

**BOARD RESOLUTION ADOPTING THE COMPLIANCE REVIEW REPORT AND  
FINDINGS BY THE SPB COMPLIANCE REVIEW UNIT OF  
THE DEPARTMENT OF FINANCE**

**WHEREAS**, the State Personnel Board (SPB or Board) at its duly noticed meeting of March 3, 2014, carefully reviewed and considered the attached Compliance Review Report of the Department of Finance submitted by SPB's Compliance Review Unit.

**WHEREAS**, the Report was prepared following a baseline review of the Department of Finance's personnel practices. It 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



801 Capitol Mall Sacramento, CA 95814 | [www.spb.ca.gov](http://www.spb.ca.gov)

Governor Edmund G. Brown Jr.

December 13, 2013

Mr. Michael Cohen, Director  
Department of Finance  
915 L Street  
Sacramento, CA 95814

RE: Compliance Review Report

Dear Mr. Cohen:

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

DOF provided the documents that SPB requested. A cross-section of DOF's examinations, appointments, and personal services contracts 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 DOF staff.

The Compliance Review Division (CRD) has found no deficiencies in the review of DOF's administration of examinations, appointments, personal services contracts, or EEO program. The CRD will submit its findings to the five member 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.

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

Sincerely,

A handwritten signature in black ink, appearing to read "James L. Murray". The signature is fluid and cursive, with a long horizontal stroke at the end.

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