

**BOARD RESOLUTION ADOPTING THE COMPLIANCE REVIEW REPORT AND
FINDINGS BY THE SPB COMPLIANCE REVIEW DIVISION OF
THE DEPARTMENT OF CORPORATIONS**

WHEREAS, the State Personnel Board (SPB or Board) at its duly noticed meeting of September 5, 2013, carefully reviewed and considered the attached Compliance Review Report of the Department of Corporations submitted by SPB's Compliance Review Division.

WHEREAS, the Report was prepared following a baseline review of the Department of Corporations' personnel practices and details the background, scope, and methodology of the review, and the findings and recommendations.

NOW, THEREFORE, BE IT RESOLVED, that the Board hereby adopts the Report, including all findings and recommendations contained therein. A true copy of the Report shall be attached to this Board Resolution and the adoption of the Board Resolution shall be reflected in the record of the meeting and the Board's minutes.



SUZANNE M. AMBROSE
Executive Officer

August 23, 2013

Sharon Robinson, Chief
Human Resources Office
Department of Business Oversight
Formerly Department of Corporations
1515 K Street, Suite 200
Sacramento, CA 95814

RE: Compliance Review Report

Dear Sharon Robinson:

The State Personnel Board (Board or SPB) conducted a baseline compliance review of the Department of Corporations (CORP)'s examinations, appointments, and EEO program during the period of May 1, 2011 through October 31, 2012. The primary objective of the review was to determine if CORP's personnel practices, policies, and procedures complied with state civil service laws and board regulations, and to recommend corrective action where deficiencies were identified.

CORP provided the documents that SPB requested. A cross-section of CORP's examinations and appointments were selected for review to ensure that samples of various examinations and appointment types, classifications, and levels were analyzed. The review of the EEO program included examining written policies and procedures, the EEO officer's role and duties, and the internal discrimination complaint process. The SPB also interviewed appropriate CORP staff.

The Compliance Review Division (CRD) has found no deficiencies in the review of CORP's administration of examinations, appointments, or EEO program. The CRD will submit its findings to the five member State Personnel Board and recommend adoption. The Board will issue a resolution either adopting these findings or issuing its own findings and order. In either event, you will be notified of the Board's action. The final Board action will be posted on the SPB's website.

Sharon Robinson
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We greatly appreciated the cooperation and assistance provided by CORP personnel.
If you have questions, please contact me at (916) 651-0924.

Sincerely,

A handwritten signature in blue ink, appearing to read "James L. Murray", with a long horizontal flourish extending to the right.

James L. Murray, Chief
Compliance Review Division
State Personnel Board