

December 17, 2021

Keely Martin Bosler, Director  
California Department of Finance  
915 L Street  
Sacramento, CA 95814

Dear Director Keely Martin Bosler,

In accordance with the State Leadership Accountability Act (Leadership Accountability), the Office of the Inspector General submits this report on the review of our internal control and monitoring systems for the biennial period ending December 31, 2021.

Should you have any questions please contact Lindsay Harris, Deputy Inspector General, Senior, at (916) 591-8470, [harrisl@oig.ca.gov](mailto:harrisl@oig.ca.gov).

## **GOVERNANCE**

### **Mission and Strategic Plan**

The Office of the Inspector General (OIG) was established by the Legislature in 1994 to review the policies and procedures of the Youth and Adult Correctional Agency, now the California Department of Corrections and Rehabilitation (CDCR). In 1998, following legislative hearings that revealed widespread abuse in the State's correctional system, the Legislature expanded the OIG's duties and transformed the OIG into an independent agency. In 2011, a series of legislative actions refined the statutory mandates, and in 2019 legislative actions expanded the OIG authority and monitoring activities. The OIG's legal authority can be found in Penal Code sections 2641 and 6125-6141.

The OIG's mission is to safeguard the integrity of the State's correctional system by providing oversight and transparency through monitoring, reporting, and recommending improvements on policy and practices of CDCR. The OIG accomplishes that mission by conducting ongoing system monitoring, and select reviews of policies, practices, and procedures of the CDCR. The OIG's primary responsibilities include the following:

- Provide contemporaneous oversight of internal affairs investigations and the disciplinary process of the CDCR.
- Monitor use-of-force reviews conducted by CDCR and respond to critical incidents within the institutions.
- Review the qualifications and backgrounds of the Governor's candidates for appointment to serve as wardens in the state's prisons and as superintendents for the state's juvenile facilities, and provide the Governor with a recommendation as to the qualifications of the candidate.
- Conduct an objective, clinically appropriate, and metric-oriented medical inspection program to periodically review delivery and quality of medical care at each state prison.

- Maintain a statewide intake function to receive communications from any individual regarding allegations of improper activity within the CDCR, and initiate a review of improper activity.
- Assess retaliation and whistleblower complaints submitted by CDCR employees against a member of CDCR management.
- Chair and direct the California Rehabilitation Oversight Board (C-ROB). Conduct biannual CROB meetings to examine CDCR's various mental health, substance abuse, educational, and employment programs for incarcerated persons and parolees.
- Review the mishandling of sexual abuse incidents within correctional institutions, maintain the confidentiality of sexual abuse victims, and ensure impartial resolution of incarcerated persons' and wards' sexual abuse complaints.
- Perform audits and reviews of departmental policies, practices, and procedures.
- Provide contemporaneous oversight of the department's process for reviewing and investigating incarcerated persons' allegations of staff misconduct.

Through its various monitoring functions, the OIG continues to provide value to the state and transparency to the functioning of the CDCR. Office of the Inspector General staff continue to maintain a presence within the state's prisons and juvenile facilities, conducting real-time monitoring and recommendations to improve correctional operations while protecting the interests of the taxpayers.

## **Control Environment**

The OIG management has an effective control environment in various manners, but especially by emphasizing to the agency's employees the importance of integrity in fulfilling the agency's mission and also by maintaining a competent workforce. Foremost, OIG management instills in the office's employees the importance of integrity and ethical values, especially given the OIG's mission in overseeing the operations of the California Department of Corrections and Rehabilitation and providing transparency of those operations to the public. In fact, the first sentence of the OIG's Administrative Policy Manual, which all employees are required to read and acknowledge in writing, is that the "mission of the Office of the Inspector General is to promote integrity in the state's correctional system. Every employee of the Office of the Inspector General has a critical responsibility to maintain the public trust necessary to accomplish the OIG's mission." The head of the agency, the Inspector General, works very closely with his executive team to effectuate this goal and oversees the work of the office's employees. Furthermore, the Inspector General maintains an open line of communication with his employees. The OIG is organized by areas of responsibility such as Medical Inspections or Information Technology, and has established supervisors and managers over each area. The OIG publishes its Administrative Policy Manual and organizational chart on its internal network.

To further establish an effective control environment, the OIG places emphasis on maintaining a competent workforce. Due to nature of the agency's work, most OIG employees, especially its attorneys, physicians, and inspectors, join the agency with years of experience in their chosen field. The OIG conducts an extensive internal on-the-job training program and sends its employees to trainings with outside vendors in order to maintain and increase competency and proficiency. To further this goal, the OIG is in the process of finalizing an academy for employees in order to maintain and increase staff competency. Also, OIG supervisors and managers provide recurring assessment

of employee work performance on a regular basis, including in probation reports, performance appraisal summaries, and regular meetings.

### **Information and Communication**

The Business Intelligence Team collects and maintains internal and external comparative statistics and performance metrics that are shared regularly with management, supervisors, and staff. In addition, the OIG publishes reports and provides interactive graphics on its website Data Explorer to communicate with external stakeholders.

Employees have various venues within to report any violations or perceived ethical violations or breaches of integrity. Employees may report this information to supervisors, managers, the office's Legal Unit, or directly to the executive team. This information is then documented in order to appropriately resolve the matter. Additionally, employees may report this information to outside entities, such as the State Personnel Board.

### **MONITORING**

The information included here discusses the entity-wide, continuous process to ensure internal control systems are working as intended. The role of the executive monitoring sponsor includes facilitating and verifying that the Office of the Inspector General monitoring practices are implemented and functioning. The responsibilities as the executive monitoring sponsor(s) have been given to: Riley Viveiros, Deputy Inspector General ; Lindsay Harris, Deputy Inspector General, Senior; and Amarik Singh, Inspector General.

The Business Intelligence Team collects comparative statistics and performance metrics for OIG units that are shared with supervisors and managers regularly. Regular distribution of these reports ensures accountability among managers and executive staff, and ensures managers and executive staff are made aware of potential agency risks. The executive monitoring sponsor works directly with executive staff and the Business Intelligence Team supervisor to collaborate on trends and adequately assess any new or on-going risks to the agency. Supervisors use comparative statistics and performance metrics for their areas of responsibility to identify issues and adapt work processes and staffing as needed, then monitor progress using recurring reports.

### **RISK ASSESSMENT PROCESS**

The following personnel were involved in the Office of the Inspector General risk assessment process: executive management, middle management, front line management, and staff.

The following methods were used to identify risks: brainstorming meetings, ongoing monitoring activities, other/prior risk assessments, questionnaires, consideration of potential fraud, and performance metrics.

The following criteria were used to rank risks: likelihood of occurrence, potential impact to mission/goals/objectives, timing of potential event, and tolerance level for the type of risk.

The OIG performed the risk assessment using a control self-assessment process. The Inspector General initially discussed the SLAA reporting requirements and the risk assessment process with members of the OIG leadership team (managers and supervisors) and asked that the leadership team

reflect on the risks inherent within the business objectives for which they are responsible. The executive monitoring sponsor then asked the manager(s) or supervisor(s) of each unit to identify existing conditions presenting potential risks that could prohibit the OIG from meeting its current business objectives and responsibilities using the risk aggregation worksheets provided by the Department of Finance. The executive monitoring sponsor and executive leadership then reviewed the identified risks. The executive leadership team also reevaluated previously reported risks to determine if they are still risks to the agency today.

## **RISKS AND CONTROLS**

### **Risk: Recruitment Efforts**

Due to prohibitive minimum qualifications for positions, limited upward mobility, and less competitive benefits, the OIG has difficulty recruiting and filling existing positions, which impacts OIG operations.

#### **Control: Nontraditional Avenues for Recruitment**

OIG will explore nontraditional recruitment avenues such as networking opportunities, word-of-mouth, and focused recruitment to individuals likely to meet position qualifications. Further, the OIG will work with control agencies to review salary and qualification requirements for OIG positions.

### **Risk: Limited Resources Impacting Reporting**

Due to limited resources, we are unable to sufficiently oversee some departmental operations and are not always able to provide stakeholders with timely reports.

#### **Control: Communicate Adjusted Report Release Timelines to Stakeholders**

The OIG will evaluate workload priorities and communicate adjusted report release timelines to stakeholders, as necessary.

#### **Control: Explore Funding Mechanisms**

The OIG will explore funding mechanisms available to increase resources available to the agency.

### **Risk: Information Technology**

In response to the COVID-19 pandemic, the OIG moved to a primarily telework environment, which changed the OIG's operations. Consequently, the OIG faces challenges in maintaining information security and continuity of operations.

#### **Control: Improve Bandwidth**

The OIG will encourage employees to take advantage of change in policy which allows use of a home broadband connection.

### **Control: Help Desk Knowledgebase**

The Information Technology Unit developed and is continuously adding to a knowledgebase of articles to guide users in independently troubleshooting technological issues or performing technical tasks.

### **Control: Training**

The OIG intends to provide technical training to its teleworkers to improve technical expertise and increase efficiency. The OIG will require teleworkers to demonstrate that they possess core computer competency skills or to take training to acquire the necessary technical skills needed to become fully productive.

### **Control: Information Security Maintenance**

To maintain baseline security for teleworkers' computing assets, the OIG will require that teleworkers will bring their equipment to the office on at least a monthly basis to patch and update applications and operating systems. Teleworkers who have chosen to use their home broadband connection will not be subject to this requirement.

## **CONCLUSION**

The Office of the Inspector General strives to reduce the risks inherent in our work and accepts the responsibility to continuously improve by addressing newly recognized risks and revising risk mitigation strategies as appropriate. I certify our internal control and monitoring systems are adequate to identify and address current and potential risks facing the organization.

**Amarik Singh, Inspector General**

CC: California Legislature [Senate (2), Assembly (1)]  
California State Auditor  
California State Library  
California State Controller  
Director of California Department of Finance  
Secretary of California Government Operations Agency