



# 2021 STATE LEADERSHIP ACCOUNTABILITY ACT

December 31, 2021



January 05, 2022

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 Board of State and Community Corrections 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 Anita Butler, Chief, Administrative Services, at (916) 327-4210, [Anita.Butler@bscc.ca.gov](mailto:Anita.Butler@bscc.ca.gov).

## **GOVERNANCE**

### **Mission and Strategic Plan**

Established in 2012, the California Board of State and Community Corrections (BSCC) is an independent statutory agency that provides leadership to the adult and juvenile criminal justice systems, expertise on Public Safety Realignment issues, a data and information clearinghouse, and technical assistance on a wide range of community corrections issues (Penal Code sec. 6024-6025). In addition, the BSCC promulgates regulations for adult and juvenile detention facilities, conducts regular inspections of those facilities, develops standards for the selection and training of local corrections and probation officers, and administers significant public safety-related grant funding.

The BSCC inspects for compliance of standards and directs funding for construction of local adult and juvenile detention facilities and ensures that the local jail projects meet recent Legislative mandates to provide program space for rehabilitative services.

The BSCC's work involves extensive collaboration with stakeholders, including local probation departments, sheriffs, county administrative offices, justice system partners, community-based organizations, and others. The BSCC sets standards and provides training for local adult and juvenile corrections and probation officers. It is also the administering agency for a host of federal and state public safety grants, including evidence-based practices to reduce violence, and it works to address the overrepresentation of youth of color in the juvenile justice system.

Policy for the agency is set by the 13-member Board of State and Community Corrections, whose members are prescribed by statute, appointed by the Governor and the Legislature, and subject to approval by the state Senate. The Board Chair reports directly to the Governor.

Below are the goals and objectives identified in the BSCC's Strategic Plan.

**Goal 1: Decision Making** – Make decisions fairly, inclusively, and transparently.

Objectives:

1. Improve regular and open communication with BSCC partners and stakeholders.
2. Ensure a fair, inclusive, and transparent decision-making process.

**Goal 2: Programs, Training, and Technical Assistance** – Support practices and policies shown to reduce recidivism and improve justice system outcomes for individuals and families.

Objectives:

1. Facilitate the effective use of evidence-based principles within the criminal justice system.
2. Provide comprehensive technical assistance and training to support improved justice system outcomes.
3. Support local efforts that reduce recidivism and improve justice system outcomes.

**Goal 3: Facilities and Alternatives to Incarceration** – Maximize successful re-entry and public safety by promoting the effective use of alternatives to incarceration and local adult and juvenile detention facilities.

Objectives:

1. Provide training, technical assistance, and resources to support the use of effective programs and practices, including but not limited to in-custody programs, medical and mental health treatment, and alternatives to incarceration.
2. Support the use of effective policies and regulations to support healthy and safe in custody environments and successful re-entry.

**Goal 4: Data Collection and Reporting** – Analyze and provide justice system data that inform effective policy and practice decisions.

Objectives:

1. Develop a comprehensive data collection and research plan that includes desired outcomes.
2. Collect and share data, research projects, and reports to inform decision and policy makers.

**Goal 5: Internal** – Streamline and improve internal and administrative processes.

Objectives:

1. Improve BSCC's technology infrastructure to effectively support daily operations.
2. Clarify and focus BSCC's services.
3. Develop an internal communication plan.

## Control Environment

The management team consists of the Board of State and Community Corrections Chair, Executive Director, General Counsel, Director of Communications, and four (4) Deputy Directors.

The management team sets the foundation, standards, and tone for the organization and its employees by modeling competence, ethical behavior, integrity, morale, and transparency.

The management team ensures there is clear assignment of authority and duties throughout the Department; ensures appropriate levels of responsibility through the organizational structure, supports a positive and productive business environment, and maintains documentation of internal control systems.

The BSCC is comprised of approximately 106 employees in varying classifications (e.g., Board Chair, Executive Director, Deputy Directors, Field Representatives, managers, supervisors, analysts, and support staff).

The BSCC recruits, develops, and retains a competent workforce by hiring qualified staff, providing mentoring and training, completing employee performance reviews, ensuring supervisors and employees meet individually and in group/team settings, and hosting all staff meetings.

The BSCC addresses accountability and considers varying goals, objectives, and challenges throughout the performance review process; and as issues arise.

### **Information and Communication**

The BSCC communicates roles, activities, issues, and results internally through its chain of command. Roles are defined through duty statements, and the organizational chart displays the chain of command, and is made available to every employee. The BSCC Deputy Directors hold regular all-staff meetings to communicate issues to their staff. If certain issues affect multiple divisions, division all-staff meetings are supplemented with BSCC all-staff meetings and agency-wide emails.

BSCC staff report inefficiencies, issues, and recommendations to management and other decision makers during one-on-one meetings, in team meetings, and/or via e-mail.

The BSCC communicates important information to external stakeholders through e-mails, the BSCC website, and various meetings including Board Meetings, Executive Steering Committee Meetings, Regional Meetings, etc.

### **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 Board of State and Community Corrections monitoring practices are implemented and functioning. The responsibilities as the executive monitoring sponsor(s) have been given to:

Kathleen Howard, Executive Director.

As the head of the Board of State and Community Corrections, Kathleen Howard, Executive Director, is responsible for the overall establishment, maintenance, and revisions of the internal control and monitoring systems.

The management team has the primary responsibility for maintaining effective systems of internal controls. The management team meets weekly, and each meeting includes a discussion of risks, internal controls, and resource management. The Deputy Directors report on key performance indicators for their respective divisions to the Executive Director. In addition, the Deputy Directors update the management team on internal control issues that need to be discussed and addressed. As a group, the management team discusses potential solutions or mitigation strategies to such issues as

they arise.

The Deputy Director has the primary responsibility of monitoring internal control systems within their divisions. This is accomplished through one-on-one meetings with direct reports, subject matter experts, and monthly all-staff meetings, as well as tracking key performance indicators for the division.

The management team discusses vulnerabilities in weekly meetings. The vulnerabilities are assessed for the level of risk posed to the organization, as well as the efficacy of the current internal controls that address the risk.

If the internal controls do not adequately mitigate the risk, responsibility for addressing the deficiency is assigned to the Deputy Director who oversees the impacted function. The Deputy Director generates solutions with the advice of the BSCC management team and is responsible for implementing those solutions. The Deputy Director then monitors and reports on the progress of reducing the identified vulnerability to the management team during their meetings.

## **RISK ASSESSMENT PROCESS**

The following personnel were involved in the Board of State and Community Corrections risk assessment process: executive management, middle management, front line management, and staff.

The following methods were used to identify risks: brainstorming meetings, employee engagement surveys, ongoing monitoring activities, audit/review results, other/prior risk assessments, external stakeholders, questionnaires, consideration of potential fraud, performance metrics, and other.

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

### **Additional Risk Assessment Description**

## **RISK AND CONTROLS**

- Management designs control activities to achieve objectives and respond to risks.
- Information systems and control activities are designed to achieve objectives and respond to risks.
- Control activities are implemented and documented in policies, procedures, or other similar documentation.

## **RISKS AND CONTROLS**

### **Risk: Risk #1: Operations-Internal – Pandemic, Pandemic**

#### **Risk #1: Operations-Internal – Pandemic, Pandemic Related Response**

Due to the COVID-19 Pandemic, all BSCC employees have been teleworking, per the agency's Emergency Telework Protocol. During this time, all personnel related documents that would normally require a wet signature and be hand-delivered to the BSCC's Personnel Liaison for processing, are now being signed and submitted electronically via e-mail.

Although it is not uncommon to receive e-mails from employees' personal e-mail accounts, the BSCC has identified the need to verify the validity of these documents in order to mitigate and avoid fraud risks.

**Control: Control A**

In order to mitigate the risk of fraud, the BSCC has implemented a process to verify the validity of all electronically submitted personnel documents sent from an e-mail address other than the employee's assigned BSCC email address. Upon receipt, the Personnel Liaison will call the employee to verify validity of the documents and then follow up with an e-mail to the employee's official BSCC e-mail account confirming the employee submitted the request. Once the employee confirms that the request is valid, the Personnel Liaison will forward the document to Human Resources for processing.

The validation process will ensure electronically submitted personnel documents are submitted by a legitimate BSCC employee.

**Risk: Risk 2: Working in a Remote Environment**

**Risk 2: Pandemic, Pandemic Related Response: Working in a Remote Environment**

With the COVID-19 pandemic of 2020, the workforce has primarily shifted into a telework environment. As a result, the BSCC had to transition all of its staff to a secure, remote ready work setting, providing them the necessary equipment and training on how to properly use it in the new telework environment.

A major component of this was ensuring that all staff were able to have the mobility to work remotely from varying locations as the situation was so fluid, anything static would become a detriment to the BSCC's work capabilities.

Potential risks of allowing for a telework and hybrid environment included the securing of equipment physically, as everyone's personal workspace is different. Additionally, the BSCC needed to ensure its IT Unit had the necessary resources to deploy security patches, identify phishing attempts, share updates, access software remotely, and remotely troubleshoot technical issues without requiring staff to come into the office and potentially compromise their health. Moreover, this new remote environment posed additional cyber-security vulnerabilities that the IT Unit needed to identify and remediate to avoid potential security risks and resolve issues.

**Control: Control A**

IT quickly procured the necessary equipment to provide all staff the ability to work flexibly and with the modularity to work from various locations and allow for an ease of transition to a hybrid work environment in the future. Further, software has been implemented that allows for the remote support, patching, and updating of BSCC equipment.

**Control: Control B**

In response to the new telework environment, BSCC IT ensured that its systems (endpoints and servers) aligned with state standards. IT completed this by making the necessary configuration and policy changes which complied with the California Department of Military's assessment and new

emerging state standards.

**Risk: Risk 3: Key Person Dependence, Workforce Planning**

**Risk 3: Key Staff Person Dependence**

On February 1st, 2021, the BSCC's Chief Information Officer (CIO) accepted a promotion at another state agency. This position served not only in the CIO capacity but also as the IT manager and lead IT project manager for all BSCC IT operations. While there are many talented IT staff at the BSCC, not having a dedicated role of IT leadership created a gap in guidance and direction for the agency's IT needs. Further, assignments and workloads needed to be redistributed as the duties of the CIO needed to be temporarily shared between existing IT staff. It was imperative the manager vacancy be filled expeditiously.

**Control: Control A**

The BSCC worked quickly to fill the vacancy. In the interim, IT staff were cross trained internally which allowed them to obtain a wider breadth of knowledge and cover additional assignments that were within their purview. It also allowed the work to be distributed more evenly. The BSCC filled the vacancy in May 2021 after posting the job announcement, screening, and interviewing eligible candidates. The new manager was onboarded quickly and has already made an indelible mark on the IT Unit and agency.

**CONCLUSION**

The Board of State and Community Corrections 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.

**Kathleen Howard, Executive Director**

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