



State Personnel Board's Policy and Compliance Review Division

Policy and Compliance Review: Expanded Scope

Frequently Asked Questions (FAQ)

1. What personnel functions and/or operations will the State Personnel Board's (SPB) Compliance Review Unit (CRU) review?

The State Personnel Board (SPB) conducts compliance reviews of departments' personnel practices. The SPB and the California Department of Human Resources (CalHR) have recently partnered to expand the scope of compliance reviews to include more operational personnel practices that have been delegated to departments and for which CalHR provides policy direction. This new collaboration has tasked the SPB with performing compliance reviews with a more comprehensive scope.

The expanded compliance review scope will now include areas such as compensation, leave, and other non-merit related personnel transactions and practices.

Please find a complete list below of those operational personnel practices, both merit and non-merit related, that will now be reviewed (new functions identified in **bold**):

Appointments

- **Additional Appointments**
- Career Executive Appointments
- Emergency Appointments
- List Appointments
- Mandatory Reinstatements
- Temporary Authorization Utilization (TAU)
- Training and Development Assignment (T&D)
- Transfers and/or Permissive Reinstatements
- **Unlawful Appointment Investigations**

Compensation and Pay

- **Alternate Range Placement**
- **Arduous Pay**
- **Bilingual Pay**
- **Exception to Salary Rule**
- **Hiring Above Minimum**
- **Merit Salary Adjustments and Special-In-Grade Salary Adjustments**
- **Out-of-Class Pay**
- **Pay Differentials**
- **Red Circle Rates**
- **Salary Determinations**

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Equal Employment Opportunity

- Disability Advisory Committee (DAC)
- Limited Examination Appointment Process (LEAP)
- Reasonable Accommodation Process
- Role of EEO Office and EEO Officer (Anti-Discrimination Policy, Complaint Process, Reporting Structure)
- Workforce Analysis (Persons with Disabilities, Upward Mobility Program and Workforce Composition)

Examinations

- Examinations
- **Permanent Withhold Actions (Process Review)**

Leave

- **Actual Time Worked**
- **Administrative Time Off**
- **Leave Reduction Effort**
- **Monthly Leave Auditing**
- **State Service**
- **Timekeeping**

Mandated Training

- Basic Supervisory Training
- Ethics Training
- Sexual Harassment Prevention Training

Personal Services Contracts

- Personal Services Contracts (Process Review)

Policy and Processes

- **Administrative Hearing and Medical Interpreter Program**
- **Nepotism**
- **Performance Appraisals and Individual Development Plans**
- **Workers' Compensation (Process Review)**

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2. Will other operational personnel practices be added to the compliance review scope in the future?

The SPB, in coordination with CalHR, may add or remove personnel operations on an as needed basis.

3. How were the new personnel functions and/or operations selected?

CalHR and the SPB prioritized personnel operations that have been delegated to departments and are not currently monitored by CalHR or the SPB in an effort to potentially reduce costs to the State caused by errors, discrepancies, and/or inconsistencies within departments' personnel operations.

4. How often will CRU review the new personnel functions and/or operations?

Currently, compliance reviews are conducted on a three-year cycle. The expanded review scope will utilize the existing compliance review infrastructure and timeline already established. As such, just like the prior compliance review timeline, each department will be reviewed once every three years.

The CRU began a new three year cycle as of July 1, 2016. If your department has already been reviewed since July 2016, your department will not be reviewed for the expanded operational personnel practices until our next three year cycle begins on July 1, 2019.

5. How long will the compliance reviews take?

The SPB recognizes that the compliance review process may require more time than in previous cycles due to the increase of personnel operations under review. Depending on the size of the department and the ready availability of information and documentation, the reviews will vary in timeframe from 2 – 6 months. The SPB will make every effort to ensure as timely a review as possible.

6. Will the compliance review process differ in any way from previous compliance reviews?

As stated above in our response to question four, the expanded review scope will utilize the existing compliance review infrastructure and timeline already established, including the compliance review process. The department will only need to provide more information and documentation on the additional personnel operations under review.

As before, the CRU will send out a notification email to each department including a *Preliminary Survey* to be completed by the department and an invitation to conduct an entrance conference. The entrance conference is voluntary and gives the department the opportunity to ask any questions about the compliance review process.

The information provided in the *Preliminary Survey* will act as basis for the compliance review's selection process for both merit and non-merit-related personnel operations. After receiving the *Preliminary Survey*, the CRU will then request documentation from the department as specified in the *Material*



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Request Form (MRF) for those items such as appointments, exams, salary determinations, etc. selected for review.

When the requested materials are ready for review, the CRU will conduct a review of the documentation provided either on-site or in-house depending on how the materials and/or documentation are provided by the department. After the CRU's review, the department will receive an opportunity to provide any missing documentation and clarify any questions or concerns presented by the SPB.

The CRU will then complete a draft report summarizing its findings of the compliance review and provide a copy to the department prior to setting-up an exit conference. The exit conference will provide CRU the opportunity to present their findings and the department a chance to respond to the findings and to address any questions and/or concerns.

Last, the department will be required to provide a written departmental response that will be attached to the final draft of the report. The department will be provided a copy of the final draft of the report prior to its posting on the SPB's website.

7. What kinds of materials or information will the SPB request for each operational personnel practice and/or function?

Please refer to the CRU's updated Material Request Forms located on our website [\[coming soon\]](#).

8. Who should I contact if I have any questions or concerns regarding the SPB's expanded compliance review scope and/or review process?

Please contact Joseph Ruggiero, Associate Personnel Analyst, at Joseph.Ruggiero@spb.ca.gov or 916-653-0920, or Helaina Medrano, Associate Personnel Analyst, at Helaina.Medrano@spb.ca.gov or 916-651-0107, if you have any further questions or concerns.