bakersfield should notify its students and employees and update the U.S. DOE about the corrected Clery Act statistics as soon as possible.	Bakersfield College	Partially Implemented
36. To ensure that its annual security report's crime statistics and the statistics it submits to the U.S. DOE align, Bakersfield should reconcile these statistics before publishing its reports or submitting the data to the U.S. DOE.	Bakersfield College	Pending
37. To ensure that its campuses provide the necessary resources and information to students about campus safety, the Kern Community College District should by December 2018, develop all required policies related to campus safety in compliance with the Education Code.	Kern Community College District	Partially Implemented
38. To ensure that it provides accurate and comprehensive information to its students and employees, the UC Office of the President should by December 2018 revise its intolerance form to allow for reporters to include offender characteristics and provide to the public complete information regarding the occurrences of noncriminal acts of hate violence. Additionally, the UC Office of the President should by February 2019 more clearly address both stranger and nonstranger sexual assault within its policies.	University of California	Partially 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
10. To ensure that they accurately identify and report hate crimes, San Francisco State University (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.	San Francisco State University	Fully Implemented
12. 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 DOJ.	San Francisco State University	†

Report Number 2017-125

The University of California: It Must Take Additional Steps to Address Long-Standing Issues With Its Response to Sexual Harassment Complaints (June 2018)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To achieve prompt resolution of sexual harassment complaints against faculty respondents, the regents should ensure that the Academic Senate further defines its bylaws with written requirements for the Privilege and Tenure Committee (tenure committee) that specify exact time frames for completing the phases of the disciplinary process. By July 2019, the bylaws should require that a hearing be scheduled to begin within 60 calendar days from the date the chancellor files charges with the tenure committee unless the committee chair extends this time frame for good cause, which the written requirements should define.	University of California Board of Regents	†
2. To achieve prompt resolution of sexual harassment complaints against faculty respondents, the Regents should ensure that the Academic Senate further defines its bylaws with written requirements for the tenure committee that specify exact time frames for completing the phases of the disciplinary process. By July 2019, the bylaws should require that the tenure committee issue a recommendation within 30 calendar days of concluding the hearing. The written requirements should define when a hearing is considered concluded.	University of California Board of Regents	†
3. To ensure prompt resolution of sexual harassment complaints against faculty respondents, the Office of the President should amend the appropriate policies to require that the chancellor or designee issue a final decision about discipline within 14 calendar days following receipt of the tenure committee's recommendation. This change should take effect by July 2019.	University of California	†

<p>4. To ensure prompt resolution of sexual harassment complaints against faculty respondents, the Office of the President should, after the Academic Senate develops written requirements to specify exact time frames, complete an annual review of all cases involving Senate faculty to determine the length of time the adjudication process lasted. If an adjudication process takes longer than the time frames specified, the Office of the President should work with the Regents and the Academic Senate to develop further measures to enforce a more prompt adjudication process. The Office of the President should complete its first review by October 2020.</p>	<p>University of California</p>	<p>†</p>
<p>5. To ensure that the campuses impose appropriate disciplinary sanctions and to determine whether any additional remedies need to be provided, the Office of the President should modify UC policy to ensure that campus coordinators consult on the appropriateness of the discipline for respondents found to have violated UC policy. This policy change should take effect by July 2019.</p>	<p>University of California</p>	<p>†</p>
<p>6. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, the Office of the President should, by July 2019, identify required elements for capturing the agreement between a complainant and respondent to use the informal process and require the campuses to integrate these required elements into their processes.</p>	<p>University of California</p>	<p>†</p>
<p>7. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, the Office of the President should, by July 2019, identify required elements for communications that inform a complainant and respondent of the informal and formal processes available to address the complaint, as well as what to expect of each process, and that also inform the complainant of his or her right to end the informal process at any time by requesting the formal process. The Office of the President should require the campuses to integrate these required elements into their processes.</p>	<p>University of California</p>	<p>†</p>
<p>8. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, the Office of the President should, by July 2019, modify UC policy to require that the campus office either participate directly in the resolution with the respondent and responsible campus officials or that the campus office receive written confirmation from the responsible campus officials describing the resolution and documenting that it took place.</p>	<p>University of California</p>	<p>†</p>
<p>9. To ensure that campuses retain adequate and consistent documentation for complaints they handle through the informal and formal processes, the Office of the President should determine the types of documents campuses should retain. The Office of the President should consider the types of complaint information, correspondence, and interview notes that would be necessary when determining a campus's response to a complaint. The Office of the President should modify UC policy to include these requirements, and they should take effect by July 2019.</p>	<p>University of California</p>	<p>†</p>
<p>10. To ensure timely completion of investigations, the Office of the President should modify UC policy to address investigation extensions. The policy changes should include, but not be limited to, defining good cause for an extension as material or unforeseen circumstances directly related to the complaint, specifying a standard extension period, requiring that an extension be requested and granted before the initial 60 business-day period expires, and specifying the time frame within which a campus must notify the parties about each approved extension. The policy should also outline examples of the material or unforeseen circumstances that could warrant an extension and specify the number of extensions available for an investigation before requiring approval from the systemwide coordinator. The changes should take effect by July 2019.</p>	<p>University of California</p>	<p>†</p>
<p>11. To ensure that the campuses send complete notifications at the start and end of an investigation, the Office of the President should identify required elements for the campuses to include in these notifications and require the campuses to integrate these required elements in their notifications by July 2019.</p>	<p>University of California</p>	<p>†</p>
<p>12. To ensure that the campuses are using the administratively closed classification correctly and consistently, the Office of the President should modify UC policy to include criteria for identifying and classifying complaints as closed. These criteria should identify the circumstances in which it is appropriate to close cases and the documents that campuses should retain. The criteria should also define what services campuses should provide to complainants and detail the type of communication campuses should provide to them. These modifications should take effect by July 2019.</p>	<p>University of California</p>	<p>†</p>

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13. To ensure that the systemwide Title IX office (systemwide office) has appropriate direction and the systemwide Title IX coordinator (systemwide coordinator) has the necessary authority, the Office of the President should work with the systemwide coordinator to develop a strategic plan for the systemwide office that delineates how it will approach achieving consistency systemwide. This plan should also ensure that the systemwide office updates UC policy to comply with federal and state requirements and best practices, that it reviews and approves local procedures for compliance with UC policy, that it oversees campus Title IX activities, and that it improves the UC's use of campus data on sexual harassment complaints. The Office of the President should grant the systemwide coordinator the authority needed to enforce the desired plan, and it should develop the plan by December 31, 2018.	University of California	†
14. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate a statement that the policy applies to third parties, in addition to the other changes that it has already agreed upon in its resolution with the U.S. DOE Office for Civil Rights (OCR).	University of California	†
15. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate a statement that the policy applies to online behavior or social media that may affect an individual's educational experience, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
16. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate a statement that the UC may initiate a complaint, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
17. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate the date that identifies or defines the start of an investigation, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
18. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate the allowable length of an extension for an investigation and what constitutes good cause for an extension, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
19. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate an explanation of how a campus can protect confidentiality when implementing interim measures, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
20. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate an explanation of what information a campus can keep confidential and what information it must disclose, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
21. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate the requirement to give the complainant the right to end the informal process and begin a formal process, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
22. To ensure that UC policy complies with best practices, the systemwide office should amend that policy by July 2019 to incorporate procedures to ensure that the informal process provides prompt and equitable resolution of complaints, in addition to the other changes that it has already agreed upon in its resolution with OCR.	University of California	†
23. To address any patterns or systemic problems of sexual harassment, the systemwide office should, by July 2019, continue to improve and finalize the data collection process, including identifying data points that campuses should gather for each complaint and data points for tracking repeat respondents.	University of California	†
24. To address any patterns or systemic problems of sexual harassment, the systemwide office should, by July 2019, work with each campus to develop and implement processes and data reports to assist the campus in regularly identifying patterns and systemic problems related to sexual harassment and in instituting sexual harassment prevention education and training in those areas that need it.	University of California	†

25. To address any patterns or systemic problems of sexual harassment, the systemwide office should, by July 2019, work with each campus to implement ongoing data quality control processes in order to ensure sexual harassment complaints data are accurate and complete.	University of California	†
26. To address any patterns or systemic problems of sexual harassment, the systemwide office should, by July 2019, identify and review campuses' complaints data to identify outliers in their use of the formal, informal, and administratively closed processes.	University of California	†
27. To ensure that each campus hires the most qualified individuals to perform Title IX-related functions, the systemwide office should, in consultation with the campuses, develop a list of key Title IX positions and the associated minimum and desirable qualifications. The systemwide office should ensure that effective July 2019, each campus follows those qualifications when hiring new staff.	University of California	†
28. To ensure that all investigators and staff performing Title IX-related functions have necessary and consistent training, the systemwide office should amend UC policy to take effect July 2019 to make clear the Title IX training requirements. The policy should specify the number of training hours required of each investigator and staff member, the period within which the training must be completed, and the minimum number of training hours within each period.	University of California	†
29. To ensure that all investigators and staff performing Title IX-related functions have necessary and consistent training, the systemwide office should amend UC policy to take effect July 2019 to make clear the Title IX training requirements. The policy should specify the topics that the training must cover and the minimum number of training hours required on each topic.	University of California	†
30. To ensure that all investigators and staff performing Title IX-related functions have necessary and consistent training, the systemwide office should amend UC policy to take effect July 2019 to make clear the Title IX training requirements. The policy should set training topics and the requisite number of hours by topic that new employees must complete and the period within which the new employee must do so.	University of California	†
31. To ensure that all investigators and staff performing Title IX-related functions have necessary and consistent training, the systemwide office should amend UC policy to take effect July 2019 to make clear the Title IX training requirements. The policy should require that each campus develops and implements processes to track staff training.	University of California	†
32. To ensure that all investigators and staff performing Title IX-related functions have necessary and consistent training, the systemwide office should amend UC policy to take effect July 2019 to make clear the Title IX training requirements. The policy should specify that the systemwide office will monitor each campus to ensure it adheres to the training requirements.	University of California	†

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
1. Take appropriate disciplinary actions against Employee A for his continued time and attendance abuse and for his dishonesty when attempting to conceal his actions.	California State University, Fresno	Fully Implemented
2. Take appropriate disciplinary actions against Employee B for her continued time and attendance abuse and for her dishonesty when attempting to conceal her actions.	California State University, Fresno	Fully Implemented
3. Investigate Employee B's relative for potential time and attendance abuse because the relative, who also works at Fresno State, was observed leaving campus for long periods of time.	California State University, Fresno	Fully Implemented
4. Assign Employees A and B to a lead employee who is trained regarding his or her responsibility to ensure that these two employees perform their duties and report any time away from their assigned duties.	California State University, Fresno	Fully Implemented

5. Take appropriate corrective actions against the supervisor and other relevant managers for failing to adequately address these employees' substantial time and attendance abuse.	California State University, Fresno	Fully Implemented
6. Determine the amount of time Employees A and B can be charged to account for their missed work hours, reduce their leave balances accordingly, and, if applicable, seek to recover from them any wages paid to them for time they did not work.	California State University, Fresno	Pending
23. Implement a cost-effective plan to install and use the quick charger in a campus project or develop plans to transfer it to another university or state agency.	California State University, Dominguez Hills	Fully Implemented
24. Establish a check-and-balance process regarding procurement decisions to prevent future wasteful purchases.	California State University, Dominguez Hills	Fully Implemented

† 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.