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**Table 1**  
Recommendation Status Summary

## Senate Budget & Fiscal Review Subcommittee 4 on State Administration and General Government

*Report Number 2018-037*

*California Department of Housing and Community Development: Its Oversight of Housing Bond Funds Remains Inconsistent (September 2018)*

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. Given the California Department of Housing and Community Development’s (HCD) long-standing history of inadequate monitoring for some of its programs and the additional funds HCD could receive for CalHome under the November 2018 ballot measure, the Legislature should require HCD to disclose information about such monitoring in its annual report, which it should submit to the Assembly Committee on Housing and Community Development and the Senate Committee on Transportation and Housing. The report should identify all of the awards that HCD monitors for the CalHome and BEGIN programs and should include performance metrics such as the amount of funds awarded but not disbursed to recipients and therefore not issued to potential homeowners. The Legislature should also require HCD to disclose in its annual report—at a minimum—the following information for all awards that HCD is responsible for monitoring in the CalHome and Building Equity and Growth in Neighborhoods (BEGIN) programs:</p> <ul style="list-style-type: none"> <li>• The amount of the original awards to recipients, the portions not yet disbursed to recipients, and an estimate of how many individuals could benefit from the remaining balance.</li> <li>• Any extensions HCD granted to the standard agreement and the number of and reason for those extensions.</li> <li>• The total balance of all recipients’ CalHome and BEGIN reuse accounts, detailing the loan repayments recipients are required to reissue for program purposes and an estimate of how many households could benefit from the balance.</li> <li>• A section describing HCD’s monitoring efforts, including the collection of performance reports and the results of the risk assessments and on-site monitoring.</li> </ul>	Legislature	Legislation Proposed But Not Enacted
<p>2. The Legislature should require the Business, Consumer Services and Housing Agency to monitor HCD’s efforts and to submit a report annually to the Legislature demonstrating that HCD is continuing to implement our recommendations.</p>	Legislature	Legislation Proposed But Not Enacted
<p>3. To ensure that it appropriately monitors CalHome as required by statute, regulation, and program guidelines, HCD should, by January 1, 2019, develop an annual plan for its CalHome on-site visits, which should be based on its risk assessments. The risk assessments should consider, among other things, which recipients have not submitted required performance reports.</p>	Department of Housing and Community Development	Fully Implemented
<p>4. To ensure that it appropriately monitors CalHome as required by statute, regulation, and program guidelines, HCD should perform the on-site visits it proposes in its annual plan.</p>	Department of Housing and Community Development	Fully Implemented
<p>5. To ensure that it appropriately monitors CalHome as required by statute, regulation, and program guidelines, HCD should immediately collect all required reports and follow up with recipients to obtain missing reports. Staff should withhold fund disbursements from recipients that have not submitted required reports. If the submitted reports reveal a problematic trend, such as a recipient not disbursing funds, HCD should take appropriate corrective action with the recipient.</p>	Department of Housing and Community Development	Pending

6. To ensure that it appropriately monitors CalHome as required by statute, regulation, and program guidelines, HCD should immediately stop providing extensions to standard agreements to recipients if those extensions would cause HCD to not spend the full award within the 36-month term and therefore violate its regulations.	Department of Housing and Community Development	Fully Implemented
7. To ensure that HCD appropriately monitors BEGIN as required by statute, regulations, and program guidelines, HCD should immediately collect and review all required reports, and it should follow up with recipients to obtain any missing reports. If the reports reveal a problematic trend, such as a recipient not disbursing funds, HCD should take appropriate corrective action with the recipient.	Department of Housing and Community Development	Fully Implemented
8. To ensure that the IIG program award funds benefit the target population, HCD should develop and use a tool by December 1, 2018, to track which awards are monitored by local jurisdictions or by other HCD programs and which are not monitored at all. HCD should then immediately obtain monitoring reports from the local jurisdictions and other HCD programs to verify monitoring and review the results of such monitoring. HCD should follow up on any noted deficiencies. Further, HCD should, by January 1, 2019, develop a plan to perform on-site visits for those recipients that do not receive adequate monitoring from another source, and it should perform the planned on-site monitoring.	Department of Housing and Community Development	Pending
9. To ensure that single-family farmworker housing program recipients continue to qualify for housing, HCD should implement policies and procedures by December 1, 2018, to ensure that the information the recipients provide in the self-certification letters is accurate and complete by requiring that they include documentation as proof. HCD should also follow up to ensure that it receives responses to its annual compliance letters from all recipients.	Department of Housing and Community Development	Fully Implemented
10. To ensure that it maximizes the benefit of the funds it has invested in the Consolidated Automated Program Enterprise System's (CAPES) development and to support its ongoing efforts to improve CAPES's usability, HCD should, by January 1, 2019, perform an assessment of those programs that do not fully use CAPES.	Department of Housing and Community Development	Fully Implemented
11. To ensure that it maximizes the benefit of the funds it has invested in CAPES's development and to support its ongoing efforts to improve CAPES's usability, HCD should, by January 1, 2019, determine to what extent the programs could be using CAPES at its current level of development to capture information.	Department of Housing and Community Development	Pending
12. To ensure that it maximizes the benefit of the funds it has invested in CAPES's development and to support its ongoing efforts to improve CAPES's usability, HCD should, by January 1, 2019, formally direct staff working on those programs to enter data into CAPES and then use those data to manage the contracts and staff workloads associated with the programs.	Department of Housing and Community Development	Fully Implemented
13. To ensure that it maximizes the benefit of the funds it has invested in CAPES's development and to support its ongoing efforts to improve CAPES's usability, HCD should, by January 1, 2019, develop a remediation plan to augment CAPES in the specific ways required by any HCD programs that are currently unable to use the system for their operational needs. Concurrent with the remediation plan, HCD should develop realistic project management plans, including project milestones, for completing the necessary system upgrades.	Department of Housing and Community Development	Fully Implemented
14. To ensure that it maximizes the benefit of the funds it has invested in CAPES's development and to support its ongoing efforts to improve CAPES's usability, HCD should, by January 1, 2019, develop a documented process to ensure that all data in CAPES are accurate and complete. This process should include all phases of contract management, including monitoring. HCD should implement a routine periodic review of this process and update the process as necessary.	Department of Housing and Community Development	Pending
15. In conjunction with the planning efforts outlined above and to ensure that it can most efficiently manage its limited resources related to information, HCD should develop a cost-benefit analysis by March 1, 2019, that addresses the costs of continuing to maintain and enhance CAPES in the long term versus the acquisition and maintenance costs of an off-the-shelf database product. At a minimum, it should include the following: <ul style="list-style-type: none"> <li>• All costs associated with CAPES's enhancement, support, and future maintenance.</li> <li>• A documented methodology, including all assumptions, and thorough documentation of the sources for the underlying data.</li> </ul>	Department of Housing and Community Development	Fully Implemented

<p>16. To ensure that it is able to meet its administrative monitoring obligations and that it uses housing bond funds in compliance with state law, regulations, and program guidelines, HCD should develop a long-term plan by January 1, 2019, for how it will avoid exceeding the administrative cost limits of those programs in the most immediate danger of overage and for how it will address instances when it has exceeded administrative cost limits. The plan should identify the programs at risk of exceeding the limit; the actions HCD will take for each program to gain efficiencies; its plan for moving staff between programs; a request for more money or legislative changes such as modifying the statutory limit on administrative spending, if necessary; and an evaluation of the consequences of not fulfilling its monitoring obligations.</p>	<p>Department of Housing and Community Development</p>	<p>Pending</p>
<p>17. To ensure that it complies with state law, prudently uses administrative funding, and promotes transparency, HCD should obtain a legal opinion on whether it can use CalHome funding to monitor BEGIN awards. If it cannot, it should cease doing so.</p>	<p>Department of Housing and Community Development</p>	<p>Fully Implemented</p>
<p>18. To ensure that it complies with state law, prudently uses administrative funding, and promotes transparency, HCD should calculate and retain only funds equal to its actual administrative costs in instances when it does not disburse awarded funds to a recipient and subsequently grants the funds to another recipient.</p>	<p>Department of Housing and Community Development</p>	<p>Pending</p>
<p>19. To ensure that it does not exceed administrative cost restrictions and that it maximizes the funds intended to address target populations' housing needs, HCD should estimate when it will run out of administrative funds for any specific program, document its projection methodology, and provide underlying data and support for its estimates. The projections should include, but not be limited to, actual staff time spent on the program, the number of awards being monitored, and the length of monitoring. Staff should provide these projections and methodologies to management for review and approval by December 1, 2018, and then at least biannually thereafter.</p>	<p>Department of Housing and Community Development</p>	<p>Pending</p>

**Report Number 2018-112**

**California Department of Veterans Affairs and Department of General Services: The Departments' Mismanagement of the Veterans Home Properties Has Not Served the Veterans' Best Interests and Has Been Detrimental to the State (January 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To prevent future leases of veterans home property that obligate the property to third parties for unnecessarily extended periods of time, the Legislature should amend state law to clarify that leases of veterans home property may not exceed five years unless a statutory exception applies.</p>	<p>Legislature</p>	<p>Legislation Introduced</p>
<p>2. To ensure that future leases of veterans home property are established in accordance with state requirements, the California Department of Veterans Affairs (CalVet) should implement its property use policy when considering all proposed leases of veterans home property.</p>	<p>California Department of Veterans Affairs</p>	<p>Pending</p>
<p>3. To ensure that it protects the State and the best interests of the Yountville Veterans Home, by March 2019 CalVet should complete its review of the four entities that do not have leases and should begin either evicting the entities or obtaining lease agreements with them through the Department of General Services (DGS).</p>	<p>California Department of Veterans Affairs</p>	<p>Fully Implemented</p>
<p>4. To ensure that its employee housing lease agreements are sufficient to protect the State, by June 2019 CalVet should revise its existing employee housing leases in accordance with the guidance the California Department of Human Resources (CalHR) has provided to agencies to protect the State's interests, including making sure that they include terms that fully indemnify the State against damages and require rental insurance.</p>	<p>California Department of Veterans Affairs</p>	<p>Fully Implemented</p>
<p>5. To avoid the appearance of impropriety and ensure proper management of employee housing, CalVet should implement its new housing policy and ensure that employee housing decisions are made by its headquarters office in a clear and consistent manner.</p>	<p>California Department of Veterans Affairs</p>	<p>Fully Implemented</p>

6. To ensure that leases of veterans home property comply with state law and are consistent with the veterans homes' mission to serve the veteran residents, by June 2019 DGS should adopt, in consultation with CalVet, a definition of what constitutes the best interests of the veterans homes and begin incorporating that definition into the State Administrative Manual (SAM). DGS should deny any requests for leases that do not meet that standard. When leasing veterans home property, DGS should document its reasons for determining that the terms of the lease are in the best interests of the home.	Department of General Services	Pending
7. To ensure that all leases of veterans home property protect the interests of the State and the homes, DGS should review the current lease that is void under state law and any that do not meet its criteria for being in the best interests of the veterans homes. DGS should attempt to reach new agreements with these lessees that address any areas of noncompliance and concern.	Department of General Services	Pending
8. To remind state entities about the requirements for agreements that convey an interest in state property, by June 2019 DGS should issue guidance about its approval authority for such agreements.	Department of General Services	Pending
9. To improve the effectiveness of lease payment collection, the Legislature should amend state law beginning in fiscal year 2019–20 to require that DGS receive lease payments for all veterans home property leases, except those for employee housing and those that are required to be deposited into the morale fund.	Legislature	No Action Taken
10. To ensure that the veterans homes receive all of the funding to which they are entitled, by the May 2019 budget revision, CalVet should seek an augmentation to its appropriation for the homes equal to the lease revenues it generated from July 2015 through June 2018. If CalVet believes the state law requiring lease proceeds to augment its appropriation is outdated, it should seek a change to state law.	California Department of Veterans Affairs	Pending
11. To monitor whether lessees are current on payments, CalVet should track payment compliance for all lease payments that it receives and promptly follow up with lessees that do not pay as required. This should include collecting sufficient records from lessees that pay rent based on a percentage of sales to calculate the amount that each is required to pay to ensure that the lessees are making the correct rent payments.	California Department of Veterans Affairs	Pending
12. To better manage its employee housing, beginning in June 2019 CalVet should comply with CalHR requirements by annually reviewing the rental rates for its employee housing units to ensure their consistency with market value and adjusting the rental rates accordingly.	California Department of Veterans Affairs	Pending
13. To ensure that it can justify the rental rates it approves, DGS should document its assessment of market value and market rent for all veterans home property leases before leasing the property. It should set rental rates equivalent to fair market rent in all cases except those in which it accepts improvements to the property or services to the veterans in exchange for reduced or waived rent. In the cases of reduced or waived rent, DGS should document a calculation of the value of the property improvements or services and reduce the rent by an amount equal to the calculated values.	Department of General Services	Pending
14. To comply with state law, DGS should begin depositing lease payments from leases of veterans home property into the General Fund so that those funds may be used to augment the appropriation of the veterans homes, and it should reimburse the General Fund for the amounts it inappropriately deposited into the property acquisition law money account. DGS should also annually notify the Department of Finance and the Legislature of the amount of lease payments it collects to ensure that those proceeds are appropriately directed to the veterans homes.	Department of General Services	Pending
15. To protect the interests of the State and veterans homes, the Legislature should amend state law to require CalVet to promulgate regulations that define what types of short-term uses of veterans home property are in the best interests of the homes, including the interests of the residents of the homes, and to include in all short-term use agreements conditions that protect the State's best interests; prohibit CalVet from approving any short-term uses of the veterans home property that do not meet its definition of the best interests of the home; require CalVet to develop and implement a fee schedule for short-term third-party uses of veterans home property.	Legislature	Legislation Introduced

16. To prevent unauthorized use of its property, CalVet should regularly monitor the use of the leased properties and take action to cease any activity that is not allowed by the terms of the lease agreements. Further, it should take action to cease the balloon launches from the golf course or amend its lease with the lessee to identify balloon launches as an approved use of the property.	California Department of Veterans Affairs	Pending
17. To inform the Legislature about all sources of General Fund revenue, beginning with its May 2019 report CalVet should include lease payments in its required report until such a time as the Legislature centralizes receipt of these lease payments at DGS.	California Department of Veterans Affairs	Fully Implemented

**Report Number 2018-114**

**Disabled Veteran Business Enterprise Program: The Departments of General Services and Veterans Affairs Have Failed to Maximize Participation and to Accurately Measure Program Success (February 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To increase the number of disabled veteran business enterprise (DVBE) firms that awarding departments can contract with when required to use Leveraged Procurement Agreements (LPAs), DGS should develop and implement a plan to encourage DVBE firms to participate in LPAs.	Department of General Services	Pending
2. To ensure that a greater number of DVBE firms benefit from the DVBE program, DGS should work with awarding departments to understand why only a few DVBE firms receive a large number of contract awards. Based on its findings, DGS should take the necessary steps to remedy this situation.	Department of General Services	Partially Implemented
3. To ensure that awarding departments can effectively identify DVBE firms that provide needed products and services, DGS should work with these departments to continue to narrow the codes available to those commonly used by awarding departments to more precisely identify what the State purchases and streamline search criteria in Cal eProcure.	Department of General Services	Pending
4. To ensure that awarding departments can effectively identify DVBE firms that provide needed products and services, DGS should ensure that by October 2019 departments identify their contracting needs and then post these needs prominently on their websites as a resource for DVBE firms.	Department of General Services	Fully Implemented
5. To ensure that awarding departments can effectively identify DVBE firms that provide needed products and services, DGS should continue to provide outreach services to DVBE firms on how to create effective keywords and choose appropriate codes.	Department of General Services	Fully Implemented
6. To ensure that awarding departments can effectively identify DVBE firms that provide needed products and services, DGS should explore other options for making the Cal eProcure search engine more effective for awarding departments.	Department of General Services	Pending
7. To ensure that awarding departments that fail to meet the 3 percent goal receive the assistance necessary to achieve the goal, the Legislature should amend state law to transfer the responsibility for monitoring and assisting underachieving departments from CalVet to DGS.	Legislature	No Action Taken
8. To minimize the occurrence of program abuse involving DVBE subcontractors, the Legislature should amend state law to require awarding departments to notify those DVBE subcontractors when they are named on an awarded contract.	Legislature	Legislation Introduced
9. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, CalVet should assess, at least annually, the effectiveness of its past outreach efforts in increasing the number of DVBE firms that become certified.	Department of Veterans Affairs	Pending
10. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, DGS should assess, at least annually, the effectiveness of its past outreach efforts in increasing the number of DVBE firms that become certified.	Department of General Services	Pending

11. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, CalVet should work with awarding departments to identify the types of goods and services for which they struggle to find a DVBE contractor or subcontractor.	Department of Veterans Affairs	Pending
12. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, DGS should work with awarding departments to identify the types of goods and services for which they struggle to find a DVBE contractor or subcontractor.	Department of General Services	Fully Implemented
13. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, CalVet should develop an outreach plan to include outreach activities found to be effective in the past based on its assessment. This plan should also emphasize outreach to increase the number of DVBE firms that provide the types of goods and services that awarding departments struggle to obtain from DVBE firms.	Department of Veterans Affairs	Pending
14. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, DGS should develop an outreach plan to include outreach activities found to be effective in the past based on its assessment. This plan should also emphasize outreach to increase the number of DVBE firms that provide the types of goods and services that awarding departments struggle to obtain from DVBE firms.	Department of General Services	Pending
15. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, CalVet should develop better tracking of the businesses owned by disabled veterans that attend its outreach events and review certification data to determine whether these businesses obtained their certifications.	Department of Veterans Affairs	Pending
16. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, DGS should develop better tracking of the businesses owned by disabled veterans that attend its outreach events and review certification data to determine whether these businesses obtained their certifications.	Department of General Services	Fully Implemented
17. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, CalVet should conduct periodic surveys of businesses owned by disabled veterans that attended its outreach events but chose not to become DVBE certified to determine the reasons for not applying for the certification. CalVet should use this information to improve its outreach and any other areas of the program.	Department of Veterans Affairs	Pending
18. To ensure that its outreach efforts are effective and result in a greater number of DVBE firms available that can provide the necessary goods and services awarding departments are seeking, DGS should conduct periodic surveys of businesses owned by disabled veterans that attended its outreach events but chose not to become DVBE certified to determine the reasons for not applying for the certification. DGS should use this information to improve its outreach and any other areas of the program.	Department of General Services	Partially Implemented
19. Until the Legislature amends the law to transfer its responsibility for assisting underachieving departments to DGS, CalVet should develop and follow policies and procedures to identify and assist awarding departments that fail to meet, or are at risk of not meeting, the 3 percent DVBE participation goal.	Department of Veterans Affairs	Pending
20. To minimize the occurrence of program abuse and ensure that program abuse cases are handled appropriately and consistently, DGS should remind the awarding departments about preventive measures, including contract award notification to all subcontractors listed on the winning contractor's bid and providing the subcontractors with the name of the prime contractor, the role of the DVBE firm in the contract, the amount of the contract dollars designated for each subcontractor, and contact information that subcontractors can use if they encounter any issues on the project.	Department of General Services	Partially Implemented
21. To minimize the occurrence of program abuse and ensure that program abuse cases are handled appropriately and consistently, DGS should develop procedures for awarding departments to help them identify whether a complaint constitutes program abuse, document and track all complaints, and take appropriate steps when investigating program abuse complaints.	Department of General Services	Fully Implemented

<p>22. To strengthen the enforcement of DVBE laws, regulations, and guidelines, DGS should track program abuse complaints, including the type of program abuse, how it was reported or discovered, and the dates specific actions were taken on the case. This tracking will enable the awarding departments to identify weaknesses within their processes and provide insight into how to address these issues, improving the DVBE program overall.</p>	<p>Department of General Services</p>	<p>Fully Implemented</p>
<p>26. To ensure that DVBE participation data are reported accurately and consistently, DGS should implement or strengthen a review process to ensure that DVBE participation amounts entered into its data systems or the Financial Information System for California (FI\$Cal) are accurate. This review process should include verification, on a sample basis, of the amounts awarded to, and the certification status of, the DVBE contractor or subcontractor for high-value contracts that include DVBE participation.</p>	<p>Department of General Services</p>	<p>Pending</p>
<p>28. Until it begins generating DVBE activity reports using FI\$Cal, DGS should issue a policy to require awarding departments to implement or strengthen a secondary review process to ensure that the DVBE activity reports are accurate and supported by departments' data systems.</p>	<p>Department of General Services</p>	<p>Pending</p>
<p>29. To ensure that it can create accurate annual DVBE participation reports, DGS should complete the programming necessary to include DVBE subcontractor information by June 30, 2019.</p>	<p>Department of General Services</p>	<p>Fully Implemented</p>

**Report Number 2018-117**

**City and County Contracts With U.S. Immigration and Customs Enforcement: Local Governments Must Improve Oversight to Address Health and Safety Concerns and Cost Overruns (February 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, the Legislature should consider urgency legislation amending state law to require the cities that contract with U.S. Immigration and Customs Enforcement (ICE) to house detainees implement oversight policies and practices that include reviewing all federal inspection reports and ensuring that private operators develop and implement timely corrective actions for any identified noncompliance; obtaining and reviewing the quality control plan for the detention facility and ensuring that the private operators implement and follow the plan; at least quarterly reviewing detainee complaints and any incident reports and following up with private operators on any pervasive or persistent problems; at least quarterly inspecting the services provided and conditions at the detention facility as allowed by the detention subcontract; and formally approving all invoices and maintaining copies of invoices and supporting documentation.</p>	<p>Legislature</p>	<p>No Longer Necessary</p>
<p>2. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include the following: Review all federal inspection reports and ensure that private operators develop and implement timely corrective actions for any identified noncompliance.</p>	<p>City of Adelanto</p>	<p>Resolved</p>
<p>3. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include reviewing all federal inspection reports and ensuring that private operators develop and implement timely corrective actions for any identified noncompliance.</p>	<p>City of Holtville</p>	<p>Resolved</p>
<p>4. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include the following: Obtain and review the quality control plan for the detention facility and ensure that the private operators implement and follow the plan.</p>	<p>City of Adelanto</p>	<p>Resolved</p>

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5. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include obtaining and reviewing the quality control plan for the detention facility and ensuring that the private operators implement and follow the plan.	City of Holtville	Resolved
6. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include the following: At least quarterly review detainee complaints and any incident reports and follow up with private operators on any pervasive or persistent problems.	City of Adelanto	Resolved
7. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that, at least quarterly, review detainee complaints and any incident reports and follow up with private operators on any pervasive or persistent problems.	City of Holtville	Resolved
8. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include the following: At least quarterly inspect the services provided and conditions at the detention facility as allowed by the detention subcontract.	City of Adelanto	Resolved
9. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that, at least quarterly, inspect the services provided and conditions at the detention facility as allowed by the detention subcontract.	City of Holtville	Resolved
10. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include the following: Formally approve all the invoices and maintain copies of invoices and supporting documentation.	City of Adelanto	Resolved
11. To ensure that significant health and safety problems are avoided, minimized, or at the very least addressed promptly, by May 1, 2019, the cities that contract with ICE to house detainees should implement oversight policies and practices for their private operators that include formally approving all the invoices and maintaining copies of invoices and supporting documentation.	City of Holtville	Resolved

### Report Number 2018-110

#### City of Lincoln: Financial Mismanagement, Insufficient Accountability, and Lax Oversight Threaten the City's Stability (March 2019)

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that it complies with state law, the City of Lincoln (Lincoln) should immediately review all of its outstanding interfund loans to determine whether the borrowing funds can repay the loans according to the terms. For any loan that is from a restricted fund and that does not have the capacity to be repaid, Lincoln should develop a plan that ensures repayment within a reasonable time frame, including seeking possible alternative financing or revenue sources, such as the general fund, bonds, one-time revenue, or a tax increase, to address the obligation.	City of Lincoln	Pending
2. To ensure that city staff provides the city council adequate information to make its decisions regarding interfund loans and transfers, the city council should immediately collaborate with the city manager and department directors to establish formal expectations regarding the content of staff reports, and it should hold the city manager accountable for ensuring all staff reports meet those expectations.	City of Lincoln	Fully Implemented

<p>3. To ensure that it avoids accumulating surpluses, Lincoln should establish policies and procedures by August 2019 requiring it to review its fund balances at least annually and, if necessary, reduce its fees within a reasonable time frame.</p>	<p>City of Lincoln</p>	<p>Fully Implemented</p>
<p>4. To comply with state law, Lincoln should immediately discontinue its practice of using restricted funds to subsidize other funds that have year-end deficits and that lack the ability to permanently repay the transfers within 90 days of the close of the fiscal year.</p>	<p>City of Lincoln</p>	<p>Pending</p>
<p>5. To ensure that it complies with the state constitution, Lincoln should establish and adhere to procedures that account for revenue and expenditures in each landscaping and lighting zone separately, and it should discontinue its use of surplus revenue from one zone to offset a deficit in another zone. It should take these actions by June 2019.</p>	<p>City of Lincoln</p>	<p>Pending</p>
<p>6. By June 2019, Lincoln should establish accounting procedures to ensure that it records all costs of city maintenance from the appropriate funds, including apportioning the general benefit costs to the general fund.</p>	<p>City of Lincoln</p>	<p>Partially Implemented</p>
<p>7. Lincoln should immediately commence a fee study that ensures its fees for water capacity are commensurate with the costs of current and planned future water capacity needs. To the extent that Lincoln has previously overcharged for water capacity fees, it should develop a plan to provide equitable consideration to those who overpaid such fees, and it should eliminate any unnecessary surplus in the water connections fund.</p>	<p>City of Lincoln</p>	<p>Pending</p>
<p>8. To ensure that its fees are commensurate with the cost of providing services, Lincoln should develop and follow a timeline by June 2019 for conducting periodic fee studies for each of its services, including updating its staff rates annually.</p>	<p>City of Lincoln</p>	<p>Partially Implemented</p>
<p>9. To the extent allowable by law, the city council should develop a plan by August 2019 to provide equitable consideration to ratepayers for the utility costs they incurred that were higher than necessary because of Lincoln's practice of not paying for its own water, sewer, and solid waste services.</p>	<p>City of Lincoln</p>	<p>Pending</p>
<p>10. To ensure transparency to the public, beginning with its fiscal year 2019–20 budget, Lincoln should specify in its annual budget the amount that it intends to spend for the use of municipal utilities—water, sewer, and solid waste—and the funds that it intends to use to pay for these costs.</p>	<p>City of Lincoln</p>	<p>Fully Implemented</p>
<p>11. By August 2019, Lincoln should establish and follow policies and procedures for budgeting, preparing its financial statements at the end of each fiscal year, and approving expenditures based on the Government Finance Officers Association guidelines and other best practices.</p>	<p>City of Lincoln</p>	<p>Partially Implemented</p>
<p>12. To help ensure that the city manager fully informs the city council of all relevant information before the city council approves the annual budget, Lincoln should specify by July 2019 the supporting information that it expects staff to provide with the proposed budget. Lincoln should then update its duty statements to require the city manager and department directors to provide the city council with this information as part of the city's budget process.</p>	<p>City of Lincoln</p>	<p>Fully Implemented</p>
<p>13. To ensure that Lincoln complies with its purchasing policy, the city manager should immediately develop and implement procedures for staff to obtain and document the required approval from the city manager or the city council before committing city resources. Beginning immediately, the city manager should also report to the city council on a regular basis all purchases that the city manager approves.</p>	<p>City of Lincoln</p>	<p>Fully Implemented</p>
<p>14. To ensure that city management holds city staff accountable for resolving deficiencies identified in its annual audits, Lincoln's city council should immediately require the city manager to track and report progress in addressing outstanding audit recommendations at least quarterly.</p>	<p>City of Lincoln</p>	<p>Partially Implemented</p>
<p>15. By June 2019, Lincoln should develop and follow a process to ensure that it accurately and promptly records all year-end closing entries in its general ledger and issues its comprehensive annual financial report within the period that state law requires.</p>	<p>City of Lincoln</p>	<p>Pending</p>

16. To ensure transparency in providing accurate fee information to the public, Lincoln should immediately update and publicly disclose its master fee schedule to reflect the fees that it actually charges. In addition, Lincoln should periodically review its fee schedule to identify outdated fees that do not accurately reflect the cost of providing services. It should revise those fees to incorporate the costs commensurate with those services and update its master fee schedule accordingly.	City of Lincoln	Pending
17. To ensure that it applies the correct fee credits to developers, Lincoln should develop policies and procedures by September 2019 for establishing fee credits and maintaining adequate documentation to justify modifications to fee credits, including credits it awards based on changes in fee schedules and updated development agreements.	City of Lincoln	Pending

### Report Number I2019-1

#### *Investigation of Improper Activities by a State Agency and Its Employees: A Director Committed Gross Misconduct When She Repeatedly Violated Merit-Based Employment Principles and Attempted to Retaliate Against Suspected Whistleblowers (March 2019)*

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. Given the totality of the director's improper conduct, the oversight agency should work with the Governor's office to take appropriate steps to ensure that the director, and any other individual who may occupy her position, cannot take similar actions.	State of California	Pending
2. The oversight agency should require the director, the human resources chief, and the senior staff member to undergo California Department of Human Resources (CalHR) or State Personnel Board (SPB) training on the requirements for making good faith appointments.	State of California	Partially Implemented
3. The oversight agency should ensure that the department strengthens its nepotism policy so that it prohibits employees with personal relationships from having any involvement in the selection, appointment, promotion, retention, supervision, and discipline of one another.	State of California	Fully Implemented
4. The oversight agency should discipline the director's daughter for her improper activities and document the actions in her official personnel file.	State of California	Fully Implemented
5. The oversight agency should collect \$129,329 from the director's daughter for her fraudulent claims of time worked.	State of California	Partially Implemented
6. The oversight agency should suspend the director's daughter's telecommuting agreement.	State of California	Resolved
7. The oversight agency should require the information technology (IT) manager and the new supervisor to attend external training related to the proper supervision of staff and, in particular, of staff who work remotely.	State of California	Resolved
8. The oversight agency should require the director, IT manager, and the new supervisor to undergo training by CalHR related to the proper procedures to formalize and manage reasonable accommodations.	State of California	Partially Implemented
9. The oversight agency should ensure that all staff who are currently permitted to telecommute full time have the proper documentation and justification on file and require that telecommuting agreements be reevaluated annually.	State of California	Fully Implemented
10. Given the totality of the director's improper conduct, the oversight agency should work with the Governor's office to take appropriate steps to ensure that the director, and any other individual who may occupy her position, cannot take similar actions. (Duplicate of Recommendation 1)	State of California	Pending
11. The oversight agency should require the director, HR chief, and the senior staff member to undergo CalHR or SPB training on the requirements for making good-faith appointments, permissible reinstatements, leaves of absences, and pay differentials.	State of California	Partially Implemented
12. Given the totality of the director's improper conduct, the oversight agency should work with the Governor's office to take appropriate steps to ensure that the director, and any other individual who may occupy her position, cannot take similar actions. (Duplicate of Recommendation 1)	State of California	Pending

**Report Number 2018-129**

**Employment Development Department: Its Practice of Mailing Documents Containing Social Security Numbers Puts Californians at Risk of Identity Theft (March 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
<p>1. Because other state agencies may mail full social security numbers (SSNs) to Californians, and because this practice—regardless of the agency involved—exposes individuals to the risk of identity theft, the Legislature should amend state law to require all state agencies to develop and implement plans to stop mailing documents that contain full SSNs to individuals by no later than December 2022, unless federal law requires the inclusion of full SSNs. To ensure that state agencies sufficiently prepare to implement this new law, the Legislature should also require that, by September 2019, they submit to it a report that identifies the extent to which their departments mail any documents containing full SSNs to individuals.</p> <p>If any agency determines that it cannot reasonably meet the December 2022 deadline to stop including full SSNs on mailings to individuals, the Legislature should require that, starting in January 2023, the agency submit to it and post on the agency’s website an annual corrective action plan that contains, at a minimum, the following information:</p> <ul style="list-style-type: none"> <li>• The steps it has taken to stop including full SSNs on mailed documents.</li> <li>• The number of documents from which it has successfully removed full SSNs and the approximate mailing volume that corresponds to those documents.</li> <li>• The remaining steps that it plans to take to remove or replace full SSNs it includes on mailed documents.</li> <li>• The number of documents and approximate mailing volume that it has yet to address.</li> <li>• The expected date by which it will stop mailing documents that contain full SSNs to individuals.</li> </ul> <p>Finally, if a state agency cannot remove or replace full SSNs that it includes on documents that it mails to individuals by January 2023, the Legislature should require the agency to provide access to and pay for identity theft monitoring for any individual to whom it mails documents containing SSNs.</p>	<p>Legislature</p>	<p>Legislation Proposed But Not Enacted</p>
<p>2. To reduce the risk of identity theft for its claimants before it completes its modernization project, the Employment Development Department (EDD) should, by December 2021, implement one or more of our proposed solutions or another viable solution to discontinue its use of full SSNs as unique identifiers on all documents that it mails to claimants. Further, it should prioritize addressing documents with the highest mail volumes, and it should make changes to these documents by March 2020. When providing us with the status of its implementation of this recommendation at 60 days, six months, and one year after the issuance of this report, and annually thereafter, EDD should note which documents it has addressed since the release of our report, how it has addressed them, and the dates by which it expects to address the remaining documents containing full SSNs that it mails to claimants.</p>	<p>Employment Development Department</p>	<p>Pending</p>
<p>3. To ensure that it eliminates any unnecessary uses of personal information in its external communications and to ensure that it fully protects its claimants’ privacy, EDD should, by May 2019, implement its recently developed plan for reviewing new, revised, and existing documents. EDD should provide documents to us indicating the progress it has made to implement this recommendation at 60 days, six months, and one year following the release of this report. Finally, it should, by December 2021, complete its full review of existing documents and remove any unnecessary instances of personal information.</p>	<p>Employment Development Department</p>	<p>Pending</p>

**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
1. The California Department of Tax and Fee Administration (CDTFA) should recover overpayments or adjust leave balances for the 25 exempt employees that this report identifies.	California Department of Tax and Fee Administration	Fully Implemented
2. CDTFA should review attendance records for these 25 exempt employees to determine whether the State owes them any holiday credits or other leave credits because the employees may have unnecessarily charged leave time on days that they were scheduled to be off.	California Department of Tax and Fee Administration	Fully Implemented
3. CDTFA should survey or otherwise determine leave use for all exempt employees who worked alternate schedules during the past three years to ascertain whether and by how much those employees were overpaid and to recover any overpayments as state law requires.	California Department of Tax and Fee Administration	Partially Implemented
21. The State Controller's Office (SCO) should immediately recover overpayments made to the employee or adjust her leave balances by 23 hours to account for her missed work time.	State Controller's Office	Fully Implemented
22. By April 2019, the SCO should review attendance for the employee for the time period that she worked an alternate schedule to determine whether she owes the State any additional hours as a result of informally switching her regular day off (RDO). If she does, the SCO should recover any overpayments or adjust her leave balances accordingly.	State Controller's Office	Partially Implemented
23. By June 2019, the SCO should review the attendance records of the manager's other staff to determine whether the other employees also failed to account for any missed work time.	State Controller's Office	Partially Implemented
24. The SCO should determine whether other managers or supervisors at the SCO also allowed employees to informally switch their RDOs. If so, the SCO should review the attendance records for the relevant employees to verify that they accurately recorded their time off and hours worked. To the extent that the SCO determines other employees improperly accounted for their time, the SCO should recover any overpayments or adjust their leave balances accordingly.	State Controller's Office	Partially Implemented
25. The Department of Industrial Relations (Industrial Relations) should provide instruction to all supervisors to maintain an accurate record of subordinate staff's daily work hours by either requiring all hourly employees to record the hours worked on their timesheet or using another reliable and consistent system to record daily hours worked by subordinate staff.	Department of Industrial Relations	Fully Implemented
26. Industrial Relations should provide training to the two supervisors regarding proper time and attendance procedures.	Department of Industrial Relations	Pending

**Report Number I2019-3****Investigations of Improper Activities by State Agencies and Employees: Wasteful and Improper Travel Payments, Improper Promotion and Hiring Practices, and Misuse of State Resources (May 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
16. The Department of Business Oversight (Business Oversight) should ensure that it collects the salary the employee improperly received during her unlawful tenure as an analyst.	Department of Business Oversight	Partially Implemented
17. Business Oversight should take appropriate corrective or disciplinary action against the employee for her dishonesty during her interview with investigators.	Department of Business Oversight	Fully Implemented

**Report Number 2018-611**

**High Risk Update—Information Security: Gaps in Oversight Contribute to Weaknesses in the State’s Information Security (July 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To strengthen the information security practices of nonreporting entities, the Legislature should amend state law to require all nonreporting entities to adopt information security standards comparable to those in SAM Chapter 5300.	Legislature	No Action Taken
2. To strengthen the information security practices of nonreporting entities, the Legislature should amend state law to require all nonreporting entities to obtain or perform comprehensive information security assessments no less frequently than every three years to determine compliance with the entirety of their adopted information security standards.	Legislature	No Action Taken
3. To strengthen the information security practices of nonreporting entities, the Legislature should amend state law to require all nonreporting entities to confidentially submit certifications of their compliance with their adopted standards to the Assembly Privacy and Consumer Protection Committee and, if applicable, to confidentially submit corrective action plans to address any outstanding deficiencies.	Legislature	No Action Taken

**Report Number 2018-133**

**Fallen Leaf Lake Community Services District: Its Billing Practices and Small Electorate Jeopardize Its Ability to Provide Services (July 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that the Fallen Leaf Lake Community Services District (Fallen Leaf Lake) has an electorate of sufficient size from which it can elect members to its board, the Legislature should enact legislation to allow landowners and holders of U.S. Forest Service permits within Fallen Leaf Lake, along with otherwise domiciled registered voters in Fallen Leaf Lake, to vote on district matters and serve on the board.	Legislature	No Action Taken
2. To help voters in special districts elect full-size boards of directors and to help special district boards avoid quorum issues and service disruptions, the Legislature should amend state law to require a local agency formation commission to assess whether an electorate is of sufficient size when it considers creating or modifying a special district.	Legislature	No Action Taken
6. To ensure that Fallen Leaf Lake complies with the reimbursement terms of the fire agreement and does not claim excessive reimbursement amounts, the Fallen Leaf Lake board, by September 15, 2019, should create and implement a policy governing the reimbursement rate the fire chief claims for paid and recruit firefighters who participate on strike team assignments under the fire agreement. Additionally, the Fallen Leaf Lake board should review and approve the annual salary form before the fire chief submits it to the California Office of Emergency Services (Cal OES).	Fallen Leaf Lake Community Services District	Resolved
7. To rectify the excessive reimbursement amounts it received for strike team assignments, Fallen Leaf Lake should, by December 31, 2019, develop and implement a plan for returning to the paying agencies the excessive reimbursements it received for 2016 through 2018.	Fallen Leaf Lake Community Services District	Pending
8. To rectify the excessive reimbursement amounts it received for strike team assignments, Fallen Leaf Lake should, by December 31, 2019, work with Cal OES to identify the amounts of excess reimbursements Fallen Leaf Lake received for 2013 through 2015 and then develop and implement a plan for returning those amounts to the paying agency.	Fallen Leaf Lake Community Services District	Pending
9. To ensure that it complies with all applicable labor and wage laws, Fallen Leaf Lake should, by September 15, 2019, seek advice from appropriate experts, such as legal counsel and tax advisors, regarding the proper characterization and compensation of its recruit firefighters. It should develop and implement a policy in this area that meets all applicable requirements.	Fallen Leaf Lake Community Services District	Fully Implemented

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8. To improve its financial viability and safeguard its ability to continue providing services to the Fallen Leaf Lake community, Fallen Leaf Lake should, by December 31, 2019, monitor the financial risks it may face in the future, forecast their impact on its finances and budget, and plan and implement appropriate changes to its budget as necessary throughout the fiscal year.	Fallen Leaf Lake Community Services District	Pending
9. To improve its financial viability and safeguard its ability to continue providing services to the Fallen Leaf Lake community, Fallen Leaf Lake should, by December 31, 2019, limit the extent to which it relies on volatile revenue sources to balance its budget.	Fallen Leaf Lake Community Services District	Pending
10. To improve its financial viability and safeguard its ability to continue providing services to the Fallen Leaf Lake community, Fallen Leaf Lake should, by December 31, 2019, develop and implement a budget plan that realistically estimates changes in revenues and expenditures, and identifies approaches to address such changes.	Fallen Leaf Lake Community Services District	Pending
11. To improve its financial viability and safeguard its ability to continue providing services to the Fallen Leaf Lake community, Fallen Leaf Lake should, by December 31, 2019, develop a five-year forecast of estimated revenues and expenditures and a plan to guide its decisions and actions in the event of fluctuations.	Fallen Leaf Lake Community Services District	Pending

### Report Number 2019-102

#### *Department of Industrial Relations: Its Failure to Adequately Administer the Qualified Medical Evaluator Process May Delay Injured Workers' Access to Benefits (November 2019)*

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that Division of Workers Compensation (DWC) maintains a sufficient supply of qualified medical evaluators (QMEs) and appropriately compensates these individuals, the Legislature should amend state law to specify that DWC review and, if necessary, update the medical-legal fee schedule at least every two years based on inflation. DWC's review of the medical-legal fee schedule should be separate from its review of the Official Medical Fee Schedule.	Legislature	*
2. To reduce the delays that replacement panels cause in resolving workers' compensation claims, the Legislature should revise state law to increase the number of QMEs on the panels DWC provides. Specifically, unrepresented employees should continue to choose from a panel of three QMEs, and represented employees should be provided with a panel of five QMEs, of whom the employee and the employer can each strike one, leaving both parties with the same number of QMEs to choose from as unrepresented employees. The party—the worker or the employer—that did not request the panel would select the final QME. If the selected QME is unavailable, the parties would then select from among the two remaining QMEs until they find one that is available.	Legislature	*
3. To ensure that DWC appoints enough QMEs to keep up with the demand for QME services, it should, by April 2020, develop and implement a plan to increase the number of QMEs commensurate with demand. The plan should describe how DWC will actively recruit for and increase the pool of QMEs, prioritizing specialties with the greatest shortages relative to demand. It should also use QME data trends to project the necessary QME supply to meet demand. The plan should include continuing negotiation with medical groups to allow their physicians to become QMEs, as well as establishing goals for recruiting new QMEs in specific specialties.	Department of Industrial Relations	*
4. To ensure consistency and transparency in overseeing QMEs, DWC should, by April 2020, develop and implement written policies and procedures that define and specify its internal processes for disciplining QMEs, including timelines for taking disciplinary action and for scheduling hearings or responding to settlement proposals.	Department of Industrial Relations	*
5. To ensure consistency and transparency in overseeing QMEs, DWC should, by April 2020, develop and implement written policies and procedures that define its internal process for reappointing QMEs and how that process should proceed if any disciplinary investigations are pending.	Department of Industrial Relations	*
6. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create and implement a plan to continuously review the quality and timeliness of QME reports, including time frames for review, methodology for selecting reports to review, and the minimum number of reports to be reviewed annually.	Department of Industrial Relations	*

7. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, develop and implement a process for annually reporting to DWC's administrative director its findings on the quality and timeliness of QME reports and recommended improvements to the QME system.	Department of Industrial Relations	*
8. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create written policies and implement a consistent process for ensuring that workers' compensation judges and the Appeals Board inform DWC of QME reports they rejected for not meeting minimum standards.	Department of Industrial Relations	*
9. To ensure that DWC monitors and reviews QME report quality and timeliness and to ensure the efficient resolution of workers' compensation claims, DWC should, by April 2020, create written policies and implement a process for tracking QME reports rejected by workers' compensation judges and the Appeals Board for not meeting minimum standards. DWC should consider and include these reports in its annual review of report quality and recommend improvements to the QME system.	Department of Industrial Relations	*

**Report Number 2019-106**

**Workers' Compensation Insurance: Some State Agencies Are Paying Millions of Dollars More Than Necessary to Provide Benefits to Their Employees (November 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
1. To ensure that all state agencies provide workers' compensation in the most cost-effective manner, CalHR should provide each agency that purchases workers' compensation insurance with a cost-benefit analysis every five years that compares the cost of purchasing this insurance through State Compensation Insurance Fund (SCIF) with the cost of obtaining coverage through the master agreement. It should begin providing these analyses to state agencies no later than six months after the Legislature gives it authority to request the necessary information from these agencies.	California Department of Human Resources	*
2. To ensure that state agencies have adequate time to review settlement requests and provide settlement authority, SCIF should create and follow a policy by May 2020 to provide settlement authorization requests to agencies at least 30 days before settlement conferences.	State Compensation Insurance Fund	*
3. To ensure CalHR has the data necessary to compare insurance and master agreement costs for agencies using SCIF insurance policies, the Legislature should give CalHR the authority to obtain that information.	Legislature	*

**Report Number 2019-103**

**Emergency Planning: California Is Not Adequately Prepared to Protect Its Most Vulnerable Residents From Natural Disasters (December 2019)**

RECOMMENDATION	ENTITY	STATUS OF RECOMMENDATION
2. To best prepare to protect and care for people with access and functional needs, the county should revise its emergency plans by following the best practices that we included in our report. The county should begin implementing these practices as soon as possible. By no later than March 2020, the county should develop a schedule for completing updates to its emergency plans.	Butte County	*
3. To best prepare to protect and care for people with access and functional needs, the county should revise its emergency plans by following the best practices that we included in our report. The county should begin implementing these practices as soon as possible. By no later than March 2020, the county should develop a schedule for completing updates to its emergency plans.	Sonoma County	*

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4. To best prepare to protect and care for people with access and functional needs, the county should revise its emergency plans by following the best practices that we included in our report. The county should begin implementing these practices as soon as possible. By no later than March 2020, the county should develop a schedule for completing updates to its emergency plans.	Ventura County	*
5. To ensure that the county maintains updated emergency plans that are consistent with current best practices, the county should adopt ordinances establishing requirements for the frequency with which the county must update its emergency plans and should set that frequency at no greater than five years.	Butte County	*
6. To ensure that the county maintains updated emergency plans that are consistent with current best practices, the county should adopt ordinances establishing requirements for the frequency with which the county must update its emergency plans and should set that frequency at no greater than five years.	Sonoma County	*
7. To ensure that the county maintains updated emergency plans that are consistent with current best practices, the county should adopt ordinances establishing requirements for the frequency with which the county must update its emergency plans and should set that frequency at no greater than five years.	Ventura County	*
8. To ensure that the county's emergency planning efforts more fully account for people with access and functional needs in the future, the county should adopt county ordinances that require the county's emergency managers to do the following during each update to the county's emergency plans: <ul style="list-style-type: none"> <li>• When planning to protect people with access and functional needs, adhere to the best practices and guidance that the Federal Emergency Management Agency (FEMA), Cal OES, and other relevant authorities have issued.</li> <li>• Report publicly to the boards of supervisors during emergency planning about the steps they have taken to address access and functional needs.</li> <li>• Consult periodically with a committee of community groups that represent people with a variety of access and functional needs. Further, the county should require that representatives of the community group committees present to the board of supervisors their review of the adequacy of the emergency plans.</li> </ul>	Butte County	*
9. To ensure that the county's emergency planning efforts more fully account for people with access and functional needs in the future, the county should adopt county ordinances that require the county's emergency managers to do the following during each update to the county's emergency plans: <ul style="list-style-type: none"> <li>• When planning to protect people with access and functional needs, adhere to the best practices and guidance that FEMA, Cal OES, and other relevant authorities have issued.</li> <li>• Report publicly to the boards of supervisors during emergency planning about the steps they have taken to address access and functional needs.</li> <li>• Consult periodically with a committee of community groups that represent people with a variety of access and functional needs. Further, the county should require that representatives of the community group committees present to the board of supervisors their review of the adequacy of the emergency plans.</li> </ul>	Sonoma County	*
10. To ensure that the county's emergency planning efforts more fully account for people with access and functional needs in the future, the county should adopt county ordinances that require the county's emergency managers to do the following during each update to the county's emergency plans: <ul style="list-style-type: none"> <li>• When planning to protect people with access and functional needs, adhere to the best practices and guidance that FEMA, Cal OES, and other relevant authorities have issued.</li> <li>• Report publicly to the boards of supervisors during emergency planning about the steps they have taken to address access and functional needs.</li> <li>• Consult periodically with a committee of community groups that represent people with a variety of access and functional needs. Further, the county should require that representatives of the community group committees present to the board of supervisors their review of the adequacy of the emergency plans.</li> </ul>	Ventura County	*

\* 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)