

# Contents

## TABLE 1

<b>Recommendation Status Summary</b>	1
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## Subcommittee 1 on Education

<b>Report Number 2017-116   Community Child Care Council of Santa Clara County:</b> Because It Disadvantaged Some Families and Misused State Funds, It Could Benefit From Increased Monitoring by the California Department of Education <i>(April 2018)</i>	1
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<b>Report Number 2017-119   California State University:</b> It Has Not Provided Adequate Oversight of the Safety of Employees and Students Who Work With Hazardous Materials <i>(April 2018)</i>	2
---	---

<b>Report Number 2017-032   Clery Act Requirements and Crime Reporting:</b> Compliance Continues to Challenge California’s Colleges and Universities <i>(May 2018)</i>	8
--	---

<b>Report Number 2017-131   Hate Crimes in California:</b> Law Enforcement Has Not Adequately Identified, Reported, or Responded to Hate Crimes <i>(May 2018)</i>	10
---	----

<b>Report Number 2017-125   The University of California:</b> It Must Take Additional Steps to Address Long-Standing Issues With Its Response to Sexual Harassment Complaints <i>(June 2018)</i>	11
--	----

<b>Report Number I2018-1   Investigations of Improper Activities by State Agencies and Employees:</b> Misuse of State Time, Economically Wasteful Activities, and Misuse of State Property <i>(July 2018)</i>	14
---	----

<b>Report Number I2019-2   Investigations of Improper Activities by State Agencies and Employees:</b> Inefficient Management of State Resources, Misuse of State Time and Inaccurate Attendance Records, and Inadequate Supervision <i>(April 2019)</i>	14
---	----

<b>Report 2018-131   Alum Rock Union Elementary School District:</b> The District and Its Board Must Improve Governance and Operations to Effectively Serve the Community <i>(May 2019)</i>	15
---	----

<b>Report Number 2018-127   California State University:</b> It Failed to Fully Disclose Its \$1.5 Billion Surplus, and It Has Not Adequately Invested in Alternatives to Costly Parking Facilities <i>(June 2019)</i>	17
--	----

<b>Report Number 2019-101</b>   K–12 Local Control Funding: The State’s Approach Has Not Ensured That Significant Funding Is Benefiting Students as Intended to Close Achievement Gaps ( <i>November 2019</i> )	19
<b>Report Number 2019-104</b>   Youth Experiencing Homelessness: California’s Education System for K–12 Inadequately Identifies and Supports These Youth ( <i>November 2019</i> )	20
<b>Report Number 2019-108</b>   Sacramento City Unified School District: Because It Has Failed to Proactively Address Its Financial Challenges, It May Soon Face Insolvency ( <i>December 2019</i> )	25

**Table 1**  
Recommendation Status Summary

## Senate Budget & Fiscal Review Subcommittee 1 on Education

*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	Fully Implemented
2. To ensure that families understand how to elevate appeals to the California Department of Education (CDE), 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	Fully 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
4. To make its appeal process more accessible to families who may not receive a satisfactory resolution from its contractors, CDE 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 CDE would need in order to review the family's appeal of adverse decisions regarding their child-care services. CDE should also require contractors to incorporate this information into contractually mandated staff training and into publicly available policies and procedures.	Department of Education	Will Not Implement
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.	Community Child Care Council of Santa Clara County	Fully Implemented
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.	Community Child Care Council of Santa Clara County	Fully Implemented
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.	Community Child Care Council of Santa Clara County	Fully Implemented
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.	Community Child Care Council of Santa Clara County	Fully Implemented
9. In order to rectify 4Cs' inappropriate use of state funding, CDE 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.	Department of Education	Fully Implemented

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10. After completing its performance audit in September 2018, CDE 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, CDE 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.	Department of Education	Fully Implemented
11. To ensure that its contractors can effectively make program improvements and maintain successes in ways that are meaningful to their stakeholders, CDE 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 CDE program.	Department of Education	Will Not Implement
12. To strengthen the quality of its monitoring efforts, CDE should create and implement procedures by October 2018 for staff to document the evidence used to support their contract monitoring reviews. Further, CDE 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.	Department of Education	Fully Implemented
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.	Community Child Care Council of Santa Clara County	Pending
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.	Community Child Care Council of Santa Clara County	Partially Implemented
15. To ensure the appropriate use of state grant funds, CDE 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 California State University (CSU) Chancellor's Office should, by September 2018, review and identify all recommendations issued to the CSU 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 CSU 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	Fully Implemented

<p>3. To ensure that it provides effective oversight of health and safety issues on the campuses, the CSU 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 CSU Chancellor's Office considers critical to its oversight of health and safety compliance. In developing this reporting template, the CSU 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.</p>	<p>California State University</p>	<p>Fully Implemented</p>
<p>4. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the CSU Chancellor's Office should assess the data and information in the reports to identify trends, risks, and best practices.</p>	<p>California State University</p>	<p>Pending</p>
<p>5. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the CSU 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.</p>	<p>California State University</p>	<p>Pending</p>
<p>6. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the CSU 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.</p>	<p>California State University</p>	<p>Pending</p>
<p>7. Once it has developed the health and safety reporting template and campuses have used it to submit their reports, the CSU 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.</p>	<p>California State University</p>	<p>Pending</p>
<p>8. To ensure that it identifies systemwide trends and makes appropriate recommendations to address health and safety issues, the CSU 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.</p>	<p>California State University</p>	<p>Fully Implemented</p>
<p>9. To ensure that it identifies systemwide trends and makes appropriate recommendations to address health and safety issues, the CSU 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>Fully Implemented</p>
<p>10. To ensure the health and safety of employees working with hazardous materials, the CSU 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>Pending</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, CSU 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>Fully Implemented</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, CCSU 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>Fully Implemented</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, CSU 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>Fully Implemented</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>

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.	California State University, Channel Islands	Fully Implemented
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.	California State University, Sacramento	Fully Implemented
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.	California State University, San Diego	Fully Implemented
18. To ensure that it receives feedback from employee representatives on conditions associated with their work environments and that it develops appropriate interventions, Sonoma State 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.	Sonoma State University	Fully Implemented
19. To increase its oversight of chemical safety, Sacramento should establish a chemical committee consistent with its chemical plan requirements.	California State University, Sacramento	Fully Implemented
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.	California State University, Sacramento	Fully Implemented
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 State 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 State 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	Fully Implemented
24. To increase oversight of chemical safety, Sonoma State 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	Fully Implemented
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	Fully Implemented
28. To more effectively provide oversight of its chemical plan, Sonoma State 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	Fully Implemented
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	Fully Implemented
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 State should immediately update its chemical plan.	Sonoma State University	Fully Implemented
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	Fully Implemented
35. To ensure the health and safety of employees working with hazardous materials, Sonoma State 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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Partially Implemented
39. To ensure the health and safety of employees working with hazardous materials, Sonoma State 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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Partially Implemented
43. To ensure the health and safety of employees working with hazardous materials, Sonoma State should, going forward, regularly monitor employee training records to ensure that all employees have received the required trainings.	Sonoma State University	Fully Implemented
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	Fully Implemented

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	Fully Implemented
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	Fully Implemented
48. To ensure the health and safety of students in a laboratory setting, Sonoma State should work with appropriate faculty to develop student safety training acknowledgement forms by June 2018.	Sonoma State University	Fully Implemented
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 PPE sign the student safety training acknowledgement forms to demonstrate that they have received proper laboratory safety training.	California State University, Channel Islands	Fully Implemented
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	Fully Implemented
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	Fully Implemented
52. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sonoma State 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	Partially Implemented
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	Fully Implemented
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	Fully Implemented
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	Partially Implemented
57. To ensure the health and safety of students in a laboratory setting, beginning in the Fall 2018 semester, Sonoma State 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	Fully Implemented
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	Pending
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	Pending

60. To ensure compliance with state requirements to notify employees about the presence of asbestos, the CSU 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 CSU 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	Partially Implemented
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	Pending
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	Fully Implemented
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	Fully Implemented
65. Sonoma State 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	Fully Implemented
66. Sonoma State 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	Fully Implemented
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	Pending
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	Fully Implemented
69. By September 2018, Sonoma State 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	Fully Implemented
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	Partially Implemented
71. Sonoma State 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	Partially Implemented
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	Fully Implemented
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	Partially Implemented
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	Fully Implemented
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

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**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	Fully Implemented
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
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	Fully Implemented
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

<p>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 Office of Postsecondary Education (OPE) handbook, when categorizing the Clery Act crimes it reports.</p>	<p>Humboldt State University</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Partially Implemented</p>
<p>15. To ensure that it does not underreport crime statistics in its annual security reports, CSU San Jose (San Jose 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.</p>	<p>California State University, San Jose</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>California State University, San Jose</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Azusa Pacific University</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Fully Implemented</p>
<p>22. San Jose 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.</p>	<p>California State University, San Jose</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Azusa Pacific University</p>	<p>Fully Implemented</p>
<p>24. To ensure that it includes all criminal incidents in its daily crime logs, San Jose 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.</p>	<p>California State University, San Jose</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>Bakersfield College</p>	<p>Fully Implemented</p>
<p>26. San Jose 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.</p>	<p>California State University, San Jose</p>	<p>Fully Implemented</p>

27. To help prevent errors during the next Clery Act reporting cycle, the University of California Office of the President (UCOP) 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 Community College District's (Peralta) 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 United States 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	Will Not Implement
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
38. To ensure that it provides accurate and comprehensive information to its students and employees, UCOP 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, UCOP should by February 2019 more clearly address both stranger and nonstranger sexual assault within its policies.	University of California	Fully Implemented

### Report Number 2017-131

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

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
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 the California Department of Justice.	San Francisco State University	Fully Implemented

**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 University of California (UC) Board of Regents (UC 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	Fully Implemented
2. To achieve prompt resolution of sexual harassment complaints against faculty respondents, the UC 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	Fully Implemented
3. To ensure prompt resolution of sexual harassment complaints against faculty respondents, UCOP 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	Fully Implemented
4. To ensure prompt resolution of sexual harassment complaints against faculty respondents, UCOP 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, UCOP should work with the UC Regents and the Academic Senate to develop further measures to enforce a more prompt adjudication process. UCOP should complete its first review by October 2020.	University of California	Pending
5. To ensure that the campuses impose appropriate disciplinary sanctions and to determine whether any additional remedies need to be provided, UCOP 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.	University of California	Fully Implemented
6. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, UCOP 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.	University of California	Fully Implemented
7. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, UCOP 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. UCOP should require the campuses to integrate these required elements into their processes.	University of California	Fully Implemented
8. To ensure that campuses administer the informal process correctly for complaints alleging conduct that would violate UC policy, UCOP 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.	University of California	Fully Implemented

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9. To ensure that campuses retain adequate and consistent documentation for complaints they handle through the informal and formal processes, UCOP should determine the types of documents campuses should retain. UCOP should consider the types of complaint information, correspondence, and interview notes that would be necessary when determining a campus's response to a complaint. UCOP should modify UC policy to include these requirements, and they should take effect by July 2019.	University of California	Fully Implemented
10. To ensure timely completion of investigations, UCOP 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.	University of California	Fully Implemented
11. To ensure that the campuses send complete notifications at the start and end of an investigation, UCOP 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.	University of California	Fully Implemented
12. To ensure that the campuses are using the administratively closed classification correctly and consistently, UCOP 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.	University of California	Fully Implemented
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, UCOP 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. UCOP 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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented
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	Fully Implemented

<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Partially Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>
<p>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.</p>	<p>University of California</p>	<p>Fully Implemented</p>

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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	Fully Implemented
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	Fully Implemented

### 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	Resolved
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

### Report Number I2019-2

#### Investigations of Improper Activities by State Agencies and Employees: Inefficient Management of State Resources, Misuse of State Time and Inaccurate Attendance Records, and Inadequate Supervision (April 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
6. The CSU campus should take immediate and appropriate disciplinary action against the police officer for failing to be fully prepared to perform her duties and for inaccurately reporting the hours she worked while in the investigation unit; consider deducting her leave balances for the hours during which she was not performing her duties.	California State University	Pending
7. The CSU campus should take immediate and appropriate disciplinary action against Sergeant I for approving and allowing the police officer to remove part of her uniform and to lie down while on duty, as well as for his failure to perform his supervisory duties.	California State University	Pending

8. The CSU campus should develop a written policy within 90 days that explains how and when the police department expects employees to check in and out of their shifts. The policy should specify where all employees should be when they check in and out—for example, it should state whether the employees should be physically on campus.	California State University	Fully Implemented
9. The CSU campus should provide training within 90 days to all police department staff that covers relevant sections of the police department policy manual, including the following requirements for all uniformed police department employees: <ul style="list-style-type: none"> <li>• Employees should be prompt, prepared, and ready to work on assignments.</li> <li>• Employees should be punctual in reporting to a duty station or assignment.</li> <li>• Employees should not leave before the end of their scheduled hours.</li> </ul>	California State University	Fully Implemented
10. The CSU campus should remind supervisors immediately of their responsibility to identify and document when employees are perceived to be unable to perform their duties because of physical conditions, as outlined in applicable policies.	California State University	Fully Implemented

**Report Number 2018-131**

**Alum Rock Union Elementary School District: The District and Its Board Must Improve Governance and Operations to Effectively Serve the Community (May 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that it selects the most qualified firms at fair and reasonable prices to perform its contracted architectural services and construction management services, the Alum Rock Union Elementary District (district) Board of Trustees (board) should follow the requirements of state law and its own policies in such selections.	Alum Rock Union Elementary School District	+
2. To preclude a situation where a contractor oversees its own work, the board should enact a policy by August 2019 to prohibit contracting with the same entity for construction management and program management services.	Alum Rock Union Elementary School District	Pending
3. To strengthen its ability to oversee district expenditures, the board should require the district by August 2019 to prepare monthly summaries that report the total amounts it paid to each of its contractors, along with descriptions of the purpose of those payments, and to include the summaries with the monthly warrant lists it provides to the board.	Alum Rock Union Elementary School District	+
4. To ensure proper oversight of construction costs, the district should stop using payment terms for construction management and program management services that base fees on a percentage of construction costs or bonds issued.	Alum Rock Union Elementary School District	+
5. By November 2019, the district should develop contract monitoring procedures with defined staff roles and responsibilities, including retaining evidence of monitoring efforts. The district should also train its staff to follow these procedures.	Alum Rock Union Elementary School District	Partially Implemented
6. By November 2019, the district should develop procedures specifying a designated location for staff to retain contracts and related documentation and identifying those staff who are responsible for ensuring that these documents are stored appropriately. The district should also train staff to follow these procedures.	Alum Rock Union Elementary School District	Pending
7. By November 2019, the district should work with the county office to ensure that its new financial system includes unique identifiers for contract payment authorization documents.	Alum Rock Union Elementary School District	Pending
8. To identify its contracted personnel's potential conflicts of interest, the district should develop and implement a process by November 2019 to assess whether contracted personnel should be classified as consultants and are therefore subject to the district's code for disclosing financial interests.	Alum Rock Union Elementary School District	Pending
9. The district should immediately follow its conflict-of-interest code to ensure that all required individuals file Forms 700.	Alum Rock Union Elementary School District	Pending
10. To ensure compliance with the requirements of the Brown Act for quorums, the board should declare publicly at future board meetings whether a quorum of board members is present before it takes any action.	Alum Rock Union Elementary School District	Pending

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11. To ensure compliance with government transparency laws, the board should request training in and adhere to Brown Act requirements and other state law by August 2019. It should also ensure that the district's general counsel is sufficiently knowledgeable to properly advise the board about these requirements.	Alum Rock Union Elementary School District	Fully Implemented
12. To ensure compliance with government transparency laws in future meetings, the board should ensure that it publicly identifies all parties involved in real estate negotiations prior to entering closed sessions.	Alum Rock Union Elementary School District	Pending
13. To increase board member accountability at future meetings, the district should adhere to state law and its policies by reducing board member stipends when members fail to attend board meetings.	Alum Rock Union Elementary School District	Fully Implemented
14. To ensure compliance with government transparency laws, the district should train staff by August 2019 on the timing requirements of the Brown Act pertaining to publicizing board meeting agendas.	Alum Rock Union Elementary School District	Pending
15. To ensure that school district boards are knowledgeable about the ethical principles and laws that public officials must follow, the Legislature should amend state law to require members of school district boards who are compensated for their services to receive ethics training once every two years.	Legislature	No Action Taken
16. To comply with district policy and improve transparency, the board should work with district staff to evaluate law firm proposals against criteria when it next contracts for a general counsel. Further, the board should publicly report the results of its evaluation.	Alum Rock Union Elementary School District	Fully Implemented
17. To ensure that it provides a clear strategic direction for the district, the board should develop a vision and establish goals for the district by November 2019 and regularly monitor progress toward achieving these goals, as district policy requires.	Alum Rock Union Elementary School District	Pending
18. To provide additional transparency and ensure that its performance is meeting the needs of the district, the board should conduct an annual self-evaluation by November 2019 and publicize the results.	Alum Rock Union Elementary School District	Partially Implemented
19. To increase the board's accountability and ensure the prudent spending of district funds, the board should implement procedures by August 2019 requiring that its members document on their requests for reimbursement how their travel complies with district policy.	Alum Rock Union Elementary School District	Pending
20. To improve organizational stability and increase transparency, the board should comply with district policy pertaining to other operational practices, including appointing a new board president only during its annual organizational meeting unless otherwise required to do so by policy, and limiting extensions of board meeting ending times to the single instance allowed per meeting.	Alum Rock Union Elementary School District	Pending
21. To assess whether the superintendent's performance aligns with the board's expectations, the board should provide timely annual performance evaluations in an appropriate format. Further, the district's human resources department should maintain copies of these evaluations.	Alum Rock Union Elementary School District	†
22. To demonstrate its commitment to improving its governance over the district's operations, the board should immediately direct district staff to track and prioritize the implementation of the remaining outstanding recommendations from the FCMAT audit report. The board should also direct staff to analyze the recommendations relating to its terminated contracts with Del Terra, identify those recommendations that will continue to be relevant after the appointment of a new construction manager and a new program manager, and implement policies to strengthen the district's monitoring of those contractors. The board should then monitor the status of the recommendations to ensure their implementation.	Alum Rock Union Elementary School District	Pending
23. To ensure that the bond committee receives the assistance it requests from the district to perform its oversight duties, the board should create a policy by August 2019 requiring district staff to document the assistance they provide to the bond committee and to regularly report to the board on the nature and frequency of this assistance.	Alum Rock Union Elementary School District	Fully Implemented
24. To reinforce the ethical principles, laws, and policies that the board must follow, the district should establish a policy by July 2019 to provide biennial training to board members on ethics, applicable government transparency, conflict-of-interest requirements, and district policies.	Alum Rock Union Elementary School District	Pending

25. To ensure that the bond committee receives timely and accurate information from the annual audits of the district's bond funds, the district should immediately begin to monitor the progress of the audits and prioritize their completion within nine months after the end of each fiscal year.	Alum Rock Union Elementary School District	Pending
26. To ensure that the bond committee includes representatives from all required constituencies, the district should verify and document representation of the committee members that the board appoints.	Alum Rock Union Elementary School District	Pending
27. To fulfill requirements in state law and district policy for presenting actual cost information of bond sales, the district should ensure that the board provides this information after each future bond issuance. If the district intends to rely on its financial advisor to present this information, the district should modify its contract with the advisor to explicitly require the advisor to present this information.	Alum Rock Union Elementary School District	†
28. To ensure that district staff have appropriate guidance when awarding contracts under emergency conditions, the district should create and implement by November 2019 policies and procedures describing the protocol for awarding emergency contracts, including the use of the district's standard contracting forms. The district should also train staff to follow these policies and procedures.	Alum Rock Union Elementary School District	†
29. To reinforce the governance standards that district policy requires board members to adhere to, the board should develop a code of conduct for board members to follow and adopt it at a public meeting by July 2019. The board should review and update this code of conduct each year as needed to reaffirm its commitment to the district's governance standards.	Alum Rock Union Elementary School District	Fully Implemented

**Report Number 2018-127**

**California State University: It Failed to Fully Disclose Its \$1.5 Billion Surplus, and It Has Not Adequately Invested in Alternatives to Costly Parking Facilities (June 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>To ensure transparency about CSU's available financial resources, the Legislature should require the CSU Chancellor's Office to do the following, effective September 1, 2019:</p> <ul style="list-style-type: none"> <li>Beginning in 2019 and no later than November 30 each year, provide relevant parties, including the Department of Finance and the Joint Legislative Budget Committee, with the current balance of the discretionary surplus that CSU has accumulated in its outside investment account that is attributable to its operating fund and to any other funds that are relevant to CSU's budget requests; the balances of the surplus amounts in those funds at the end of the prior fiscal year; the projected balances of the surplus amounts expected to remain in those funds at the end of the current fiscal year; and the amount of, justification for, and safeguards over any funds that CSU deems a reserve for economic uncertainty.</li> <li>Include in the capital improvement plans it submits annually to the Legislature information about the current balance of the surplus in CSU's outside investment account that is attributable to its operating fund or other funds that hold operating revenue from tuition, as well as the projected balance of the surplus amounts expected to remain in those funds at the end of the current fiscal year.</li> <li>Include in its consultations with the student association the full amount of the discretionary surplus CSU has accumulated to date in its outside investment account that is attributable to its operating fund and any other funds that hold tuition revenue; the rate of growth of these surplus amounts over the last three fiscal years; an estimate of the portion of the surplus amounts that came from tuition; the dollar amount to date that CSU is obligated to spend to pay for goods and services it has already received or expenses that are tied to existing contracts; a projection of the dollar amount of the surplus that will be available for campuses to spend at their discretion at the end of the current fiscal year; and the amount of, justification for, and safeguards over any funds that CSU deems a reserve for economic uncertainty.</li> </ul>	Legislature	No Action Taken

<p>To improve CSU's financial transparency with students and other stakeholders, the CSU Chancellor's Office, with the approval of the trustees, should revise CSU policy by October 2019 to require that it publish information about CSU's discretionary surplus. At a minimum, the CSU Chancellor's Office should do the following:</p> <ul style="list-style-type: none"> <li>• Identify the full amount of discretionary surplus that CSU has accumulated to date in its outside investment account that is attributable to its operating fund or other funds that hold tuition revenue, an estimate of the portion of the surplus amounts that came from tuition, and the dollar amount to date that CSU is obligated to spend to pay for goods and services it has already received or expenses that are tied to existing contracts.</li> <li>• Report this information to the trustees when it presents them with a summary of CSU's reserves, at least annually.</li> <li>• Ensure that this information is easily accessible on CSU's website and publicly available to all stakeholders, along with the information CSU provides about tuition rates and policies.</li> </ul>	California State University	†
<p>To improve CSU's financial transparency with students and other stakeholders, the CSU Chancellor's Office, with the approval of the trustees, should revise CSU policy by October 2019 to require that it publish information about CSU's discretionary surplus. At a minimum, the CSU Chancellor's Office should revise its reserve policy to establish and justify a minimum sufficient level of reserve for economic uncertainty and require the CSU Chancellor's Office to provide additional oversight to ensure that CSU maintains that level. This oversight should include monitoring, approving, and notifying the trustees of any uses of the reserve for economic uncertainty.</p>	California State University	†
<p>To ensure that students have equitable access to campus and that campuses provide the most cost-effective mix of parking and alternate transportation options, the Legislature should require the CSU Chancellor's Office to include the following information related to transportation, by campus, in its comprehensive five-year capital improvement plan:</p> <ul style="list-style-type: none"> <li>• The number of parking facilities each campus intends to construct over the next five years and the alternate transportation strategies that the campus considered and implemented in determining the need for those parking facilities.</li> <li>• The total annual cost for each alternate transportation strategy the campuses considered and implemented compared to the annual cost of constructing, operating, and maintaining a new parking facility.</li> <li>• The cost per student served by those alternate transportation strategies compared to the cost per student of constructing, operating, and maintaining a new parking facility.</li> <li>• The number of students served by each of those alternate transportation strategies compared to the number of students to be served by a new facility.</li> <li>• Information on whether and to what extent alternate transportation strategies have decreased parking demand in the last three years and whether the campus has demonstrated that the parking demand justifies a new parking facility.</li> <li>• A cost-benefit analysis showing the appropriate mix of transportation strategies to ensure that the campus provides students with the most cost-effective access.</li> </ul>	Legislature	No Action Taken
<p>To ensure that campuses thoroughly investigate and consider alternate transportation strategies, the CSU Chancellor's Office should immediately enforce its policy and require campuses to submit the following information when they request to build new parking facilities:</p> <ul style="list-style-type: none"> <li>• Up-to-date master plans and transportation management plans that include as key components their plans for implementing alternate transportation strategies.</li> <li>• Information on whether and to what extent their alternate transportation strategies have decreased parking demand and evidence that projected parking demand justifies building a new parking facility.</li> </ul>	California State University	†

<p>The CSU Chancellor’s Office should update its policy by October 2019 to require campuses to submit the following information when requesting to build a new parking facility:</p> <ul style="list-style-type: none"> <li>• The total annual cost to implement each alternate transportation strategy compared to the annual cost of constructing, operating, and maintaining a new parking facility.</li> <li>• The cost per student served by those strategies compared to the cost per student of constructing, operating, and maintaining a new parking facility.</li> <li>• The number of students served by each of those strategies compared to the number of students served by the new facility.</li> <li>• Information, including participation data, on how the campuses have implemented alternate transportation strategies during the last three years.</li> </ul>	California State University	†
<p>The CSU Chancellor’s Office should not approve any request to build a new parking facility unless the requesting campus has submitted this information (recommendations 5 and 6) and the CSU Chancellor’s Office has reviewed and approved it.</p>	California State University	†
<p>To ensure that campuses’ alternate transportation committees are consistent systemwide, the CSU Chancellor’s Office should adopt systemwide policies, by October 2019, to detail the following:</p> <ul style="list-style-type: none"> <li>• The frequency of required meetings. The policy should require meetings at least biennially.</li> <li>• The composition of committee members. The policy should require that the committees include student representatives.</li> <li>• The committees’ responsibilities. These responsibilities should include the assessment of alternate transportation programs based on participation data and recommendations in the campuses’ transportation studies.</li> </ul>	California State University	†
<p>The CSU Chancellor’s Office should require that, by October 2019, the campuses publish the names of the alternate transportation committee members, the committee meeting minutes, and the committee meeting schedule on their parking and transportation services websites.</p>	California State University	†
<p>To ensure that campuses have a stable source of funding for investing in alternate transportation programs, the CSU Chancellor’s Office should update its policy by October 2019 to require campuses to include in their master plans or transportation management plans the potential revenue streams they will explore to secure a stable source for funding these programs. Examples of such revenue streams could include parking fees that they have reprioritized for alternate transportation, a stand-alone student transportation fee, local government partnerships or grants, or surplus parking revenue.</p>	California State University	†

**Report Number 2019-101**

***K-12 Local Control Funding: The State’s Approach Has Not Ensured That Significant Funding Is Benefiting Students as Intended to Close Achievement Gaps (November 2019)***

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To increase the transparency of Local Control and Accountability Plans (LCAPs) and ensure that stakeholders can provide an adequate level of oversight, the Legislature should amend state law to require districts and other local educational agencies (LEAs) to specify in their LCAPs the specific amounts of budgeted and estimated actual supplemental and concentration expenditures for each service that involves those funds.</p>	Legislature	*
<p>2. To ensure that intended student groups receive the maximum benefit from supplemental and concentration funds, the Legislature should amend state law to require districts and other LEAs to identify any unspent supplemental and concentration funds annually by reconciling the estimated amounts of these funds included in their LCAPs with the actual amounts of these funds CDE reports having apportioned to them.</p>	Legislature	*

3. To ensure that intended student groups receive the maximum benefit from supplemental and concentration funds, the Legislature should amend state law to specify that unspent supplemental and concentration funds at year-end must retain their designation to increase and improve services for intended student groups and be spent in a following year. The Legislature should also require districts and other LEAs to identify in their LCAPs for the following year the total amounts of any unspent supplemental and concentration funds. In addition, it should direct the State Board of Education (State Board) to update the LCAP template to require districts and other LEAs to report in their LCAPs how they intend to use any previously unspent supplemental and concentration funds to provide services that benefit intended student groups.	Legislature	*
4. To provide additional data for the State and other stakeholders and to align spending information with the dashboard indicators or other student outcomes, the Legislature should require CDE to update its accounting manual to direct districts and other LEAs to track and report to it the total amount of supplemental and concentration funds they received and spend each year.	Legislature	*
5. To provide additional data for the State and other stakeholders and to align spending information with the dashboard indicators or other student outcomes, the Legislature should require CDE to develop and implement a tracking mechanism that districts and other local education agencies must use to report to it the types of services on which they spend their supplemental and concentration funds.	Legislature	*
6. To increase the transparency of LCAPs, by February 2020, the State Board should change the LCAP template to merge the Annual Update section with the Goals, Actions, and Services section.	State Board of Education	*
7. To increase the transparency of LCAPs, by February 2020, the State Board should change the LCAP template to require districts and other LEAs to include analyses of the effectiveness of individual services, in addition to analyses of overarching goals.	State Board of Education	*
8. To ensure that districts and other LEAs produce clear and effective LCAPs and to reduce the likelihood of stakeholder complaints, by April 2020 the State Board should revise the instructions for the LCAP template to include, as best practices, key information from CDE's stakeholder complaint decisions about how districts and other LEAs can successfully demonstrate that they have principally directed districtwide spending for services toward intended student groups.	State Board of Education	*
9. To ensure that districts and other LEAs produce clear and effective LCAPs and to reduce the likelihood of stakeholder complaints, by April 2020 the State Board should revise the instructions for the LCAP template to instruct districts to ensure that their LCAPs are sufficiently clear and effective, including but not necessarily limited to ensuring that they articulate a logical connection between their needs and goals, that districts provide sufficiently detailed descriptions of services with the LCAP's Analysis subsection, and that LCAPs are written in a manner that is easily understandable.	State Board of Education	*

### Report Number 2019-104

#### Youth Experiencing Homelessness: California's Education System for K-12 Inadequately Identifies and Supports These Youth (November 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that LEAs effectively identify and serve youth experiencing homelessness, the Legislature should require LEAs to follow best practices to distribute to all families and youth, at least annually, a housing questionnaire with content that defines homelessness in a manner consistent with the federal McKinney-Vento Education Assistance Improvement Act (McKinney-Vento Act).	Legislature	*
2. To ensure that LEAs effectively identify and serve youth experiencing homelessness, the Legislature should require LEAs to follow best practices to request all families or youth to complete and return the housing questionnaire. For example, an LEA could combine this questionnaire with the emergency contact forms, which the families or youth are strongly encouraged to complete and return each year.	Legislature	*

<p>3. To ensure that LEAs effectively identify and serve youth experiencing homelessness, the Legislature should require LEAs to follow best practices to include in the housing questionnaire the educational rights and protections afforded to youth experiencing homelessness and the purpose of the questionnaire, including that the LEA uses the requested information to determine whether youth are eligible to receive additional support and services. Specifically, the Legislature should require LEAs to inform individuals in the housing questionnaire that under federal law all children are entitled to a free public education regardless of their immigration status, and that under state law homelessness by itself is not a reason for school officials to make a report to child protective services.</p>	<p>Legislature</p>	<p>*</p>
<p>4. To ensure that LEAs effectively identify and serve youth experiencing homelessness, the Legislature should require LEAs to follow best practices to ensure that all school staff who provide services to youth experiencing homelessness receive training on the homeless education program at least annually. The Legislature should specify that staff who provide services to these youth include enrollment staff, cafeteria staff, bus drivers, social workers and counselors, teachers, and administrators.</p>	<p>Legislature</p>	<p>*</p>
<p>5. To ensure that LEAs effectively identify and serve youth experiencing homelessness, the Legislature should require LEAs to follow best practices to collaborate with other organizations that provide services to those experiencing homelessness to enhance identification and provision of the services available to such youth. The Legislature should specify that these collaborations must include working with organizations that provide counseling services, social welfare services, meal services, health care services, and housing services.</p>	<p>Legislature</p>	<p>*</p>
<p>6. To comply with federal law and best practices, Birmingham Community Charter School (Birmingham Charter) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.</p>	<p>Birmingham Community Charter School</p>	<p>*</p>
<p>7. To comply with federal law and best practices, Greenfield Union School District (Greenfield) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.</p>	<p>Greenfield Union School District</p>	<p>*</p>
<p>8. To comply with federal law and best practices, Gridley Unified School District (Gridley) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.</p>	<p>Gridley Unified School District</p>	<p>*</p>
<p>9. To comply with federal law and best practices, Norwalk-La Mirada Unified School District (Norwalk-La Mirada) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.</p>	<p>Norwalk-La Mirada Unified School District</p>	<p>*</p>

10. To comply with federal law and best practices, San Bernardino City Unified School District (San Bernardino) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.	San Bernardino City Unified School District	*
11. To comply with federal law and best practices, Vallejo City Unified School District (Vallejo) should, before academic year 2020–21, ensure that school staff who provide services to youth experiencing homelessness receive training as federal law requires. Further, as set forth in best practices, the LEA should provide this training at least annually, and the training should include the definition of homelessness, signs of homelessness, the impact of homelessness on youth, and the steps an LEA should take once school staff has identified a youth as possibly experiencing homelessness.	Vallejo City Unified School District	*
12. To comply with federal law and best practices, Birmingham Charter should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	Birmingham Community Charter School	*
13. To comply with federal law and best practices, Greenfield should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	Greenfield Union School District	*
14. To comply with federal law and best practices, Gridley should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	Gridley Unified School District	*
15. To comply with federal law and best practices, Norwalk-La Mirada should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	Norwalk-La Mirada Unified School District	*
16. To comply with federal law and best practices, San Bernardino should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	San Bernardino City Unified School District	*
17. To comply with federal law and best practices, Vallejo should, before academic year 2020–21, distribute information about the educational rights of youth experiencing homelessness in public places, including schools, shelters, public libraries, and food pantries frequented by families of such youth, as federal law requires. Further, to mitigate families' and youth's hesitance to disclosing their living situation the LEA should include the protections set forth in federal and state laws in the information it distributes.	Vallejo City Unified School District	*
18. To comply with federal law and best practices, Birmingham Charter should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	Birmingham Community Charter School	*

19. To comply with federal law and best practices, Greenfield should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	Greenfield Union School District	*
20. To comply with federal law and best practices, Gridley should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	Gridley Unified School District	*
21. To comply with federal law and best practices, Norwalk-La Mirada should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	Norwalk-La Mirada Unified School District	*
22. To comply with federal law and best practices, San Bernardino should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	San Bernardino City Unified School District	*
23. To comply with federal law and best practices, Vallejo should, before academic year 2020–21, publish information on its website about the educational rights and protections of youth experiencing homelessness.	Vallejo City Unified School District	*
24. To ensure that families of youth experiencing homelessness can readily access information about the LEA's homeless education program as best practices recommend, Greenfield should publish its local liaison's contact information in an easy-to-find place on its website.	Greenfield Union School District	*
25. To ensure that families of youth experiencing homelessness can readily access information about the LEA's homeless education program as best practices recommend, Gridley should publish its local liaison's contact information in an easy-to-find place on its website.	Gridley Unified School District	*
26. To ensure that families of youth experiencing homelessness can readily access information about the LEA's homeless education program as best practices recommend, Vallejo should publish its local liaison's contact information in an easy-to-find place on its website.	Vallejo City Unified School District	*
27. To ensure that youth experiencing homelessness have access to the necessary services to help them succeed in school, by August 2020 CDE should establish guidance for implementing data-sharing agreements between the LEAs and other organizations that provide services to these youth.	Department of Education	*
28. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to develop and implement an LEA monitoring plan that is risk-based and focuses its reviews, both onsite and desk reviews, on those LEAs that CDE determines are at the greatest risk of underidentifying youth experiencing homelessness and those LEAs whose homeless education program policies may be outdated.	Legislature	*
29. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to develop and implement procedures for verifying key information that LEAs submit through the Consolidated Application and Reporting System (CARS). For example, CDE can verify the information by requesting supporting documentation for a sample of LEAs that have reported zero or few youth experiencing homelessness and have indicated in CARS that their local liaisons have received training.	Legislature	*
30. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to review LEAs' information in CARS about when they last updated their homeless education policies and remind those LEAs that indicate that their board policies may be outdated to update their policies to reflect current requirements.	Legislature	*
31. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to develop alternative interactive training, such as webinars in which participants can ask questions, to reach a greater number of LEAs. It should place recordings of these webinars on its website for all LEAs to review.	Legislature	*

32. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to provide guidance to local liaisons regarding their responsibilities under the McKinney-Vento Act, including that they must ensure that school personnel who provide services to youth experiencing homelessness receive training on the proper identification and reporting procedures. Also, it should require CDE to develop procedures for its staff to use to verify that all LEA staff who provide services to these youth receive such training at least annually, as best practices recommend.	Legislature	*
33. To ensure that CDE provides effective oversight for the education of youth experiencing homelessness, the Legislature should require CDE to use existing LEA data, including data on the number of youth identified as experiencing homelessness and performance outcomes of those youth, to identify LEAs that may be underidentifying such youth and that may not have effective homeless education programs. It should also require CDE to assist these LEAs through appropriate means.	Legislature	*
34. To ensure that it has the resources necessary to effectively meet its responsibilities under federal law, CDE should complete a staffing analysis by May 2020 to determine the resources needed to meet its responsibilities for homeless education. This analysis should consider the resources needed to implement all of the recommendations in this report.	Department of Education	*
35. If CDE determines that it needs additional resources, it should take the necessary steps, including reallocating existing resources within the department, to secure the needed resources.	Department of Education	*
36. To effectively monitor LEAs and help them identify additional youth experiencing homelessness, CDE should develop a method for determining those LEAs that may be underidentifying youth experiencing homelessness. For example, CDE could determine which LEAs identified less than 5 percent of their economically disadvantaged youth as experiencing homelessness.	Department of Education	*
37. To effectively monitor LEAs and help them identify additional youth experiencing homelessness, for those LEAs it determines may be underidentifying youth experiencing homelessness, CDE should provide general guidance on its website or through group emails to help them increase their identification rates and, as resources permit, should provide detailed technical assistance to selected LEAs that CDE believes may be at the highest risk of missing a greater number of youth experiencing homelessness.	Department of Education	*
38. To ensure that all LEAs receive necessary guidance and training, CDE should review the guidance documents and templates, including the housing questionnaire and poster, that CDE makes available on its website for LEAs and ensure that all the documents reflect current best practices. For example, the questionnaire and the posters should include the rights and protections afforded to youth experiencing homelessness and their families to alleviate any apprehensions of identifying themselves as experiencing homelessness. CDE should then make all LEAs aware of these revised documents.	Department of Education	*
39. To ensure that all LEAs receive necessary guidance and training, CDE should inform all LEAs of the requirement to disseminate information about the educational rights of youth experiencing homelessness in locations frequented by families of such youth, including schools, shelters, public libraries, and food pantries. Further, CDE should encourage LEAs to inform families and youth about protections afforded to those experiencing homelessness. For example, it could encourage LEAs to accomplish this through their housing questionnaire.	Department of Education	*
40. To ensure that all LEAs receive necessary guidance and training, CDE should revise its training modules to ensure that they reinforce key best practices recommended by the U.S. Department of Education and other homeless education experts.	Department of Education	*
41. To ensure that all LEAs receive necessary guidance and training, CDE should develop training modules, as outlined in the state plan, for LEA staff who provide services to youth experiencing homelessness. These training modules should include the provisions of law and the definition of homelessness, procedures for identifying and enrolling youth experiencing homelessness, and the services that CDE expects LEAs to provide to these youth.	Department of Education	*

**Report Number 2019-108**

***Sacramento City Unified School District: Because It Has Failed to Proactively Address Its Financial Challenges, It May Soon Face Insolvency (December 2019)***

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To help ensure that county office superintendents can prevent school districts under their oversight from becoming insolvent, the Legislature should consider amending state law to require school district boards to obtain approval from their county office superintendents before considering actions that would result in expenditures that exceed 200 percent of their required reserve amount. County office superintendents should disapprove any district action that they determine would cause school districts to do either of the following:</p> <ul style="list-style-type: none"> <li>• Project insolvency within the current fiscal year or two subsequent fiscal years.</li> <li>• Rely on reserves or other one-time resources, such as one-time funds from the State, to remain solvent within the current fiscal year or two subsequent fiscal years.</li> </ul>	Legislature	*
<p>2. To help ensure that school district boards are accountable for the costs they approve, the Legislature should consider amending state law to require those boards to certify the district’s ability to meet the costs disclosed in each collective bargaining agreement.</p>	Legislature	*
<p>3. To ensure that Sacramento City Unified School District (Sacramento Unified) takes the steps necessary to address its fiscal crisis, the county office superintendent should direct Sacramento Unified to submit a corrective action plan by March 2020 that consolidates the district’s plans to resolve its fiscal crisis.</p>	Sacramento County Office of Education	*
<p>4. To ensure that Sacramento Unified takes the steps necessary to address its fiscal crisis, the county office superintendent should ensure that Sacramento Unified addresses the issues identified in this report, including its executive management turnover and lack of policies guiding its budget process.</p>	Sacramento County Office of Education	*
<p>5. To ensure that Sacramento Unified takes the steps necessary to address its fiscal crisis, the county office superintendent should ensure that Sacramento Unified implements all of the recommendations detailed below.</p>	Sacramento County Office of Education	*
<p>6. To address its current financial problems, Sacramento Unified should, by March 2020, adopt a detailed plan to resolve its fiscal crisis. The plan should estimate savings under multiple scenarios and include an analysis that quantifies the impact of reductions the district can make to ongoing expenditures. Specifically, Sacramento Unified should consider the impact of possible salary adjustments for employees in different bargaining units and include the impact those salary adjustments would have on postemployment benefits, such as pensions. It should also use the most recently available data to estimate net savings from modifying the health care benefits it provides to employees, as well as the impact those modifications would have on the total compensation of the employees. Finally, it should calculate the impact of possible changes to district and employee contributions to fund future retiree health benefits. The district should use the plan it develops as the basis for its discussions of potential solutions with its teachers union.</p>	Sacramento City Unified School District	*
<p>7. To address its current financial problems, Sacramento Unified should revise its multiyear projections and update them at least quarterly until it has taken action that would cause it to no longer project insolvency. It should disclose these projections to the board.</p>	Sacramento City Unified School District	*
<p>8. To address its current financial problems, Sacramento Unified should adopt and disclose publicly a multiyear projection methodology. This methodology should disclose the assumptions and rationale used to estimate changes in salaries, benefits, contributions, and local control funding formula revenue—including changes in enrollment and the source and reliability of the data used to make these projections.</p>	Sacramento City Unified School District	*
<p>9. To address its current financial problems, before it imposes an agreement on its teachers union or accepts state assistance, Sacramento Unified should publicly disclose the likely effects that such actions will have on the district’s students, faculty, and the community, and its plans to address these effects.</p>	Sacramento City Unified School District	*

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<p>10. To prevent a similar fiscal crisis in the future, Sacramento Unified should, by July 2020, have the board adopt a budget methodology, including guidance on the use of one-time funds, the use and maintenance of district reserves, and the maintenance of a balanced budget. The methodology should use the Government Finance Officers Association's best practices as a guide and should address the following :</p> <ul style="list-style-type: none"> <li>• Include administrators from different divisions of Sacramento Unified into the budget development process to help ensure the accuracy of projections.</li> <li>• Establish criteria and measures for success in the budget process, such as whether budget decisions were made with adequate input and deliberation and whether the budget was balanced without using reserves or one-time revenues for ongoing expenditures.</li> <li>• Develop and adhere to a multiyear funding budget plan, with the goal of realigning resources where necessary to fund ongoing expenses with ongoing revenue.</li> <li>• Conduct an analysis of variances in budgeted and actual revenues and expenditures at each interim reporting period. Sacramento Unified should then use this information to inform its estimates for the upcoming fiscal year's budget.</li> </ul>	Sacramento City Unified School District	*
<p>11. To prevent a similar fiscal crisis in the future, Sacramento Unified should, by July 2020, develop a long-term funding plan to address its retiree health benefits liability. The plan should include appropriate action necessary to ensure the district will be able to meet its obligations to its employees and retirees.</p>	Sacramento City Unified School District	*
<p>12. To prevent a similar fiscal crisis in the future, Sacramento Unified should, by July 2020, adopt a policy that guides staff on steps they should take to ensure that special education expenditures are cost-effective. The policy should include consideration of options for offering services, including those provided by district staff or by contracted providers.</p>	Sacramento City Unified School District	*
<p>13. To prevent a similar fiscal crisis in the future, Sacramento Unified should annually apply for available state funding for its extraordinary special education costs.</p>	Sacramento City Unified School District	*
<p>14. To prevent a similar fiscal crisis in the future, Sacramento Unified should, by July 2020, develop and adopt a succession plan that ensures that it has staff who have the training and knowledge necessary to assume critical roles in the case of turnover.</p>	Sacramento City Unified School District	*
<p>15. To prevent a similar fiscal crisis in the future, Sacramento Unified should, by July 2020, develop effective employee orientation programs, including mentorship, to allow incoming leaders to better adapt to the organization's structure and culture.</p>	Sacramento City Unified School District	*

\* The status of recommendations for audits issued between late October and December 2019 is based on the entities' initial response, which is included in the original audit report, available on the California State Auditor's (State Auditor) website: [www.auditor.ca.gov](http://www.auditor.ca.gov)

† As of December 31, 2019, the entity has not provided a response to the State Auditor or the State Auditor has not assessed the entity's response