

**BOARD RESOLUTION ADOPTING THE COMPLIANCE REVIEW REPORT AND  
FINDINGS BY THE SPB COMPLIANCE REVIEW DIVISION OF  
THE STATE WATER RESOURCES CONTROL BOARD**

**WHEREAS**, the State Personnel Board (SPB or Board) at its duly noticed meeting of November 7, 2013, carefully reviewed and considered the attached Compliance Review Report of the State Water Resources Control Board submitted by SPB's Compliance Review Division.

**WHEREAS**, the Report was prepared following a baseline review of the State Water Resources Control Board'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.

  
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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.

October 29, 2013

Thomas Howard  
Executive Director  
State Water Resources Control Board  
1001 I Street  
Sacramento, CA 95814

RE: Compliance Review Findings and Recommendations

Dear Mr. Howard:

The State Personnel Board (Board or SPB) conducted a baseline compliance review of the State Water Resources Control Board (SWRCB)'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 SWRCB's personnel practices, policies, and procedures complied with state civil service laws and Board regulations, and to recommend corrective action where deficiencies were identified.

SWRCB provided the documents that SPB requested. A cross-section of SWRCB'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 SWRCB staff.

The Compliance Review Division (CRD) of the SPB found no deficiencies in SWRCB's administration of examinations, appointments, EEO program, or personal services contracts. The CRD will submit its findings to the five-member Board and recommend adoption. The Board may issue a Resolution adopting the findings and recommendation as stated herein, or the Board may order its own findings and recommendations. In either event, you will be notified of the Board's final decision. The Board's Resolution will also be posted on our website.

We greatly appreciated the cooperation and assistance provided by SWRCB personnel. If you have questions, please feel free to contact me at (916) 651-0924.

Sincerely,



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

cc: Darrin Polhemus – Deputy Director of Administration