



2025 REPORT TO THE LEGISLATURE

COMPLIANCE REVIEW AND SPECIAL INVESTIGATION ACTIVITIES

Prepared by

State Personnel Board

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BACKGROUND

On July 1, 2012, the Governor's Reorganization Plan #1 (GRP1) of 2011 consolidated all of the functions of the Department of Personnel Administration and the merit-related transactional functions of the State Personnel Board (SPB) into the Department of Human Resources (CalHR). Many of SPB's programs transferred to the CalHR along with the associated staff and funding. In addition, the SPB's administrative functions (accounting, business services, human resources, etc.), were transferred to the CalHR. The CalHR staff is now charged with providing these services to the SPB.

The GRP1 recognized and preserved the SPB's exclusive constitutional authority to administer the merit system. As a result, in addition to retaining the Appeals Division, the GRP1 created a Compliance Review Division (CRD) at the SPB to conduct reviews of departmental merit-related practices to ensure compliance with laws, rules, and Board policy. The CRD performs standard reviews on a three-year cycle of five major areas: examinations, appointments, equal employment opportunity (EEO), personal services contracts (PSC), and mandated training. The CRD also conducts special investigations of certain departments' personnel practices as determined by the Board. Special investigations may be initiated in response to a specific request or when the SPB obtains information suggesting a potential merit-related violation.

Pursuant to Government Code section 18502, subdivision (c), CalHR and SPB may "delegate, share, or transfer between them responsibilities for programs within their respective jurisdictions pursuant to an agreement." CalHR and SPB, by mutual agreement, expanded the scope of program areas to be audited to include more operational practices that have been delegated to departments and for which CalHR provides policy direction. Many of these delegated practices are cost drivers to the state and not monitored on a consistent, statewide basis.

As such, SPB also conducts compliance reviews on behalf of CalHR of appointing authorities' personnel practices to ensure that state departments are appropriately managing the following non-merit-related personnel functions: compensation and pay, leave, and policy and processes. These reviews will help to avoid and prevent potential costly litigation related to improper personnel practices and deter waste, fraud, and abuse.

Government Code section 18662, subdivision (e), provides in part, "the board shall report to the Chairperson of the Joint Legislative Budget Committee the audit and special investigation activities of the Board pursuant to this article from the preceding fiscal year. The Board shall include in the report the following information:

- (1) A summary of each audit and special investigation, including findings.

(2) The number and total cost of audits and special investigations, by department.”

This report describes the compliance review and special investigation activities of the CRD from July 1, 2024, to June 30, 2025. The report summarizes the compliance review and special investigation findings by state department and includes the numbers and total cost of compliance reviews and special investigations by state department in compliance with the statute cited above.

The CRD continues to post review findings and consult with departments during reviews to educate departments regarding appropriate personnel practices.

Since it started reviewing departments in 2012, the CRD has been able to identify common and repetitious findings. The CRD makes recommendations to CalHR to provide more guidance to departments on common and repetitious findings. The CRD also recommends that departments with repeated findings face further corrective action, including but not limited to mandated training, additional monitoring, voided examinations or appointments, and revocation or modification of delegated agreements.

FACTORS TO CONSIDER WHEN READING THIS REPORT

- Severity denotes the importance of the area reviewed, not the degree of non-compliance for the reviewed area.
- A department can be found to be out of compliance in a review area if there is just one deficiency.
- Since the CRD has been conducting reviews, there have been improvements overall in certain areas i.e., fewer salary mistakes, fewer applications with EEO data attached, and more employees in compliance with required training.¹
- CRD staff continually provide technical assistance to departments to facilitate compliance in a specific area.

¹ Departments who have invested in a Learning Management System (LMS) have been more successful in meeting training and performance evaluation requirements.

INDEX OF REVIEWED AREAS²

Department		Appointments	Compensation & Pay	EEO	Examinations	Leave	Mandated Training	Personal Services Contracts	Policy
1	Board of Equalization	X	X	X	X	X	X	N/A	X
2	California Arts Council	X	X	X	N/A	X	X	X	X
3	California Correctional Health Care Services	X	X	X	X	X	X	N/A	X
4	California Department of Human Resources	X	X	X	N/A	X	X	X	X
5	California Energy Commission	X	X	X	X	X	X	X	X
6	California Health and Human Services Agency	X	X	X	X	X	X	N/A	X
7	California High Speed Rail Authority	X	X	X	X	X	X	X	X
8	California Housing Finance Agency	X	X	X	X	X	X	N/A	X
9	California Office of Environmental Health Hazard Assessment	X	X	X	X	X	X	X	X
10	California Science Center	X	X	X	X	X	X	X	X
11	California State Lottery	X	X	X	X	X	X	X	X
12	California State Teachers' Retirement System	X	X	X	X	X	X	X	X
13	California Tax Credit Allocation Committee	X	X	X	X	X	X	X	X
14	California Transportation Commission	X	X	X	X	X	X	X	X
15	California Victim Compensation Board	X	X	X	X	X	X	X	X
16	Delta Stewardship Council	X	X	X	N/A	X	X	X	X
17	Department of Aging	X	X	X	X	X	X	X	X
18	Department of Child Support Services	X	X	X	X	X	X	X	X
19	Department of Finance	X	X	X	X	X	X	X	X
20	Department of Financial Protection and Innovation	X	X	X	X	X	X	X	X
21	Department of General Services	X	X	X	X	X	X	X	X
22	Department of Health Care Access and Information	X	X	X	X	X	X	X	X
23	Department of Justice	X	X	X	X	X	X	X	X
24	Department of Parks and Recreation	X	X	X	X	X	X	X	X
25	Department of Pesticide Regulation	X	X	X	X	X	X	X	X
26	Department of Social Services	X	X	X	X	X	X	X	X
27	Department of State Hospitals	X	X	X	X	X	X	X	X
28	Department of Tax and Fee Administration	X	X	X	X	X	X	X	X
29	Department of Technology	X	X	X	X	X	X	X	X

² Not all areas are reviewed for all departments due to a variety of factors, including exemptions under existing law, or no activities under the specific area were conducted by the appointing authority. Findings by area are listed in Appendix A.

Department		Appointments	Compensation & Pay	EEO	Examinations	Leave	Mandated Training	Personal Services Contracts	Policy
30	Department of Toxic Substances	X	X	X	X	X	X	X	X
31	Financial Information System for California	X	X	X	X	X	X	X	X
32	Government Operations Agency	X	X	X	X	X	X	X	X
33	Labor & Workforce Development Agency	X	X	X	N/A	X	X	N/A	X
34	Office of Administrative Law	X	X	X	N/A	X	X	N/A	X
35	Office of Energy Infrastructure Safety	X	X	X	N/A	X	X	X	X
36	Office of Tax Appeals	X	X	X	X	X	X	X	X
37	Office of the Inspector General	X	X	X	N/A	X	X	X	X
38	Public Employment Relations Board	X	X	X	X	X	X	N/A	X
39	Scholarshare Investment Board	X	X	X	X	X	X	X	X
40	State Water Resources Control Board	X	X	X	X	X	X	X	X

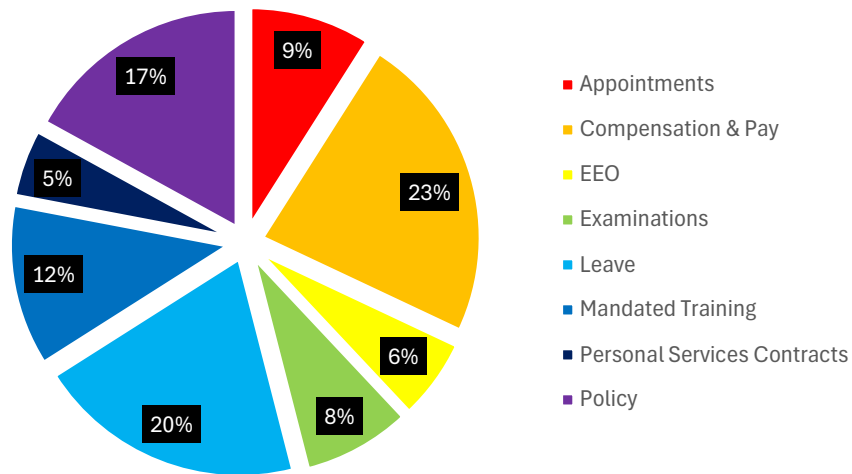
Key:
EEO = Equal Employment Opportunity
PSC = Personal Services Contracts
Policy = Policy and Processes

X Signifies that a review of the area was conducted.
N/A Signifies that a review of the area was not conducted

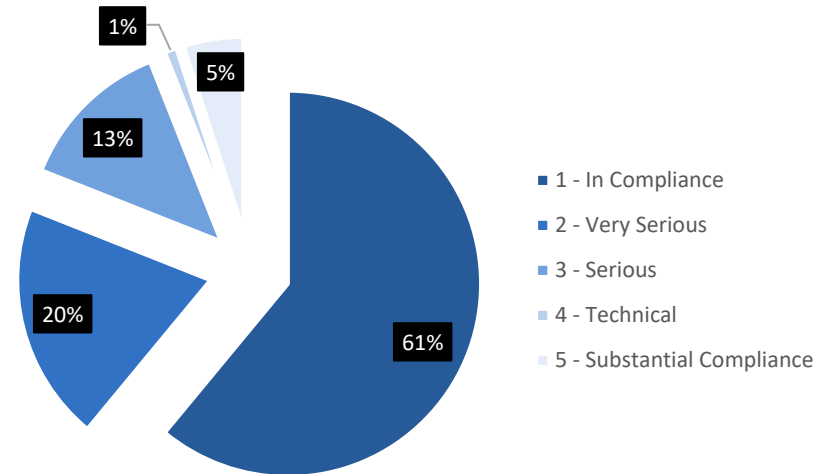
SUMMARY OF COMPLIANCE REVIEW FINDINGS

From July 1, 2024, to June 30, 2025, (FY 24/25) the CRD completed compliance reviews of 40 state departments. Findings were found in all areas of review. The areas of mandated training, leave, compensation and pay, and policy have the largest number of findings.

FY 24/25 Findings by Compliance Area



FY 24/25 Findings by Severity



FY 24/25 FINDINGS BY COMPLIANCE RATE

Very Serious Findings	# Departments Out of Compliance	% Departments Out of Compliance
Ethics Training Was Not Provided for All Filers	21	53%
Sexual Harassment Prevention Training Was Not Provided for All Employees	21	53%
Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs	16	40%
Incorrect Authorization of Out-of-Class Pay	15	38%
Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment	10	25%
Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines	9	23%
Incorrect Authorization of Bilingual Pay	9	23%
Incorrect Authorization of Pay Differentials	7	18%
Department's Nepotism Policy Does Not Contain All Required Components	6	15%
Unlawful Appointment	5	13%
Sexual Harassment Prevention Training Was Not Provided for All Supervisors	4	10%
A Disability Advisory Committee Has Not Been Established	2	5%
Incorrect Application of State Service and Leave Transactions	3	8%
Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period	3	8%
Candidates Who Did Not Meet the Minimum Qualifications Were Admitted into the Examination	2	5%
Training and Development Assignment Was Filled Improperly	2	5%
A Disability Advisory Committee Has Not Been Actively Maintained	2	5%
Candidates Who Met the Minimum Qualifications Were Not Admitted into the Examinations	1	3%
Department Did Not Properly Process Permanent Withholds Actions	1	3%
Equal Employment Opportunity Questionnaires Were Not Separated from Applications	1	3%

Serious Findings	# Departments Out of Compliance	% Departments Out of Compliance
Performance Appraisals Were Not Provided to All Employees	25	63%
Unions Were Not Notified of Personal Services Contracts	17	43%
Probationary Evaluations Were Not Provided for All Appointments Reviewed	6	15%

Serious Findings	# Departments Out of Compliance	% Departments Out of Compliance
Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely	11	28%
Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely	8	20%
Department Did Not Certify That All Leave Records Were Reviewed	6	15%
Administrative Time Off Was Not Properly Documented	5	13%
Positive Paid Temporary Employees' Work Exceeded Time Limitations	5	13%
Incorrectly Posted Leave Usage and/or Leave Credit	3	8%
Probationary Evaluations Were Not Timely	3	8%
Written Justification Was Not Provided for all Personal Services Contracts	1	3%

Technical Findings	# Departments Out of Compliance	% Departments Out of Compliance
Appointment Documentation Was Not Kept for the Appropriate Amount of Time	7	18%
Department Did Not Comply with Documentation Requirements for Permanent Withholds	2	5%

The findings described above are summarized in more detail in Appendix A.

Severity, Frequency and Repetition of Findings

Findings are categorized into one of three levels:

- Very Serious
- Serious
- Technical

In addition, the frequency occurrence is classified as follows:

- 1-9% of departments reviewed = Low
- 10-19% of departments reviewed = Medium
- 20%+ of departments reviewed = High

Below is discussion of the frequency and repetition of all the findings, as well as the causes and expected corrective actions. A more detailed explanation of the criteria and severity of each finding is outlined further in Appendix A.

VERY SERIOUS FINDINGS

FINDING NO. 1	ETHICS TRAINING WAS NOT PROVIDED FOR ALL FILERS
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Frequency: High. 21 out of 40 departments or 53%.

Repeat Finding: 17 out of 40 departments, or 43%.

Causes³: Inefficient tracking and monitoring; workload/scheduling constraints; failure on the part of employees and/or managers to ensure compliance; inability to locate training certificates; new filers not being notified to complete ethics training timely; no Learning Management System (LMS).

Corrective Action: Departments were required to submit corrective action plans that demonstrated appropriate steps were taken to ensure that filers will be provided ethics training within the time periods prescribed in Government Code section 11146.3.

³ Causes are a brief summary reported by departments in their departmental responses.

FINDING NO. 2	SEXUAL HARASSMENT PREVENTION TRAINING WAS NOT PROVIDED FOR ALL EMPLOYEES SEXUAL HARASSMENT PREVENTION TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS
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Frequency: High. 25 out of 40 departments or 63%.

Repeat Finding: 20 out of 40 departments, or 50%.

Causes: No system in place for tracking and monitoring training; no LMS; failure on the part of employees and/or managers to ensure compliance; inability to locate training certificates; workload and/or scheduling constraints; human error.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the actions taken to ensure supervisors and non-supervisors will be provided sexual harassment prevention training in accordance with Government Code section 12950.1.

FINDING NO. 3	SUPERVISORY TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS, MANAGERS, AND CEAs
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Frequency: High. 16 out of 40 departments or 40%.

Repeat Finding: 2 out of 40 departments, or 5%.

Causes: Inefficient tracking and monitoring; failure on the part of employees and/or managers to ensure compliance; inability to locate training certificates; no LMS, workload and/or scheduling constraints; human error.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the actions taken to ensure that new supervisors, managers, and CEAs are provided leadership and development training within twelve months of appointment as required by Government Code section 19995.4.

FINDING NO. 4	INCORRECT AUTHORIZATION OF OUT-OF-CLASS PAY
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Frequency: High. 15 out of 40 departments or 38%.

Repeat Finding: 8 out of 40 departments, or 20%.

Causes: Human error, inexperienced staff; misinterpretation and misunderstanding of alternate range criteria; no system of checks and balances in place.

Corrective Action: Departments were required to submit corrective action plans to ensure compliance with California Code of Regulations, title 2, section 599.810 and outline corrections they implemented to ensure conformity with the out-of-class pay requirements of applicable pay differentials.

FINDING NO. 5	INCORRECT APPLICATION OF SALARY DETERMINATION LAWS, RULES, AND CALHR POLICIES AND GUIDELINES FOR APPOINTMENT
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Frequency: High. 10 out of 40 departments or 25%.

Repeat Finding: 2 out of 40 departments, or 5%.

Causes: Human error; lack of checks and balances; misunderstanding of salary determination rules; lack of training.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections they implemented to ensure that employees will be compensated correctly. They were also required to establish an audit system to correct current compensation transactions as well as future transactions.

FINDING NO. 6	ALTERNATE RANGE MOVEMENTS DID NOT COMPLY WITH CIVIL SERVICE LAWS, RULES, AND CALHR POLICIES AND GUIDELINES
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Frequency: High. 9 out of 40 departments or 23%.

Repeat Finding: 4 out of 40 departments, or 10%.

Causes: Human error, inexperienced staff; misinterpretation and misunderstanding of alternate range criteria; no system of checks and balances in place.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections the department implemented to ensure that employees will be compensated correctly. They were also required to establish an audit system to correct current compensation transactions as well as future transactions.

FINDING NO. 7	INCORRECT AUTHORIZATION OF BILINGUAL PAY
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Frequency: High. 9 out of 40 departments or 23%.

Repeat Finding: 4 out of 40 departments, or 10%.

Causes: Poor record keeping; lack of understanding of bilingual pay rules; inefficiencies within the organization; human error; inconsistent application of bilingual pay requirements.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections the department implemented to ensure conformity with Government Code section 7296 and Pay Differential 14.

FINDING NO. 8	INCORRECT AUTHORIZATION OF PAY DIFFERENTIALS
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Frequency: Medium. 7 out of 40 departments or 18%.

Repeat Finding: 4 out of 40 departments, or 10%.

Causes: New and/or inexperienced staff; missing documentation; human error; lack of checks and balances related to pay differential transactions; lack of training.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections the department implemented to ensure conformity with applicable pay differentials and ensure that employees will be compensated correctly and that transactions will be keyed accurately.

FINDING NO. 9	DEPARTMENT'S NEPOTISM POLICY DOES NOT CONTAIN ALL REQUIRED COMPONENTS
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Frequency: Medium. 6 out of 40 departments, or 15%.

Repeat Finding: N/A

Causes: Unaware that requirements were expanded; other workload matters.

Corrective Action: Departments were required to submit corrective action plans, including providing an updated nepotism policy inclusive of the requirements outlined in Human Resources Manual Section 1204 and documentation demonstrating that it had been distributed to all staff.

FINDING NO. 10	UNLAWFUL APPOINTMENT
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Frequency: Medium. 5 out of 40 departments, or 13%.

Repeat Finding: 1 out of 40 departments, or 3%.

Causes: Incorrect minimum qualification determinations; lack of understanding of rules; and, satellite offices making hires prior to clearing with human resources.

Corrective Action: Departments were required to submit written corrective action plans which demonstrated the corrections they implemented to improve their hiring practices.

FINDING NO. 11	A DISABILITY ADVISORY COMMITTEE HAS NOT BEEN ESTABLISHED
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Frequency: Low. 3 out of 40 departments or 8%.

Repeat Finding: 2 out of 40 departments, or 5%.

Causes: Telework; competing priorities; attrition through staff departures and retirements; lack of interest from staff.

Corrective Action: Departments were required to submit corrective action plans to demonstrate that appropriate steps were taken to ensure the establishment of a DAC consisting of members who have or have an interest in disability issues, set forth in Government Code section 19795.

FINDING NO. 12	INCORRECT APPLICATION OF STATE SERVICE AND LEAVE TRANSACTIONS
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Frequency: Low. 3 out of 40 departments, or 8%.

Repeat Finding: N/A

Cause: Human error; lack of training; and lack of auditing measures and oversight.

Corrective Action: Departments were required to submit corrective action plans which addressed the corrections they will implement to demonstrate compliance with applicable laws and policies relative to the correct application of state service and leave credits.

FINDING NO. 13	COMPLAINANTS WERE NOT NOTIFIED OF THE REASONS FOR DELAYS IN DECISIONS WITHIN THE PRESCRIBED TIME PERIOD
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Frequency: Low. 3 out of 40 departments or 8%.

Repeat Finding: 1 out of 40 departments, or 3%.

Causes: Lack of training; inadequate staffing levels; increase in caseload; process inadequacy; human error and oversight.

Corrective Action: Departments were required to submit correction action plans which addressed the corrections they will implement to ensure conformity with the requirements of the California Code of Regulations, title 2, section 64.4, subdivision (a).

FINDING NO. 14	CANDIDATES WHO DID NOT MEET THE MINIMUM QUALIFICATIONS WERE ADMITTED INTO THE EXAMINATION
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Frequency: Low. 2 out of 40 departments, or 5%.

Repeat Finding: 1 out of 40 departments, or 3%.

Cause: Misinterpretation of the minimum qualifications.

Corrective Action: Departments were required to submit a written corrective action response which demonstrated the corrections they implemented to ensure all candidates meet the minimum qualifications prior to admittance into an examination.

FINDING NO. 15	TRAINING AND DEVELOPMENT ASSIGNMENT WAS FILLED IMPROPERLY
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Frequency: Low. 2 out of 40 departments or 5%.

Repeat Finding: N/A

Causes: Misinterpretation of the rules governing Training and Developments assignments.

Corrective Action: Departments were required to submit a written corrective action response which demonstrated the corrections they implemented to ensure conformity with California Code of Regulations, title 2, section 439.2 and HR Manual section 3401.

FINDING NO. 16	A DISABILITY ADVISORY COMMITTEE HAS NOT BEEN ACTIVELY MAINTAINED
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Frequency: Low. 1 out of 40 departments, or 3%.

Repeat Finding: 1 out of 40 departments, or 3%.

Causes: Pre-scheduled DAC meetings cancelled due to lack of discussion items.

Corrective Action: The department was required to submit a written corrective action response which demonstrated the corrections they implemented to ensure the establishment of a DAC, comprised of members who have disabilities or who have an interest in disability issues.

FINDING NO. 17	CANDIDATES WHO MET THE MINIMUM QUALIFICATIONS WERE NOT ADMITTED INTO THE EXAMINATION
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Frequency: Low. 1 out of 40 departments, or 3%.

Repeat Finding: N/A

Causes: Misinterpretation of applicants' qualifications.

Corrective Action: The department was required to submit a written corrective action response which demonstrated the corrections they implemented to ensure conformity with the record retention requirements of California Code of Regulations, title 2, section 171.2.

FINDING NO. 18	DEPARTMENT DID NOT PROPERLY PROCESS PERMANENT WITHHOLDS ACTIONS
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Frequency: Low. 1 out of 40 departments, or 3%.

Repeat Finding: N/A

Cause: Failure to document withhold determination.

Corrective Action: The department was required to submit a written corrective action response which demonstrated the corrections they implemented to ensure conformity with the record retention requirements of California Code of Regulations, title 2, section 26, and HR Manual Section 1105.

FINDING NO. 19	EQUAL EMPLOYMENT OPPORTUNITY QUESTIONNAIRES WERE NOT SEPARATED FROM APPLICATIONS
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Frequency: Low. 1 out of 40 departments, or 3%.

Repeat Finding: N/A

Cause: Human error and oversight.

Corrective Action: The department was required to submit a written corrective action response which demonstrated the corrections they implemented to ensure that future EEO questionnaires are separated from all applications.

SERIOUS ISSUES

FINDING NO. 20	PERFORMANCE APPRAISALS WERE NOT PROVIDED TO ALL EMPLOYEES
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Frequency: High. 25 out of 40 departments or 63%.

Repeat Finding: 19 out of 40 departments, or 48%.

Causes: Tracking issues; workload and staff shortages; no current process or policy in place; failure to follow through on completion by management.

Corrective Action: Departments were required to submit corrective action plans to ensure compliance with Government Code section 19992.2 and California Code of Regulations, title 2, section 599.798.

FINDING NO. 21	UNIONS WERE NOT NOTIFIED OF PERSONAL SERVICES CONTRACTS
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Frequency: High. 17 out of 40 departments or 43%.

Repeat Finding: 14 out of 40 departments, or 35%.

Causes: Staff turnover; lack of following processes consistently; lack of standardized process; staff unaware of the notification requirements; notification documents were not retained; inadequate contract checklist; lack of training; human error; different interpretation of Government Code.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections the department implemented to ensure

conformity with the requirements of Government Code section 19132.

FINDING NO. 22	PROBATIONARY EVALUATIONS WERE NOT PROVIDED FOR ALL APPOINTMENTS REVIEWED PROBATIONARY EVALUATIONS WERE NOT TIMELY PROBATIONARY EVALUATIONS WERE NOT PROVIDED FOR ALL APPOINTMENTS REVIEWED AND SOME THAT WERE PROVIDED WERE UNTIMELY
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Frequency: High. 20 out of 40 departments or 50%.

Repeat Finding: 12 out of 40 departments, or 30%.

Causes: No formal system in place to provide management with reminders; lack of compliance from managers; staff turnover; lack of tracking process; errors in sending reminders; miscommunication with the Human Resources Department.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections they implemented to achieve conformity with the probationary requirements of Government Code section 19172 and California Code of Regulations, title 2, section 599.795.

FINDING NO. 23	DEPARTMENT HAS NOT IMPLEMENTED A MONTHLY INTERNAL AUDIT PROCESS TO VERIFY ALL LEAVE INPUT IS KEYED ACCURATELY AND TIMELY
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Frequency: High. 8 out of 40 departments or 20%.

Repeat Finding: 3 out of 40 departments, or 8%.

Causes: Untrained and/or inexperienced staff; keying errors; late entries; employees and supervisors did not get timesheets in timely; auditing difficult due to staff shortages; lack of oversight.

Corrective Action: Departments were required to submit corrective action responses that demonstrated the corrections they implemented to ensure their

monthly internal audit process will be documented and all leave input will be keyed accurately and timely.

FINDING NO. 24	DEPARTMENT DID NOT CERTIFY THAT ALL LEAVE RECORDS WERE REVIEWED
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Frequency: Medium. 6 out of 40 departments or 15%.

Repeat Finding: N/A

Cause: Records were only certified if there were problems; misunderstanding of CalHR's requirements.

Corrective Action: Departments were required to submit a written corrective action plan that addressed the corrections the department implemented to ensure that its monthly internal audit process will be documented and that all leave input will be keyed accurately and timely.

FINDING NO. 25	ADMINISTRATIVE TIME OFF (ATO) WAS NOT PROPERLY DOCUMENTED
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Frequency: Medium. 5 out of 40 departments or 13%.

Repeat Finding: 2 out of 40 departments, or 5%.

Causes: Lack of monitoring and/or staff oversight; delays in submission of timesheets; human error.

Corrective Action: Departments were required to submit corrective action plans to demonstrate the correction they implemented to achieve compliance with Government Code section 19991.10 and Human Resources Manual Section 2121.

FINDING NO. 26	POSITIVE PAID EMPLOYEES' WORK EXCEEDED TIME LIMITATIONS
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Frequency: Medium. 5 out of 40 departments or 13%.

Repeat Finding: 3 out of 40 departments, or 8%.

Causes: No effective tracking/noticing mechanism; human error.

Corrective Action: Departments were required to submit written corrective action plans that demonstrated the corrections they implemented to ensure conformity with Government Code section 21224, and California Code of Regulations, title 2, section 599.665, and/or applicable Bargaining Unit agreement(s).

FINDING NO. 27	INCORRECTLY POSTED LEAVE USAGE AND/OR LEAVE CREDIT
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Frequency: Low. 3 out of 40 departments or 8%.

Repeat Finding: 2 out of 40 departments, or 5%.

Causes: Human error; procedures not properly followed; staffing shortages; delays with staff and managers completing time sheets.

Corrective Action: Departments were required to submit corrective action plans which demonstrated the corrections they implemented to ensure conformity with Human Resources Manual Section 2101.

FINDING NO. 28	WRITTEN JUSTIFICATION WAS NOT PROVIDED FOR ALL PERSONAL SERVICES CONTRACTS
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Frequency: Low. 1 out of 40 departments or 3%.

Repeat Finding: N/A

Causes: Staff turnover; and human error.

Corrective Action: Departments were required to submit written corrective action plans that demonstrated the corrections they implemented to ensure conformity with the requirements of Government Code section 19130, subdivision (b), and California Code of Regulations, title 2, section 547.60, subdivision (a).

TECHNICAL ISSUES

FINDING NO. 29	APPOINTMENT DOCUMENTATION WAS NOT KEPT FOR THE APPROPRIATE AMOUNT OF TIME
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Frequency: Medium. 7 out of 40 departments or 18%.

Repeat Finding: 6 out of 40 departments or 15%.

Causes: Human error; telework; lack of auditing resources; staff not following retention procedures; manual process susceptible to error.

Corrective Action: Departments were required to submit written corrective action plans that addressed the corrections the departments implemented to ensure conformity with the record retention requirements of California Code of Regulations, title 2, section 26.

FINDING NO. 30	DEPARTMENT DID NOT COMPLY WITH DOCUMENTATION REQUIREMENTS FOR PERMANENT WITHHOLDS
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Frequency: Low. 2 out of 40 departments or 5%.

Repeat Finding: N/A

Cause: Insufficient documentation process.

Corrective Action: The department was required to submit a written corrective action response which addressed the corrections the department will implement to ensure conformity with Human Resources Manual Section 1105 in processing withhold actions.

INDEX OF FINDINGS FOR COMPLIANCE REVIEWS⁴

Board of Equalization

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

California Arts Council

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Did Not Certify That All Leave Records Were Reviewed

⁴ Findings denoted with a “*” indicate a repeat finding

- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Correctional Health Care Services

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed*
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- Unlawful Appointment Investigations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period*
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs*
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials*
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrectly Posted Leave Usage and/or Leave Credit*
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Department of Human Resources

- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period

- Unions Were Not Notified of Personal Services Contracts
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Temporary Employees' Work Exceeded Time Limitations
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Energy Commission

- Examinations Complied with Civil Service Laws and Board Rules
- Department Did Not Properly Process Permanent Withholds Actions
- Unlawful Appointment
- Training and Development Assignment Was Filled Improperly
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Health and Human Services Agency

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probation Evaluations Were Not Timely
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California High Speed Rail Authority

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules

- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Did Not Certify That All Leave Records Were Reviewed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Housing Finance Agency

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- A Disability Advisory Committee Has Not Been Established*
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department's Nepotism Policy Does Not Contain All Required Components

- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

California Office of Environmental Health Hazard Assessment

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay*
- Incorrect Authorization of Pay Differentials*
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely*
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Science Center

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines

- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

California State Lottery

- Examinations Complied with Civil Service Laws and Board Rules
- Department Did Not Comply with Documentation Requirements for Permanent Withholds
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials*
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

California State Teachers' Retirement System

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

California Tax Credit Allocation Committee

- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

California Transportation Commission

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Did Not Certify That All Leave Records Were Reviewed
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

California Victim Compensation Board

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay*

- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Accounting Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Delta Stewardship Council

- Appointments Complied with Civil Service Laws and Board Rules
- A Disability Advisory Committee Has Not Been Actively Maintained*
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Accounting Complied with Civil Service Laws, Board Rules, AND/OR CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Department of Aging

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Written Justification Was Not Provided for all Personal Services Contracts
- Ethics Training Was Not Provided for All Filers

- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Arduous Pay Authorization Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department's Nepotism Policy Does Not Contain All Required Components
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Child Support Services

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment*
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines*
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Department of Finance

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Financial Protection and Innovation

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed

- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of General Services

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- Probationary Evaluations Were Not Provided for All Appointments Reviewed*
- Unlawful Appointment Investigations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment*
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay*
- Incorrect Authorization of Pay Differentials
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrectly Posted Leave Usage and/or Leave Credit*
- Incorrect Application of State Service and Leave Transactions
- Department's Nepotism Policy Does Not Contain All Required Components
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Health Care Access and Information

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Rules, and CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented
- Department Did Not Certify That All Leave Records Were Reviewed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Justice

- Candidates Who Did Not Meet the Minimum Qualifications Were Admitted into the Examination*
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointments*
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines*
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Red Circle Rate Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Arduous Pay Authorization Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Temporary Employees' Work Exceeded Time Limitations*
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines
- Administrative Hearing and Medical Interpreter Program Complied with Statutory Requirements

Department of Parks and Recreation

- Candidates Who Did Not Meet the Minimum Qualifications Were Admitted into the Examination
- Candidates Who Met the Minimum Qualifications Were Not Admitted into the Examination
- Department Did Not Comply with Documentation Requirements for Permanent Withholds
- Unlawful Appointments
- Training and Development Assignment Was Filled Improperly
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- A Disability Advisory Committee Has Not Been Established
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines*
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials*
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Temporary Employees' Work Exceeded Time Limitations*
- Administrative Time Off Was Not Properly Documented*
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Incorrect Application of State Service and Leave Transactions
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Pesticide Regulation

- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Did Not Comply with Civil Service Laws, Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay

- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay*
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Department of Social Services

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointments
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Incorrect Authorization of Pay Differentials
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Temporary Employees' Work Exceeded Time Limitations
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Application of State Service and Leave Transaction
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of State Hospitals

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments and Some That Were Provided Untimely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- Unlawful Appointment Investigations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Did Not Comply with Civil Service Laws, Rules, and CalHR Policies and Guidelines
- Arduous Pay Authorization Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented
- Department Did Not Certify That All Leave Records Were Reviewed
- Incorrect Application of State Service and Leave Transaction
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

Department of Tax and Fee Administration

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Timely*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees

- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay*
- Incorrect Authorization of Pay Differentials*
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented*
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Technology

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely*
- Incorrect Application of State Service and Leave Transactions
- Department's Nepotism Policy Does Not Contain All Required Components

- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Department of Toxic Substances Control

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely*
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department's Nepotism Policy Does Not Contain All Required Components
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

Financial Information System for California

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment

- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Government Operations Agency

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Department's Nepotism Policy Does Not Contain All Required Components
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Labor & Workforce Development Agency

- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Did Not Certify That All Leave Records Were Reviewed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Office of Administrative Law

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Sexual Harassment Prevention Training Was Not Provided for All Employees
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

Office of Energy Infrastructure Safety

- Unlawful Appointment
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

Office of Tax Appeals

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts*
- Ethics Training Was Not Provided for All Filers*
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors*
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines*
- Arduous Pay Authorization Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

Office of the Inspector General

- Equal Employment Opportunity Questionnaires Were Not Separated from Applications
- Appointments Complied with Civil Service Laws and Board Rules
- A Disability Advisory Committee Has Not Been Actively Maintained
- Personal Services Contracts Complied with Procedural Requirements
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

Public Employment Relations Board

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines

Scholarshare Investment Board

- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Positive Paid Employees' Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

State Water Resources Control Board

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Some That Were Provided Were Untimely*
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time*
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers*
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs*
- Sexual Harassment Prevention Training Was Not Provided for All Employees*
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment

- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay*
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Temporary Employees' Work Exceeded Time Limitations*
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrectly Posted Leave Usage and/or Leave Credit
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees*

APPENDIX A: DESCRIPTION OF FINDINGS AND THEIR SEVERITY BY REVIEW AREA

EXAMINATIONS

Candidates Who Did Not Meet the Minimum Qualifications Were Admitted into the Examination

Candidates Who Met the Minimum Qualifications Were Not Admitted into the Examinations

According to Human Resources Manual Section 3002, during the examination process and before appointment, information submitted in the application process from all candidates, except those who are on reemployment lists or who have reinstatement rights, must be evaluated for verification of meeting the minimum qualifications of the classification established by the Board.

Additionally, except as otherwise provided by law or regulation, any person who establishes that he or she satisfies the minimum qualifications for any state position, as defined in Government Code section 18522, is eligible, regardless of his or her age, to take any civil service examination given for that position. (Cal. Code Reg., tit. 2, § 171.2.)

Severity: Very Serious. Failure to verify minimum qualifications for candidates during the examination process may result in an unlawful appointment that wastes resources and incurs costs to the state.

Failure to properly verify minimum qualifications for candidates during the examination process may result in disadvantaging eligible candidates and jeopardizes the equitable administration of the civil service merit system.

Department Did Not Properly Process Permanent Withholds Actions

According to HR Manual section 1105, a person who successfully completes an examination process may not be, in fact, eligible for appointment. During the hiring process, the appointing authority must diligently verify a person's eligibility prior to appointment. During this process, the hiring authority may determine that a person does not have eligibility for appointment. Once determined, the department, agency or other appointing authority who discovers this ineligibility during a recruitment process has an obligation to withhold the person's eligibility for appointment and to diligently complete the withhold process.

Further, departments are required to maintain the following withhold documentation for a period of five years:

1. Withhold Determination Worksheet
2. Job vacancy posting
3. Candidate's application package (including the STD Form 678, and all received documents)
4. Supporting documentation for the withhold determination
5. Copies of all non-system generated correspondence

Severity: Very Serious. Failure to properly withhold candidates from the certification lists may result in unlawful appointments that waste resources and incur costs to the state. Additionally, without documentation, the CRD could not verify if the permanent withhold actions were properly conducted.

Department Did Not Comply with Documentation Requirements for Permanent Withholds

HR Manual Section 1105 mandates that Human Resources offices processing withhold actions must use the appropriate Withhold Determination Worksheet to document the withhold decision. The worksheets are (1) CalHR Form 272 – Minimum Qualifications Withhold Determination Worksheet or (2) CalHR Form 267 – Withhold for Cause Determination Worksheet

Further, human resources offices are required to maintain the following withhold documentation for a period of five years:

1. Withhold Determination Worksheet
2. Job vacancy posting
3. Candidate's application package (including the STD Form 678, and all received documents)
4. Supporting documentation for the withhold determination
5. Copies of all non-system generated correspondence

Severity: Technical. Without documentation, the CRD could not verify if the permanent withhold actions were properly conducted.

APPOINTMENTS

Appointment Documentation Was Not Kept for the Appropriate Amount of Time

As specified in section 26 of the Board's Regulations, appointing powers are required to retain records related to affirmative action, equal employment opportunity, examinations, merit, selection, and appointments for a minimum period of five years from the date the record is created. These records are required to be readily accessible and retained in an orderly and systematic manner. (Cal. Code Regs., tit. 2, § 26.)

Severity: Technical. Without documentation, the CRD could not verify if the appointments were properly conducted.

Equal Employment Opportunity Questionnaires Were Not Separated from Applications

Government Code section 19704 makes it unlawful for a hiring department to require or permit any notation or entry to be made on any application indicating or in any way suggesting or pertaining to any protected category listed in Government Code section 12940, subdivision (a) (e.g., a person's race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status). Applicants for employment in state civil service are asked to voluntarily provide ethnic data about themselves where such data is determined by the CalHR to be necessary to an assessment of the ethnic and sex fairness of the selection process and to the planning and monitoring of affirmative action efforts. (Gov. Code, § 19705.) The EEO questionnaire of the state application form (STD. 678) states, "This questionnaire will be separated from the application prior to the examination and will not be used in any employment decisions."

Severity: Very Serious. The applicants' protected classes were visible, subjecting the agency to potential liability.

Probationary Evaluations Were Not Provided for all Appointments Reviewed
Probationary Evaluations Were Not Timely
Probationary Evaluations Were Not Provided for all Appointments Reviewed and
Some That Were Provided Were Untimely

The service of a probationary period is required when an employee enters or is promoted in the state civil service by permanent appointment from an employment list; upon reinstatement after a break in continuity of service resulting from a permanent separation; or after any other type of appointment situation not specifically excepted from the probationary period. (Gov. Code, § 19171.) During the probationary period, the appointing power shall evaluate the work and efficiency of a probationer in the manner and at such periods as the department rules may require. (Gov. Code, § 19172.) A report of the probationer's performance shall be made to the employee at sufficiently frequent intervals to keep the employee adequately informed of progress on the job. (Cal. Code Regs., tit. 2, § 599.795.) A written appraisal of performance shall be made to the Department within 10 days after the end of each one-third portion of the probationary period. (*Ibid.*) The Board's record retention rules require that appointing powers retain all probationary reports for five years from the date the record is created. (Cal. Code Regs., tit. 2, § 26, subd. (a)(3).)

Severity: Serious. The probationary period is the final step in the selection process to ensure that the individual selected can successfully perform the full scope of their job duties. Failing to use the probationary period to assist an employee in improving his or her performance or terminating the appointment upon determination that the appointment is not a good job/person match is unfair to the employee and serves to erode the quality of state government.

Unlawful Appointment

California Code of Regulations, title 2, section 254 mandates that each vacancy for a class in which the certification of eligibles is under Government Code sections 19057.1 and 19057.3, the department shall fill a vacancy by eligibles in the three highest ranks certified.

Pursuant to Government Code section 18931, subdivision (a), the Board shall establish minimum qualifications for determining the fitness and qualifications of employees for each class of position. In accordance with California Code of Regulations, title 2, section 249.4, appointing powers shall verify that the candidate satisfies the minimum qualifications of the classification before the candidate is appointed.

Severity: Very Serious. An unlawful appointment provides the employee with an unfair and unearned appointment advantage over other employees whose appointments have been processed in compliance with the requirements of civil service law. Unlawful appointments which are not corrected also create appointment inconsistencies that jeopardize the equitable administration of the civil service merit system.

When an unlawful appointment is voided, the employee loses any tenure in the position, as well as seniority credits, eligibility to take promotional examinations, and compensation at the voided appointment level. If “bad faith” is determined on the part of the appointing power, civil or criminal action may be initiated. Disciplinary action may also be pursued against any officer or employee in a position of authority who directs any officer or employee to take action in violation of the appointment laws. If bad faith is determined on the part of the employee, the employee may be required to reimburse all compensation resulting from the unlawful appointment and may also be subject to disciplinary action.

Training and Development Assignment was Filled Improperly

In accordance with California Code of Regulations, title 2, section 439.2 subdivision (a) and HR Manual section 3401, training and development assignments may be made to any of the following classifications:

- The same class as the employee’s current class, but in a different position.
- A different class than the employee’s “current” class with substantially the same salary range as the employee’s “current” class.
- A different class than the employee’s “current” class with a higher salary range, as long as: The higher salaried class is the class in the employee's desired occupational area that will provide the appropriate training experience; and, there is not another class closer in salary to the employee’s “current” class that would provide the appropriate training.

Severity: Very Serious. The higher class may offer the desired experience; however, it is not appropriate given there is a class nearer in salary that provides the appropriate training experience.

EQUAL EMPLOYMENT OPPORTUNITY

A Disability Advisory Committee Has Not Been Established

A Disability Advisory Committee Has Not Been Actively Maintained

Each state agency must establish a separate committee of employees who are individuals with a disability, or who have an interest in disability issues, to advise the head of the agency on issues of concern to employees with disabilities. (Gov. Code, § 19795, subd. (b)(1).)

Severity: Very Serious. The agency head does not have direct information on issues of concern to employees or other persons with disabilities and input to correct any underrepresentation. The lack of a DAC may limit an agency's ability to recruit and retain a qualified workforce, impact productivity, and subject the agency to liability.

Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period

The appointing power must issue a written decision to the complainant within 90 days of the complaint being filed. (Cal. Code Regs., tit. 2, § 64.4, subd. (a).) If the appointing power is unable to issue its decision within the prescribed time period, the appointing power must inform the complainant in writing of the reasons for the delay. (*Ibid.*)

Severity: Very Serious. Employees were not informed of the reasons for delays in decisions for discrimination complaints. Employees may feel their concerns are not being taken seriously, which can leave the agency open to liability and low employee morale.

PERSONAL SERVICES CONTRACTS

Unions Were Not Notified of Personal Services Contracts

The contract shall not be executed until the state agency proposing to execute the contract has notified all organizations that represent state employees who perform the type of work to be contracted. (Gov. Code, § 19132, subd. (b)(1).)

Severity: Serious. Unions must be notified of impending personal services contracts to ensure they are aware contracts are being proposed for the type of work that their members could perform.

Written Justification Was Not Provided for All Personal Services Contracts

Whenever an agency executes a personal services contract under Government Code section 19130, subdivision (b), the agency shall document, with specificity and detailed factual information, the reasons why the contract satisfies one or more of the conditions specified in Government Code section 19130, subdivision (b). (Cal. Code Reg., tit. 2, § 547.60, subd. (a).) The agency shall maintain the written justification for the duration of the contract and any extensions of the contract or in accordance with the record retention requirements of section 26, whichever is longer. (Cal. Code Reg., tit. 2, § 547.60, subd. (b).)

Severity: Serious. Without specific written justification detailing why a PSC satisfies one or more conditions specified in Government Code section 19130, the CRD cannot determine whether the department's PSC's complied with current procedural requirements.

MANDATED TRAINING

Ethics Training Was Not Provided for All Filers

New filers must be provided ethics training within six months of appointment. Existing filers must be trained at least once during each consecutive period of two calendar years commencing on the first odd-numbered year thereafter. (Gov. Code, § 11146.3, subd. (b).)

Severity: Very Serious. The department does not ensure that its filers are aware of prohibitions related to their official position and influence.

Sexual Harassment Prevention Training Was Not Provided for All Employees Sexual Harassment Prevention Training Was Not Provided for All Supervisors

Each department must provide its supervisors two hours of sexual harassment prevention training every two years and non-supervisory employees one hour of sexual harassment prevention training every two years. New employees must be provided sexual harassment prevention training within six months of appointment. (Gov. Code, § 12950.1, subds. (a) and (b); Gov. Code, § 19995.4.)

Severity: Very Serious. The department does not ensure that all new and existing supervisors AND new and existing employees are properly trained to respond to sexual harassment or unwelcome sexual advances, requests for sexual favors, and

other verbal or physical harassment of a sexual nature. This limits the department's ability to retain a quality workforce, impacts employee morale and productivity, and subjects the department to litigation.

Supervisory Training Was Not Provided to All Supervisors, Managers, and CEAs

Each department must provide its new supervisors a minimum of 80 hours of supervisory training within the probationary period.(Gov. Code, § 19995.4, subd. (b).)

Upon initial appointment of an employee to a managerial position, each employee must receive 40 hours of leadership training within 12 months of appointment. (Gov. Code, § 19995.4, subd. (d).)

Upon initial appointment of an employee to a Career Executive Assignment position, each employee must receive 20 hours of leadership training within 12 months of appointment. (Gov. Code, § 19995.4, subd. (e).)

Severity: Very Serious. The department does not ensure its leaders are properly trained. Without proper training, leaders may not properly carry out their leadership roles, including managing employees.

COMPENSATION AND PAY

Alternate Range Movements Did Not Comply with Civil Service Laws, Rules, and CalHR Policies and Guidelines

Alternate ranges are designed to recognize increased competence in the performance of class duties based upon experience obtained while in the class. The employee gains status in the alternate range as though each range were a separate classification. (Classification and Pay Guide Section 220.)

Departments are required to calculate and apply salary rules for each appointed employee accurately based on the pay plan for the state civil service. All civil service classes have salary ranges with minimum and maximum rates. (Cal. Code Regs., tit. 2, § 599.666.)

Severity: Very Serious. Incorrectly applying compensation laws and rules not in accordance with CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate pay amounts.

Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment

Departments are required to calculate and apply salary rules for each appointed employee accurately based on the pay plan for the state civil service. All civil service classes have salary ranges with minimum and maximum rates. (Cal. Code Regs., tit. 2, § 599.666.)

Severity: Very Serious. Incorrectly applying compensation laws and rules in accordance with CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate pay amounts.

Incorrect Authorization of Bilingual Pay

For any state agency, a "qualified" bilingual employee, person, or interpreter is someone who CalHR has tested and certified, someone who was tested and certified by a state agency or other approved testing authority, and/or someone who has met the testing or certification standards for outside or contract interpreters as proficient in both the English language and the non-English language to be used. (Gov. Code, § 7296, subd. (a)(3).)

An individual must be in a position that has been certified by the department as a position which requires the use of bilingual skills on a continuing basis averaging 10 percent of the time spent either conversing, interpreting or transcribing in a second language and time spent on closely related activities performed directly in conjunction with specific bilingual transactions. (Pay Differential 14.)

Severity: Very Serious. Failure to comply with the state civil service pay plan by incorrectly applying compensation rules in accordance with CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate pay.

Incorrect Authorization of Out-of-Class Pay

For bargaining unit 1 employees only: An employee may be temporarily required to perform out-of-class work by his/her department for up to one hundred twenty (120) calendar days in any twelve (12) consecutive calendar months when it determines that such an assignment is of unusual urgency, nature, volume, location, duration, or other special characteristics; and, cannot feasibly be met through use of other civil service or administrative alternatives. Departments may not use out-of-class

assignments to avoid giving civil service examinations or to avoid using existing eligibility lists created as the result of a civil service examination.

For excluded employees only: Employees may be compensated for performing duties of a higher classification provided that: the assignment is made in advance in writing and the employee is given a copy of the assignment; and the duties performed by the employee are not described in a training and development assignment or by the specification for the class to which the excluded employee is appointed and, are fully consistent with the types of jobs described in the specification for the higher classification; and the employee does not perform such duties for more than 120 days in a fiscal year. (Cal. Code Regs., tit. 2, § 599.810, subd. (b)(1)(3)(4).)

For excluded employees, there shall be no compensation for assignments that last for 15 consecutive working days or less. (Cal. Code Regs., tit. 2, § 599.810, subd. (c).) An excluded employee performing in a higher class for more than 15 consecutive working days shall receive the rate of pay the excluded employee would receive if appointed to the higher class for the entire duration of the assignment, not to exceed one year. (Cal. Code Regs., tit. 2, § 599.810, subd. (d).) An excluded employee may be assigned out-of-class work for more than 120 calendar days during any 12-month period only if the appointing power files a written statement with the CalHR certifying that the additional out-of-class work is required to meet a need that cannot be met through other administrative or civil service alternatives. (Cal. Code Regs., tit. 2, § 599.810, subd. (e).)

Severity: Very Serious. Incorrectly applying compensation laws and rules in accordance with CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate compensation.

Incorrect Authorization of Pay Differentials

A pay differential may be appropriate when a subgroup of positions within the overall job class might have unusual circumstances, competencies, or working conditions that distinguish these positions from other positions in the same class. Pay differentials are based on qualifying pay criteria such as: work locations or shift assignments; professional or educational certification; temporary responsibilities; special licenses, skills or training; performance-based pay; incentive-based pay; or recruitment and retention. (CalHR Classification and Pay Manual Section 230.)

Severity: Very Serious. Incorrectly applying compensation laws and rules in accordance with CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate compensation.

LEAVE

Administrative Time Off Was Not Properly Documented

Appointing authorities are authorized to approve ATO for up to five (5) working days. (Gov. Code, § 19991.10.) Furthermore, they "have delegated authority to approve up to 30 calendar days." (Human Resources Manual Section 2121.) Any ATO in excess of 30 calendar days must be approved in advance by the CalHR. (*Ibid.*) In most cases, if approved, the extension will be for an additional 30 calendar days. (*Ibid.*) The appointing authority is responsible for submitting ATO extension requests to CalHR at least 5 working days prior to the expiration date of the approved leave. (*Ibid.*)

When requesting an ATO extension, the appointing authority must provide a justification establishing good cause for maintaining the employee on ATO for the additional period of time. (*Ibid.*) ATO may not be used and will not be granted for an indefinite period. (*Ibid.*) If CalHR denies a request to extend ATO, or the appointing authority fails to request approval from CalHR to extend the ATO, the employee must be returned to work in some capacity. (*Ibid.*)

Regardless of the length of ATO, appointing authorities must maintain thorough documentation demonstrating the justification for the ATO, the length of the ATO, and the approval of the ATO. (*Ibid.*)

Severity: Serious. Because an employee on ATO is being paid while not working, a failure to closely monitor ATO usage could result in costly abuse. The use of ATO is subject to audit and review by CalHR and other control agencies to ensure policy compliance. Findings of non-compliance may result in the revocation of delegated privileges.

Department Did Not Certify That All Leave Records Were Reviewed

Each appointing power shall keep complete and accurate time and attendance records for each employee and officer employed within the agency over which it has jurisdiction. (Cal. Code Regs., tit. 2, § 599.665.) Departments are directed to create an audit process to verify all leave input is keyed accurately and timely. (Human Resources Manual Section 2101.) Departments shall identify and record all errors

found and shall certify that all leave records for the unit/pay period identified have been reviewed and all leave errors identified have been corrected. (*Ibid.*) Attendance records shall be corrected by the pay period following the pay period in which the error occurred. (*Ibid.*)

Severity: Serious. Departments must document that they reviewed all leave inputted into their leave accounting system to ensure accuracy and timeliness. Failure to audit leave could put the department at risk of incurring additional costs from the initiation of collection efforts from overpayments, and the risk of liability related to recovering inappropriately credited leave hours and funds.

Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely

Each appointing power shall keep complete and accurate time and attendance records for each employee and officer employed within the agency over which it has jurisdiction. (Cal. Code Regs., tit. 2, § 599.665.) Departments are directed to create an audit process to verify all leave input is keyed accurately and timely. (Human Resources Manual Section 2101.) Departments shall identify and record all errors found and shall certify that all leave records for the unit/pay period identified have been reviewed and all leave errors identified have been corrected. (*Ibid.*) Attendance records shall be corrected by the pay period following the pay period in which the error occurred. (*Ibid.*)

Severity: Serious. Departments must document that they reviewed all leave inputted into their leave accounting system to ensure accuracy and timeliness. Failure to audit leave could put the department at risk of incurring additional costs from the initiation of collection efforts from overpayments, and the risk of liability related to recovering inappropriately credited leave hours and funds.

Incorrect Application of State Service and Leave Transaction(s)

In the application of Government Code section 19837, an employee shall be considered to have a month of state service if the employee either: (1) has had 11 or more working days of service in a monthly pay period; or (2) would have had 11 or more working days of service in a monthly pay period but was laid off or on a leave of absence for the purpose of lessening the impact of an impending layoff. (Cal. Code Regs., tit.2, § 599.608.) Absences from state service resulting from permanent separation for more than 11 consecutive working days which fall into two consecutive pay periods shall disqualify one of the pay periods. (*Ibid.*)

Hourly or daily rate employees working in a state agency in which the full-time workweek is 40 hours who earn the equivalent of 160 hours of service in a monthly pay period or accumulated pay periods shall be considered to have a complete month, a month of service, or continuous service. (Cal. Code Regs., tit.2, § 599.609.) When an employee has a break in service or changes to full-time, any combination of time worked which does not equal one qualifying month of full-time service shall not be accumulated or counted. (*Ibid.*)

Severity: Very Serious. For audit purposes, accurate and timely attendance reporting is required of all departments. If the length of an informal leave results in a non-qualifying pay period, a state service transaction must be processed. Inappropriately authorizing state service credits and leave accruals to employees who did not earn them results in a monetary loss for the department.

Incorrectly Posted Leave Usage and/or Leave Credit

Departments shall create a monthly internal audit process to verify that all leave input into any leave accounting system is keyed accurately and timely. (Human Resources Manual Section 2101.) If an employee's attendance record is determined to have errors or it is determined that the employee has insufficient balances for a leave type used, the attendance record must be amended. (*Ibid.*) Attendance records shall be corrected by the pay period following the pay period in which the error occurred. (*Ibid.*)

Severity: Very serious. Errors in posting leave usage and/or leave credits puts the department at risk of incurring additional costs from the initiation of collection efforts from overpayments, and the risk of liability related to recovering inappropriately credited leave hours and funds.

Positive Paid Temporary Employees' Work Exceeded Time Limitations

If any employee is appointed to an intermittent time base position on a TAU basis, there are two controlling time limitations that must be considered. The first controlling factor is the constitutional limit of nine months in any 12 consecutive months for temporary appointments that cannot be extended for any reason. (Cal Const., art. VII, § 5.) Time worked shall be counted on a daily basis with every 21 days worked counting as one month or 189 days equaling nine months. (Cal. Code Regs., tit. 2, § 265.1, subd. (b).) Another controlling factor limits the maximum work time for student, youth, and seasonal classifications to 1,500 hours. (Cal. Code Regs., tit. 2, § 265.1, subd. (d).)

According to Government Code Section 21224, retired annuitant appointments shall not exceed a maximum of 960 hours in any fiscal year (July-June) for all state employers without reinstatement or loss or interruption of benefits.

Severity: Serious. The number of days or hours an individual may work in a temporary appointment is limited in the state civil service. TAU appointments are distinguished from other appointments as they can be made in the absence of an appropriate employment list.

Existing law allows a person retired from state service to be rehired by the State as a retired annuitant. However, retired annuitants shall not work more than 960 hours each fiscal year without reinstatement, loss, or interruption of benefits for all state employers.

POLICY

Department's Nepotism Policy Does Not Contain All Required Components

It is the policy of the State of California to hire, transfer, and promote all employees on the basis of merit and fitness in accordance with civil service statutes, rules and regulations. (Human Resources Manual Section 1204). All department nepotism policies shall include six specific components which emphasize that nepotism is antithetical to merit-based civil service and include definitions and prohibitions integral to upholding the merit system. (Cal. Code Regs., tit. 2, § 87.)

Severity: Very Serious. Nepotism is expressly prohibited in the state workplace because it is antithetical to California's merit based civil service. Departments must take proactive steps to ensure that the hiring, transferring, and promoting of all employees is done on the basis of merit and fitness in accordance with civil service statutes. Maintaining a current written nepotism policy, and its dissemination to all staff, is the cornerstone for achieving these outcomes.

Performance Appraisals Were Not Provided to All Employees

Appointing powers shall prepare performance reports and keep them on file as prescribed by department rule. (Gov. Code, § 19992.2, subd. (a).) Each supervisor, as designated by the appointing power, shall make an appraisal in writing and shall discuss with the employee overall work performance at least once in each twelve

calendar months following the end of the employee's probationary period. (Cal. Code Regs., tit. 2, § 599.798.)

Severity: Serious. The department does not ensure that all of its employees are apprised of work performance issues and/or goals in a systematic manner.

APPENDIX B: INDEX OF COMPLIANCE REVIEW COSTS

Government Code section 18662 provides that the SPB shall bill departments for the costs incurred for compliance reviews. The SPB has worked with the Department of Finance to streamline the transfer of funds through the Pro Rata/Statewide Cost Allocation Plan process.

The below chart reflects what SPB will recover for FY 24/25.

Department	Amount Billed
Board of State and Community Corrections	\$70,020
Business, Consumer Services, and Housing Agency	\$41,271
California Arts Council	\$25,299
California Energy Commission	\$96,853
California Gambling Control Commission	\$30,538
California Health and Human Services Agency	\$70,020
California High Speed Rail Authority	\$70,020
California Highway Patrol	\$257,211
California Horse Racing Board	\$41,271
California Privacy Protection Agency	\$30,538
California Public Employees' Retirement System	\$160,996
California Transportation Agency	\$41,271
California Victim Compensation Board	\$70,020
California Workforce Investment Board	\$41,271
Civil Rights Department	\$70,020
Delta Stewardship Council	\$41,271
Department of Alcoholic Beverage Control	\$96,853
Department of Community Services and Development	\$70,020
Department of Developmental Services	\$160,996
Department of Finance	\$70,020
Department of Motor Vehicles	\$176,968
Department of Parks and Recreation	\$160,996
Department of Rehabilitation	\$96,853
Department of Resources Recycling and Recovery	\$96,853
Department of Technology	\$96,853
Department of Transportation	\$292,349
Department of Veterans Affairs	\$160,996
Department of Water Resources	\$160,996
Emergency Medical Service Authority	\$70,020
Franchise Tax Board	\$176,968
Governor's Office of Business and Economic Development	\$70,020

Department	Amount Billed
Military Department	\$96,853
Public Employment Relations Board	\$41,271
State Controller's Office	\$96,853
State Council on Developmental Disabilities	\$41,271
State Public Defender	\$41,271
Student Aid Commission	\$70,020