



## 2021 REPORT TO THE LEGISLATURE

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## COMPLIANCE REVIEW AND SPECIAL INVESTIGATION ACTIVITIES

Prepared by

### State Personnel Board

801 Capitol Mall  
Sacramento, CA 95814

Kathy Baldree, President  
Mona Pasquil Rogers, Vice President  
Kimiko Burton, Member  
Lauri Shanahan, Member  
Shawnda Westly, Member

Suzanne M. Ambrose, Executive Officer

October 2021



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## **BACKGROUND**

Effective 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). Specifically, SPB programs related to appointments consultation, career executive assignment allocations, test development, recruitment, examinations, psychological and medical screening, training, and the Office of Civil Rights transferred to the CalHR along with the associated staff and funding. In addition, all of the SPB's accounting, budget, business services, human resources, information technology, legislative affairs, and public information office resources 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 cyclical standard reviews of five major areas: examinations, appointments, equal employment opportunity (EEO), personal services contracts (PSC), and mandated trainings. 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 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, "on or before October 1, 2014, and every October 1 thereafter, 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 due October 1, 2021, describes the compliance review and special investigation activities of the CRD from July 1, 2020, to June 30, 2021. 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.

## **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.<sup>1</sup>
- CRD staff provide technical assistance to departments to facilitate compliance in a given area.

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

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## INDEX OF REVIEWED AREAS<sup>2</sup>

#	<u>Department</u>	<u>Exam</u>	<u>Appt</u>	<u>EEO</u>	<u>PSC</u>	<u>Train</u>	<u>Comp &amp; Pay</u>	<u>Leave</u>	<u>Policy</u>
1	Alternative Energy and Advanced Transportation Financing Authority	X	✓	✓	✓	✓	✓	✓	✓
2	California Community Colleges Chancellor's Office	✓	✓	✓	✓	✓	✓	✓	✓
3	California Conservation Corps	✓	✓	✓	X	✓	✓	✓	✓
4	California Debt & Investment Advisory Commission	X	✓	✓	✓	✓	✓	✓	✓
5	California Department of Corrections and Rehabilitation	✓	✓	✓	✓	✓	✓	✓	✓
6	California Department of Fish and Wildlife	✓	✓	✓	✓	✓	✓	✓	✓
7	California Department of Food and Agriculture	✓	✓	✓	✓	✓	✓	✓	✓
8	California Department of Forestry and Fire Protection	✓	✓	✓	✓	✓	✓	✓	✓
9	California Department of Housing and Community Development	✓	✓	✓	✓	✓	✓	✓	✓
10	California Department of Insurance	✓	✓	✓	✓	✓	✓	✓	✓
11	California Department of Tax and Fee Administration	✓	✓	✓	✓	✓	✓	✓	✓
12	California Department of Technology	✓	✓	✓	✓	✓	✓	✓	✓
13	California Exposition and State Fair	✓	✓	✓	✓	✓	✓	✓	✓
14	California Health Benefit Exchange	✓	✓	✓	✓	✓	✓	✓	✓

<sup>2</sup> 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.

<b>#</b>	<b><u>Department</u></b>	<b><u>Exam</u></b>	<b><u>Appt</u></b>	<b><u>EEO</u></b>	<b><u>PSC</u></b>	<b><u>Train</u></b>	<b><u>Comp &amp; Pay</u></b>	<b><u>Leave</u></b>	<b><u>Policy</u></b>
15	California Natural Resources Agency	✓	✓	✓	✓	✓	✓	✓	✓
16	California Prison Industry Authority	✓	X	✓	✓	✓	✓	✓	✓
17	California Public Utilities Commission	✓	✓	✓	✓	✓	✓	✓	✓
18	California Science Center	✓	✓	✓	✓	✓	✓	✓	✓
19	California State Auditors	✓	✓	✓	X	✓	X	X	✓
20	California State Board of Equalization	✓	✓	✓	✓	✓	✓	✓	✓
21	California State Coastal Conservancy	X	✓	✓	X	✓	✓	✓	✓
22	California State Library	✓	✓	✓	✓	✓	✓	✓	✓
23	California Tahoe Conservancy	X	✓	✓	✓	✓	✓	✓	✓
24	California Tax Credit Allocation Committee	X	✓	✓	✓	✓	✓	✓	✓
25	California Transportation Commission	✓	✓	✓	✓	✓	✓	✓	✓
26	Cannabis Control Appeals Panel	X	✓	✓	X	✓	✓	✓	✓
27	Commission on Peace Officer Standards and Training	✓	✓	✓	✓	✓	✓	✓	✓
28	Commission on State Mandates	X	✓	✓	✓	✓	✓	✓	✓
29	Commission on Teacher Credentialing	✓	✓	✓	✓	✓	✓	✓	✓
30	Department of Conservation	✓	✓	✓	✓	✓	✓	✓	✓
31	Department of Justice	✓	✓	✓	✓	✓	✓	✓	✓
32	Department of Managed Health Care	✓	✓	✓	✓	✓	✓	✓	✓

#	<u>Department</u>	<u>Exam</u>	<u>Appt</u>	<u>EEO</u>	<u>PSC</u>	<u>Train</u>	<u>Comp &amp; Pay</u>	<u>Leave</u>	<u>Policy</u>
33	Department of Real Estate	✓	✓	✓	✓	✓	✓	✓	✓
34	Department of State Hospitals	✓	✓	✓	✓	✓	✓	✓	✓
35	Employment Development Department	✓	✓	✓	✓	✓	✓	✓	✓
36	Financial Information System for California	✓	✓	✓	✓	✓	✓	✓	✓
37	Legislative Counsel Bureau	✓	✓	✓	X	✓	✓	✓	✓
38	Mental Health Services Oversight and Accountability Commission	✓	✓	✓	✓	✓	✓	✓	✓
39	Office of Systems Integration	✓	✓	✓	✓	✓	✓	✓	✓
40	Office of Tax Appeals	X	✓	✓	✓	✓	✓	✓	✓
41	San Diego River Conservancy	X	X	✓	X	✓	X	✓	✓
42	ScholarShare Investment Board	X	✓	✓	✓	✓	✓	✓	✓
43	Secure Choice Retirement Savings Investment Board	X	✓	✓	✓	✓	✓	✓	✓
44	Seismic Safety Commission	X	X	✓	X	✓	X	✓	✓
45	State Compensation Insurance Fund	✓	✓	✓	✓	✓	✓	✓	✓
46	State Independent Living Council	X	X	✓	X	✓	X	✓	✓
47	State Water Resources Control Board	✓	✓	✓	✓	✓	✓	✓	✓
48	Wildlife Conservation Board	X	✓	✓	X	✓	✓	✓	✓

Key:

**Exam** = examinations, **Appt** = appointments, **EEO** = equal employment opportunity, **PSC** = personal services contracts, **Train** = mandated training, **Comp & Pay** = compensation and pay, **Leave** = leave, and **Policy** = policy and processes.

✓ Signifies that a review of the area was conducted.

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

## **SUMMARY OF COMPLIANCE REVIEW FINDINGS**

From July 1, 2020, to June 30, 2021, the CRD completed compliance reviews of 48 state departments and one special investigation. Deficiencies were found in all areas of review. The areas of mandated training, compensation and pay, leave, and policy have the largest numbers of violations.

The most common violations and corrective actions from the compliance reviews were:

### **Very Serious Issues**

- Sexual Harassment Prevention Training Was Not Provided For All Supervisors
  - 32 out of 48 departments or 67%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 12950.1
  
- Ethics Training Was Not Provided For All Filers
  - 31 out of 48 departments or 65%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 11146.3
  
- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs
  - 12 out of 48 departments or 25%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 19995.4
  
- Department Does Not Maintain A Current Written Nepotism Policy
  - 11 out of 48 departments or 23%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Human Resources Manual Section 1204

### **Serious Issues**

- Annual Performance Appraisals Were Not Provided To All Employees
  - 33 out of 48 departments or 69%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 19992.2 and California Code of Regulations, title 2, section 599.798
  
- Probationary Evaluations Were Not Provided For All Appointments Reviewed
  - 31 out of 48 departments or 65%



- Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 19172 and California Code of Regulations, title 2, section 599.795
- Unions Were Not Notified Of Personal Services Contracts
  - 24 out of 48 departments or 50%.
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 19132

**Technical Issues**

- Leave Activity And Correction Certification Forms Were Not Completed For All Leave Records Reviewed
  - 16 out of 48 departments or 33%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Human Resources Manual section 2101
- Appointment Documentation Was Not Kept For The Appropriate Amount Of Time
  - 9 out of 48 departments or 21%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with California Code of Regulations, title 2, section 26

The CRD began departmental reviews in Fiscal Year 2012-13. Since then, almost every state agency has been reviewed twice, allowing CRD to see trends with repeat violations.

The table below represents the agencies reviewed in FY 2020/2021 with repeat violations. These agencies have been asked to submit specific and measurable corrective action plans to address any systemic barriers in an effort to achieve compliance in the pertinent areas.

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
California Community Colleges Chancellor's Office	Inactive Disability Advisory Committee	✓	✓
	Supervisory Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Missing Probationary Reports	✓	✓

<b>DEPARTMENT</b>	<b>VIOLATION</b>	<b>CURRENT REVIEW</b>	<b>PRIOR REVIEW</b>
California Conservation Corps	Salary Determination Errors	✓	✓
	Incorrectly Posted Leave Usage and/or Leave Credit	✓	✓
California Department of Corrections and Rehabilitation	Visible EEO Data	✓	✓
	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Department of Fish and Wildlife	Missing Probationary Reports	✓	✓
California Department of Food and Agriculture	Missing Probationary Reports	✓	✓
	Ethics Training	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Department of Housing and Community Development	Missing Probationary Reports	✓	✓
California Exposition and State Fair	Inactive Disability Advisory Committee	✓	✓
California Health Benefit Exchange	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
California Public Utilities Commission	Missing Probationary Reports	✓	✓
	Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period	✓	✓
	Supervisory Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Department of Forestry and Fire Protection	Missing Probationary Reports	✓	✓
California State Coastal Conservancy	Ethics Training Deficiency	✓	✓
California State Library	Missing Probation Reports	✓	✓
California Transportation Commission	Missing Performance Appraisals	✓	✓
Commission on State Mandates	Missing Documentation	✓	✓
	Missing Performance Appraisals	✓	✓
California Department of Food and Agriculture	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Department of Insurance	Missing Probationary Reports	✓	✓
California Department of Tax and Fee Administration	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
California Department of Technology	Missing Probationary Reports	✓	✓
	Inactive Disability Advisory Committee	✓	✓
California Natural Resources Agency	Missing Probationary Reports	✓	✓

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
Department of Conservation	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Missing Performance Appraisals	✓	✓
Department of Justice	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
Department of Managed Health Care	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Missing Performance Appraisals	✓	✓
Department of State Hospitals	Missing Documentation	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
Financial Information System for California	Missing Probationary Reports	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Missing Documentation	✓	✓
	Incorrectly Posted Leave Usage and/or Leave Credit	✓	✓
	Missing Performance Appraisals	✓	✓
Legislative Counsel Bureau	Missing Probationary Reports	✓	✓
	Inactive Disability Advisory Committee	✓	✓
Office of Systems Integration	Missing Probationary Reports	✓	✓
Commission on Peace Officer Standards and Training	Missing Probationary Reports	✓	✓
	Written Justification Was Not Provided for All Personal Services Contracts	✓	✓
	Missing Performance Appraisals	✓	✓

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
State Compensation Insurance Fund	Missing Probationary Reports	✓	✓
State Water Resources Control Board	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
	Supervisory Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
Wildlife Conservation Board	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
	Ethics Training Deficiency	✓	✓
	Missing Performance Appraisals	✓	✓

The violations described above are summarized in more detail below:

Inactive Disability Advisory Committee

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).)

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.

Supervisory Training Deficiency

Each department must provide its new supervisors a minimum of 80 hours of supervisory training within the probationary period. Upon completion of the initial training, supervisory employees shall receive a minimum of 20 hours of leadership training biennially. (Gov. Code, § 19995.4, subds. (b) and (c).) Upon initial appointment of an employee to a managerial position, each employee must receive 40 hours of leadership training within 12 months of appointment. Thereafter, the employee shall receive a minimum of 20 hours of leadership training biennially. (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. Thereafter, the employee shall receive a minimum of 20 hours of leadership training biennially. (Gov. Code, § 19995.4, subd. (e).)

By failing to provide supervisory training, departments do not ensure its leaders are properly trained. Without proper training, leaders may not properly carry out their leadership roles, including managing employees.

Note: Due to restrictions on in-person activities due to the Covid-19 pandemic, this area of review was temporarily suspended for review periods commencing after April 1, 2020. It will be reinstated during the next fiscal year.

#### Sexual Harassment Prevention Training Deficiency

New supervisors must be provided sexual harassment prevention training within six months of appointment. Thereafter, each department must provide its supervisors two hours of sexual harassment prevention training every two years. (Gov. Code, § 12950.1, subd. (a).)

By failing to provide sexual harassment prevention training, departments do not ensure that all new and existing supervisors 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.

#### Missing Probationary Reports

During the probationary period, the appointing power is required to evaluate the work and efficiency of a probationer at sufficiently frequent intervals to keep the employee adequately informed of progress on the job. (Gov. Code, § 19172; Cal. Code Regs., tit. 2, § 599.795.)

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.

#### Salary Determination Errors

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.)

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.

#### 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.)

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.

#### Visible EEO Data

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 CalHR to be necessary to an assessment of the fairness of the selection process and to the planning and monitoring of equal employment opportunity 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."

The applicants' protected classes were visible, subjecting the agency to potential liability.

#### Missing Documentation

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 records are created or from the effective date of the employee's appointment, whichever date is later. These records are required to be readily accessible and retained in an orderly and systematic manner. (Cal. Code Regs., tit. 2, § 26.)

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

#### Ethics Training Deficiency

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).)

By failing to provide mandated ethics training, departments do not ensure that filers are aware of prohibitions related to their official position and influence.

#### 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.*)

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.

#### Missing Performance Appraisals

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.)

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

#### 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).)

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



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

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

**Severity and Frequency of Violations**

Violations 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 severity and frequency of the most common violations.

**VERY SERIOUS ISSUES**

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 1: SEXUAL HARASSMENT PREVENTION TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS</b>
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**Criteria:** Each department must provide its supervisors two hours of sexual harassment prevention training every two years. New supervisors 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 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.

**Frequency:** High. 32 out of 48 departments or 67%.

**Cause:** Incomplete training within the required time periods; unavailable or changed Learning Management Software (LMS) platforms; inaccurate reporting; no system in place for tracking and maintaining training certificates; lack of a consistent method to deliver training to new supervisors within six months of appointment; misinterpretation of the training requirement; transition to a new training protocol; workload or scheduling constraints; and human error.

**Corrective Action:** Departments were required to submit corrective action plans they will implement to ensure supervisors are provided sexual harassment prevention training in accordance with Government Code section 12950.1.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 2: ETHICS TRAINING WAS NOT PROVIDED FOR ALL FILERS</b>
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**Criteria:** 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.

**Frequency:** High. 31 out of 48 departments or 65%.

**Cause:** Lack of training on the functions of the LMS system; human error; lack of adequate transfer of duties upon an analyst's retirement; failure on the part of employees to take the mandatory training course; failure to forward the certificate to the Human Resources Office; no LMS available during the review period; new filers not being notified to complete ethics training timely; and relocation of the Training Office.

**Corrective Action:** Departments were required to submit corrective action plans to demonstrate that appropriate steps were taken to ensure that filers are provided ethics training within the time periods prescribed to ensure compliance with Government Code section 11146.3.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 3: SUPERVISORY TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS, MANAGERS, AND CEAS</b>
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**Criteria:** Each department must provide its new supervisors a minimum of 80 hours of supervisory training within the probationary period. Upon completion of the initial training, supervisory employees shall receive a minimum 20 hours of leadership training biannually. (Gov. Code, § 19995.4, subds. (b) & (c).)

Upon initial appointment of an employee to a managerial position, each employee must receive 40 hours of leadership training within 12 months of appointment. Thereafter, the employee shall receive a minimum of 20 hours of leadership training biennially. (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. Thereafter, the employee shall receive a minimum of 20 hours of leadership training biennially. (Gov. Code, § 19995.4, subd. (e).)

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

**Frequency:** High. 12 out of 48 departments or 25%.

**Cause:** Infrequent training provided; limited availability of classes; operational needs; lack of reminder processes; inadequate tracking procedures; and training contract issues.

**Corrective Action:** Departments were required to submit corrective action plans to ensure that new supervisors, managers, and CEAs are provided leadership and development training within twelve months of appointment, and that thereafter, they receive a minimum of 20 hours of leadership training biennially, as required by Government Code section 19995.4.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 4: DEPARTMENT DOES NOT MAINTAIN A CURRENT WRITTEN NEPOTISM POLICY</b>
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**Criteria:** It is the policy of the State of California to recruit, hire and assign all employees on the basis of fitness and merit in accordance with civil service statutes, rules and regulations. (Human Resources Manual Section 1204). All department policies should emphasize that nepotism is antithetical to a merit-based personnel system and that the department is committed to the state policy of recruiting, hiring, and assigning employees on the basis of merit. (*Ibid.*)

**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 recruitment, hiring, and assigning 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.

**Frequency:** High. 11 out of 48 departments or 23%.

**Cause:** Draft nepotism policy was not approved or disseminated; outdated policy; and lack of awareness by department to maintain its own written policy.

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

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 5: INCORRECT AUTHORIZATION OF BILINGUAL PAY</b>
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**Criteria:** 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.

**Frequency:** High. 11 out of 48 departments or 23%.

**Cause:** Lack of updated bilingual pay procedures; inefficiencies within the organization; inability to locate supporting documentation; human error; and staff turnover causing inconsistent application of bilingual pay requirements.

**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure conformity with Government Code section 7296, and Pay Differential 14.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 6: INCORRECT AUTHORIZATION OF OUT-OF-CLASS PAY</b>
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**Criteria:** For Bargaining Unit 1, 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.

Excluded 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 (T&D) 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).)

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

**Frequency:** High. 11 out of 48 departments or 23%.

**Cause:** Lack of training; absence of checks and balances; inadequate staffing; and processing errors.

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

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 7: A DISABILITY ADVISORY COMMITTEE HAS NOT BEEN ESTABLISHED</b>
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**Criteria:** 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).) The department must invite all employees to serve on the committee and take appropriate steps to ensure that the final committee is comprised of members who have disabilities or who have an interest in disability issues. (Gov. Code, § 19795, subd. (b)(2).)

**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.

**Frequency:** High. 10 out of 48 departments or 21%.

**Cause:** Vacancy of EEO Officer position; lack of resources; lack of interest from staff to participate; large number of retirements coupled with retirement of EEO Officer; and EEO Officer was not aware that small departments could join a DAC with other agencies.

**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.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 8: ALTERNATE RANGE MOVEMENTS DID NOT COMPLY WITH CIVIL SERVICE LAWS, RULES, AND CALHR POLICIES AND GUIDELINES</b>
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**Criteria:** 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. Departments failed to comply with the requirements outlined in the state civil service pay plan. 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.

**Frequency:** Medium. 9 out of 48 departments or 19%.

**Cause:** Keying discrepancies; inexperienced staff; insufficient checks and balances; miscalculation of anniversary date; and misinterpretation of alternate range criteria.

**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure that employees are compensated correctly. They were also required

to establish an audit system to correct current compensation transactions as well as future transactions.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 9: INCORRECTLY POSTED LEAVE USAGE AND/OR LEAVE CREDIT</b>
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**Criteria:** 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.

**Frequency:** Medium. 8 out of 48 departments or 17%.

**Cause:** Inadvertent errors; failure to use the Leave Activity and Certification Form; workload increases; staff turnover; and, insufficient auditing measures.

**Corrective Action:** Departments were required to submit corrective action plans that addressed the corrections the department will implement to ensure conformity with Human Resources Manual Section 2101.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 10: INCORRECT APPLICATION OF STATE SERVICE AND LEAVE TRANSACTIONS</b>
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**Criteria:** 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 a temporary or permanent separation for more than 11 consecutive working days which fall into two consecutive qualifying 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.

**Frequency:** Medium. 7 out of 48 departments or 15%.

**Cause:** Leave Accounting System was not updated; human error; lack of training; lack of auditing measures and oversight; and, suspension of in-person training due to COVID-19 pandemic.

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

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 11: INCORRECT AUTHORIZATION OF PAY DIFFERENTIALS</b>
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**Criteria:** 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. The department failed to comply with the state civil service pay plan by incorrectly applying compensation laws and rules in accordance with CalHR's policies and guidelines. This results in civil service employees receiving incorrect and/or inappropriate compensation.

**Frequency:** Medium. 7 out of 48 departments or 15%.

**Cause:** Lack of process to ensure review of pay differential transactions; inadequate staffing; lack of training; and human error.

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

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 12: INCORRECT APPLICATIONS OF SALARY DETERMINATION LAWS, RULES, AND CALHR POLICIES AND GUIDELINES</b>
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**Criteria:** 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. Departments failed to comply with the requirements outlined in the state civil service pay plan. 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.

**Frequency:** Medium. 5 out of 48 departments or 10%.

**Cause:** Human error; lack of checks and balances; misunderstanding of salary determination rules; and, lack of training.

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

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 13: COMPLAINANTS WERE NOT NOTIFIED OF THE REASONS FOR DELAYS IN DECISIONS RELATED TO EEO COMPLAINTS WITHIN THE PRESCRIBED TIME PERIOD</b>
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**Criteria:** 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.

**Frequency:** Medium. 5 out of 48 departments or 10%.

**Cause:** EEO processes did not address contacting employees if a delay occurred; continual submission of information from complainant(s); human error; and new EEO staff was not aware of the requirement.

**Corrective Action:** Departments were to submit corrective action plans that addressed the corrections to be implemented to ensure conformity with the requirements of California Code of Regulations, title 2, section 64.4, subdivision (a).

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 14: WORKERS' COMPENSATION POLICY WAS NOT PROVIDED TO NEW EMPLOYEES BY THE END OF FIRST PAY PERIOD</b>
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**Criteria:** Employers shall provide to every new employee at the time of hire or by the end of the first pay period, written notice concerning the rights, benefits, and obligations under Workers' Compensation Law. (Cal. Code Regs., tit. 8, § 9880.) If volunteers are covered, they will be entitled to the same benefits as any paid staff (Human Resources Manual Section 1415).

**Severity:** Very Serious. Departments do not ensure that employees are aware of policies and procedures concerning workers' compensation.

**Frequency:** Low. 4 out of 48 departments or 8%.

**Cause:** Paper checklist verifying employees were provided Workers' Compensation documents at new employee orientation was not retained; and, utilization of outdated onboarding checklists.

**Corrective Action:** Departments were required to provide corrective actions plans to ensure compliance with California Code of Regulations, title 8, section 9880.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 15: UNLAWFUL APPOINTMENT</b>
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**Criteria:** 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.

An unlawful appointment may not be voided if the effective date of the appointment is past one year, and both appointing power and employee have acted in good faith.

**Frequency:** Low. 3 out of 48 departments or 6%.

**Cause:** Confusion regarding the unlawful appointment investigation process; lack of oversight; staff error; and misinterpretation of minimum qualifications.

**Corrective Action:** Departments were required to submit written corrective action plans addressing the corrections they will implement to improve their hiring practices.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 16: EQUAL EMPLOYMENT OPPORTUNITY QUESTIONNAIRES WERE NOT SEPARATED FROM APPLICATIONS</b>
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**Criteria:** 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): for example, 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.

**Frequency:** Low. 3 out of 48 departments or 6%.

**Cause:** Lack of staff oversight; candidates who did not meet minimum qualifications were not allowed to take examinations and therefore the EEO questionnaires remained attached.

**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure that future EEO questionnaires are separated from all applications.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 17: POSITION WAS IMPROPERLY FILLED BY TRAINING AND DEVELOPMENT ASSIGNMENT</b>
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**Criteria:** California Code of Regulations, title 2, section 438, subdivision (b)(2), provides that employees shall be allowed to accept T&D assignments involving the duties of a different class with a promotional salary range provided that:

(A) The higher salaried class is the class in the desired occupational area nearest in salary to the employee's current class that will provide an appropriate training experience; and

(B) When the T&D class is more than three steps higher than the employee's current class, the intent of the T&D assignment is to prepare the employee for a permanent move to the T&D class or to a closely related class, and the employee will meet minimum qualifications for the higher salaried class by the conclusion of the T&D assignment; and

(C) The T&D class is not in the same class series as the employee's present class.

California Code of Regulations, title 2, section 248 provides that a person shall only be appointed to a civil service classification that is appropriate for the functions.

**Severity:** Very Serious. Although T&D assignments are used to prepare employees for advancement, they cannot legally replace the competitive promotional process. Therefore, with limited exceptions, the Board's regulations require that T&D assignments be made laterally. Plans for movement to higher levels must always involve competition in an examination.

**Frequency:** Low. 2 out of 48 departments or 4%.

**Cause:** T&D assignments were based on the incorrect interpretation of regulations; and inadequate training.

**Corrective Action:** Departments were required to submit corrective action responses addressing the corrections they will implement to demonstrate that the department will improve its hiring practices and ensure conformity with California Code of Regulations, title 2, section 248.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 18: EQUAL EMPLOYMENT OPPORTUNITY OFFICER IS NOT AT THE MANAGERIAL LEVEL</b>
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**Criteria:** California Government Code section 19795, subdivision (a) states “the appointing power of each state agency and the director of each state department shall appoint, at the managerial level, an equal employment opportunity officer, who shall report directly to, and be under the supervision of, the director of the department, to develop, implement, coordinate, and monitor the agency's equal employment opportunity program.”

**Severity:** Very Serious. The EEO Officer is responsible for developing, implementing, coordinating, and monitoring an effective EEO program. Due to the substantial responsibilities held by each department’s EEO Officer, it is essential that each department dedicate adequate resources to the oversight of the EEO program.

**Frequency:** Low. 2 out of 48 departments or 4%.

**Cause:** Lack of awareness of the requirement for the EEO Officer to be at the managerial level.

**Corrective Action:** Departments were required to submit corrective action responses addressing the corrections they will implement to ensure conformity with Government Code 19795, subdivision (a).

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 19: INJURED EMPLOYEES DID NOT RECEIVE WORKERS’ COMPENSATION CLAIM FORMS WITHIN ONE WORKING DAY OF NOTICE OR KNOWLEDGE OF INJURY</b>
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**Criteria:** An employer shall provide a claim form and notice of potential eligibility for workers’ compensation benefits to its employee within one working day of notice or knowledge that the employee has suffered a work related injury or illness. (Cal. Lab. Code, § 540.1, subd. (a).)

**Severity:** Very Serious. Injured employees were not provided the required form within the 24-hour time period. Providing the form within 24-hours of

injury prevents any delay in treatment to which the employee is entitled. A work-related injury can result in lost time beyond the employee's work shift at the time of injury and/or result in additional medical treatment beyond first aid.

**Frequency:** Low. 2 out of 48 departments or 4%.

**Cause:** Unclear instructions to the supervisor about the responsibility to provide the form to the injured employee within one working day of notice or knowledge of injury; insufficient training and oversight; and, delay in communication.

**Corrective Action:** Departments were required to submit written corrective action plans which addressed the corrections the department will implement to ensure conformity with Labor Code, section 5401.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 20: EQUAL EMPLOYMENT OPPORTUNITY OFFICER DOES NOT REPORT DIRECTLY TO THE HEAD OF THE AGENCY</b>
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**Criteria:** The appointing power must appoint, at the managerial level, an EEO Officer, who shall report directly to, and be under the supervision of, the Director of the department to develop, implement, coordinate, and monitor the department's EEO program. (Gov. Code, § 19795, subd. (a).)

**Severity:** Very Serious. The EEO Officer does not have direct access to the head of the organization, diminishing the significance of the EEO program. In the non-compliant departments, not only is the EEO Officer not directly supervised by the head of the agency, but there was no meaningful reporting relationship on EEO matters. To have an effective EEO program, the head of the organization must be actively involved.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Department was not aware the EEO Officer must report directly to the Executive Director.

**Corrective Action:** Department was required to provide a corrective action plan indicative that their EEO Officer reports to the Director on matters related to EEO subject to Government Code section 19795.



<b>SEVERITY:</b> <b>VERY SERIOUS</b>	<b>ISSUE 21: EQUAL EMPLOYMENT OPPORTUNITY OFFICER'S DUTY STATEMENT DOES NOT REFLECT EEO DUTIES</b>
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**Criteria:** The appointing power must appoint, at the managerial level, an EEO Officer, who shall report directly to, and be under the supervision of, the Director of the department to develop, implement, coordinate, and monitor the department's EEO program. (Gov. Code, § 19795, subd. (a).) The EEO Officer shall, among other duties, analyze and report on appointments of employees, bring issues of concern regarding EEO to the appointing power and recommend appropriate action, and perform other duties necessary for the effective implementation of the agency EEO plans. (Gov. Code, § 19795, subd. (a).)

**Severity:** Very Serious. The EEO Officer is responsible for developing, implementing, coordinating, and monitoring an effective EEO program. Due to the substantial responsibilities held by each department's EEO Officer, it is essential that each department, dedicate sufficient staff resources to successfully maintain an effective EEO program.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Human Resources overlooked the need to formally add the EEO duties to the employee's duty statement.

**Corrective Action:** Department was required to submit a corrective action plan to include an updated duty statement for the EEO Officer which addresses the corrections the department will implement to demonstrate conformity with Government Code section 19795, subd. (a).

<b>SEVERITY:</b> <b>VERY SERIOUS</b>	<b>ISSUE 22: INAPPROPRIATE APPOINTMENT BY WAY OF CERTIFICATION LIST</b>
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**Criteria:** California Code of Regulations, title 2, section 254, provides that, for a class in which the certification of eligibles is under Government Code sections 19057.1, 19057.2 and 19057.3, the appointing power shall fill a vacancy in a class by selection from the eligibles in the three highest ranks certified who are willing to accept employment under the conditions of employment specified.

**Severity:** Very Serious. The department failed to take the necessary steps to ensure that the candidate was appropriately hired off the certification list for which s/he had eligibility.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Human error.

**Corrective Action:** Department was required to submit a corrective action plan that addressed this finding and any corrective action taken.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 23: INAPPROPRIATE USE OF DEPARTMENT SPECIFIC CLASSIFICATIONS</b>
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**Criteria:** The department (CalHR) shall administer the Personnel Classification Plan of the State of California including the allocation of every position to the appropriate class in the classification plan. (Gov. Code, § 19818.6.) The department may designate an appointing power to allocate positions to the Personnel Classification Plan in accordance with Section 19818.6 and department rule. The department may audit position allocations. If the department finds that an appointing power has allocated positions inappropriately, the department may order corrective action, including, but not limited to, reallocating positions, voiding lawful personnel transactions, and revoking or restricting the appointing power's ability to allocate positions. (Gov. Code, § 19818.14.)

**Severity:** Very Serious. Department did not adhere to the terms of its signed Delegation Agreement with CalHR, thus failing to maintain a classification plan that is consistent with the standards and guidelines of the administration of the personnel management system.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Inability to locate the historical documentation that reflects CalHR's approval for the use of the specific classification.

**Corrective Action:** The department was required to submit a corrective action response which addresses the corrections implemented to ensure conformity with their delegation agreement.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 24: INCORRECT APPLICATION OF NON-QUALIFYING PAY PERIOD TRANSACTION</b>
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**Criteria:** 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.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Staff turnover.

**Corrective Action:** Department was required to submit a corrective action response addressing the corrections the department will implement to ensure state service transactions are keyed accurately.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 25: INCORRECT AUTHORIZATION OF HIRE ABOVE MINIMUM REQUEST</b>
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**Criteria:** CalHR may authorize payment at any step above the minimum salary limit to classes or positions in order to meet recruiting

problems, to obtain a person who has extraordinary qualifications. (Gov. Code, § 19836.)

**Severity:** Very Serious. Failure to comply with state civil service pay plan by 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.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Inadvertent error.

**Corrective Action:** Department was required to submit a corrective action response which addresses the corrections the department will implement to ensure conformity with Government Code section 19836 and CalHR Pay Scales Section 5.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 26: PAYROLL ERRORS WHEN ISSUING OUT-OF-CLASS PAYMENTS</b>
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**Criteria:** 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 T&D assignment and further, taken as a whole, 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. Department failed to comply with the state civil service pay plan by incorrectly applying compensation laws and rules in accordance with CalHR's policies and guidelines. This results in civil service employees receiving incorrect and/or inappropriate compensation.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Human error.

**Corrective Action:** Department was required to submit a corrective action response which addresses the corrections the department will implement to ensure conformity with Government Code section 599.810, and Pay Differentials 91 and 101.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 27: CANDIDATE WHO DID NOT MEET THE MINIMUM QUALIFICATIONS WAS ADMITTED INTO THE EXAMINATION</b>
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**Criteria:** 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 Regs., 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.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Inadvertent oversight.

**Corrective Action:** Department was required to submit a written corrective action response which addressed the corrections the department will implement to ensure all candidates meet the minimum qualifications prior to admittance into an examination.

<b>SEVERITY: VERY SERIOUS</b>	<b>ISSUE 28: INAPPROPRIATE APPOINTMENT BY WAY OF TRANSFER</b>
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**Criteria:** Government Code section 19050.4 provides, in part, that a transfer may be accomplished without examination pursuant to rule. California Code of Regulations, title 2, section 430 provides that classes meeting the criteria established by this article shall be considered to involve substantially the same level of duties, responsibility and salary for the purposes of Government Code section 19050.4; provided that the Board or the Executive Officer may prohibit transfer between such classes based on a specific finding that they are in a promotional relationship.

**Severity:** Very Serious. The department failed to ensure that all appointments are based on merit and comply with the laws and rules governing equitable administration of the civil service merit system.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Administrative oversight.

**Corrective Action:** The department was required to submit a written corrective action response which addressed the corrections the department will implement to demonstrate that the department will improve its hiring practices.

## SERIOUS ISSUES

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 29: PERFORMANCE APPRAISALS WERE NOT PROVIDED TO ALL EMPLOYEES</b>
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**Criteria:** 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.

**Frequency:** High. 33 out of 48 departments or 69%.

**Cause:** Workload and vacant management positions; no current process or policy in place; failure to follow through on completion by management; staff errors; and, lack of effective tracking and notification process.

**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.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 30: PROBATIONARY EVALUATIONS WERE NOT PROVIDED FOR ALL APPOINTMENTS REVIEWED</b>
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**Criteria:** 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.

**Frequency:** High. 31 out of 48 departments or 65%.

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

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

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 31: UNIONS WERE NOT NOTIFIED OF PERSONAL SERVICES CONTRACTS</b>
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**Criteria:** 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(b)(1).)

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

**Frequency:** High. 24 out of 48 departments or 50%.

**Cause:** 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; and different interpretation of Government Code.



**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure conformity with the requirements of Government Code section 19132.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 32: ADMINISTRATIVE TIME OFF (ATO) WAS NOT PROPERLY DOCUMENTED</b>
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**Criteria:** 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.

**Frequency:** Medium. 11 out of 48 departments or 23%.

**Cause:** Lack of a sound ATO process; lack of monitoring and/or staff oversight; delays in submission of timesheets; inexperienced staff; and inability to produce documentation.

**Corrective Action:** Departments were required to submit corrective action plans to ensure compliance with Government Code section 19991.10 and Human Resources Manual Section 2121.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 33: DEPARTMENT HAS NOT IMPLEMENTED A MONTHLY INTERNAL AUDIT PROCESS TO VERIFY ALL LEAVE INPUT IS KEYED ACCURATELY AND TIMELY</b>
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**Criteria:** 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. In order for Department leave accounting reports to reflect accurate data, the review of the leave accounting records and corrections, if necessary, are to be completed by the pay period following the pay period in which the leave was keyed into the leave accounting system. This means corrections are to be made prior to the next monthly leave activity report being produced.

**Frequency:** Medium. 8 out of 48 departments or 17%.

**Cause:** Lack of available staff; keying errors; late entries; employees do not update leave usage timely; supervisors did not approve leave timely; not feasible to audit the LAS system due to vast number of employees; and insufficient staff training and knowledge.

**Corrective Action:** Departments were required to submit corrective action responses which addressed the corrections they will implement to ensure their monthly internal audit process was documented and all leave input is keyed accurately and timely.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 34: POSITIVE PAID EMPLOYEES' WORK EXCEEDED TIME LIMITATIONS</b>
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**Criteria:** If any employee is appointed to an intermittent time base position on a temporary 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. Temporary 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.

**Frequency:** Medium. 5 out of 48 departments or 10%.

**Cause:** Lack of staff; loss of key personnel; staff errors; vast number of employees; lack training and knowledge; inaccurate process; and incorrect calculations.

**Corrective Action:** Departments were required to submit written documentation addressing the corrections they will implement to consistently monitor positive paid employees in conformity with California Code of Regulations, title 2, section 265.1.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 35: WRITTEN JUSTIFICATION WAS NOT PROVIDED FOR ALL PERSONAL SERVICES CONTRACTS</b>
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**Criteria:** 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 could not determine whether the department’s PSC’s complied with current procedural requirements.

**Frequency:** Medium. 5 out of 48 departments or 10%.

**Cause:** Not following internal process consistently; misunderstanding by staff; human error; and staff were unaware of the requirement to document with specifics and detailed factual information.

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

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 36: DEPARTMENT DID NOT RETAIN EMPLOYEE TIME AND ATTENDANCE RECORDS</b>
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**Criteria:** 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.) Such records shall be kept in the form and manner prescribed by the Department of Finance in connection with its powers to devise, install and supervise a modern and complete accounting system for state agencies. (*Ibid.*)

**Severity:** Serious. The department failed to retain employee time and attendance records for each employee. Therefore, the department was unable to reconcile timesheets against their leave accounting system at the conclusion of the pay period, which could have affected employee leave accruals and compensation.

**Frequency:** Low. 4 out of 48 departments or 8%.

**Cause:** Misfiling; lack of tracking process; and staff errors.

**Corrective Action:** Departments were required to submit written corrective action plans that addressed the corrections the departments will implement to ensure all timesheets are accounted for and processed in conformity with California Code of Regulations, title 2, section 599.665.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 37: POSITIVE PAID EMPLOYEES TIME AND ATTENDANCE RECORDS WERE NOT PROPERLY RETAINED AND/OR DOCUMENTED</b>
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**Criteria:** 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.) Such records shall be kept in the form and manner prescribed by the Department of Finance in connection with its powers to devise, install and supervise a modern and complete accounting system for state agencies. (*Ibid.*)

**Severity:** Serious. Failure to properly retain time and attendance records and to monitor employees' time worked results in civil service employees receiving incorrect and/or inappropriate compensation and/or benefits.

**Frequency:** Low. 2 out of 48 departments or 4%.

**Cause:** Errors made by Personnel Specialists.

**Corrective Action:** Departments were required to submit corrective action responses addressing the corrections to be implemented ensuring all timesheets are accounted for and processed in conformity with California Code of Regulations, title 2, section 599.665.

<b>SEVERITY: SERIOUS</b>	<b>ISSUE 38: PAY DIFFERENTIAL DOCUMENTATION WAS NOT KEPT FOR THE APPROPRIATE AMOUNT OF TIME</b>
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**Criteria:** 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:** Serious. Department failed to retain proper documentation to support the pay differential in accordance with CalHR’s policies and guidelines. This may result in civil service employees receiving incorrect and/or inappropriate compensation.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Staff errors.

**Corrective Action:** The department was required to submit a written corrective action response which addressed the corrections they will implement to ensure conformity with Pay Differential 67, and the record retention requirements of California Code of Regulations, title 2, section 26.

### TECHNICAL ISSUES

<b>SEVERITY: TECHNICAL</b>	<b>ISSUE 39: LEAVE REDUCTION PLANS WERE NOT DEVELOPED FOR EMPLOYEES WHOSE LEAVE BALANCES EXCEEDED ESTABLISHED LIMITS</b>
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**Criteria:** It is the policy of the state to foster and maintain a workforce that has the capacity to effectively produce quality services expected by both internal customers and the citizens of California. (Human Resources Manual Section 2124.) Therefore, appointing authorities and state managers and supervisors must create a leave reduction policy for the organization and monitor employees’ leave to ensure compliance with the departmental leave policy. Employees who have significant “over-the-cap” leave balances must have a leave reduction plan in place and be actively reducing hours. (*Ibid.*)

**Severity:** Technical. California state employees have accumulated significant leave hours creating an unfunded liability for departmental budgets. The value of this liability increases with each passing promotion and salary increase. Accordingly, leave balances exceeding established limits need to be addressed immediately.

**Frequency:** High. 4 out of 10<sup>3</sup> departments or 40%.

**Cause:** Staff oversight; insufficient training and inconsistent reminders; no official policy or process in place that includes monitoring and accountability; deficient in formalizing plans and maintaining documentation that plans were developed; and, lack of follow through by employees.

**Corrective Action:** Departments were required to submit corrective action plans to ensure compliance with Human Resources Manual Section 2124.

<b>SEVERITY: TECHNICAL</b>	<b>ISSUE 40: LEAVE ACTIVITY AND CORRECTION CERTIFICATION FORMS WERE NOT COMPLETED FOR ALL LEAVE RECORDS REVIEWED</b>
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**Criteria:** Departments are responsible for maintaining accurate and timely leave accounting records for their employees. (Cal. Code Regs., tit. 2, § 599.665.) Departments shall identify and record all errors found using a Leave Activity and Correction form. (Human Resources Manual Section 2101.) Furthermore, departments shall certify that all leave records for the unit/pay period identified on the certification form have been reviewed and all leave errors identified have been corrected. (*Ibid.*)

**Severity:** Technical. Departments must document that they reviewed all leave inputted into their leave accounting system to ensure accuracy and timeliness. For post-audit purposes, the completion of Leave Activity and Correction Certification forms demonstrates compliance with CalHR policies and guidelines.

**Frequency:** High. 16 out of 48 departments or 33%.

**Cause:** Staff was unaware of the requirements to use form; no revised procedure in place documenting an appropriate audit process; human error; inadequate staffing; lack of training for new staff; further training required; and, staff changes.

**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to

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<sup>3</sup> The CRD reviewed only 10 departments' leave reduction plans during FY 20/21 due to the implementation of the 2020 Personal Leave Program and corresponding October 2020 directive from CalHR that departments suspend policies requiring over the cap leave balances to be reduced.

demonstrate conformity with the Leave Activity and Correction Certification form requirements of Human Resources Manual section 2101.

<b>SEVERITY: TECHNICAL</b>	<b>ISSUE 41: APPOINTMENT DOCUMENTATION WAS NOT KEPT FOR THE APPROPRIATE AMOUNT OF TIME</b>
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**Criteria:** 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.

**Frequency:** High. 10 out of 48 departments or 21%.

**Cause:** Human error; unable to locate archive boxes due to recent turnover in warehouse staff; lack of directives; lack of auditing resources; staff not following retention procedures; and, manual process susceptible to error.

**Corrective Action:** Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure conformity with the record retention requirements of California Code of Regulations, title 2, section 26.

<b>SEVERITY: TECHNICAL</b>	<b>ISSUE 42: EXAMINATION APPLICATIONS WERE ACCEPTED AFTER THE FINAL FILING DATE</b>
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**Criteria:** California Code Regulations, title 2, section 174 requires timely filing of applications: All applications must be filed at the place within the time, in the manner, and on the form specified in the examination announcement.

Filing an application “within the time” shall mean that the application is electronically transmitted, or postmarked by the postal service. Or date stamped at one of the Department’s offices or at the appropriate



office of the agency administering the examination no later than the final filing date specified on the examination announcement. (Cal. Code. Regs., tit. 2, § 174, subd. (b).)

**Severity:** Technical. Final filing dates are established to ensure all applicants are given the same amount of time in which to apply for an examination and to set a deadline for the recruitment phase of the examination. Therefore, although the acceptance of applications after the final filing date may give some applicants more time to prepare their application than other applicants who meet the final filing date, the acceptance of late applications will not impact the results of the examination.

**Frequency:** Low. 1 out of 48 departments or 2%.

**Cause:** Unable to find evidence to support the reasons why applications were accepted late.

**Corrective Action:** The department was required to submit written a corrective action response which addressed the corrections the department will implement to ensure conformity with Rule 174.

<b>SEVERITY: TECHNICAL</b>	<b>ISSUE 43: DEPARTMENT DID NOT COMPLY WITH DOCUMENTATION REQUIREMENTS FOR PERMANENT WITHHOLDS</b>
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**Criteria:** 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.

**Frequency:** Low. 1 out of 48 departments or 2%.

**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.

## **SUMMARY OF SPECIAL INVESTIGATION**

During fiscal year 2020/2021, the CRD conducted a special investigation concerning the California Public Utilities Commission (CPUC) in response to a complaint alleging civil service rules were violated.

The CRD's investigation found that several employees were pre-selected and/or hired despite the availability of more qualified applicants; CPUC had inappropriately classified two T&D assignments in order to hire pre-selected candidates; and, the CPUC had inappropriately allocated several positions.

Further, the investigation found CPUC did not have a nepotism policy in place to ensure consistency with current statewide guidance on preventing nepotism, had no information as to the number of personal relationships within CPUC, and did not know whether employees with personal relationships reported to one another, or worked within the same unit.

As a result of CRD's investigation, the CPUC was directed to provide the CRD with a written update regarding its evaluation of the issues raised in the special investigative report, including all actions taken by CPUC in response to the findings addressed in the investigative report. The CPUC complied by submitting a detailed correction action response in a timely manner. Actions taken by CPUC include voiding several appointments, developing new policies relating to hiring and nepotism, and training human resources and CPUC staff on the civil service rules pertaining to merit-based hiring.

## **COMPLIANCE REVIEW UNIT COSTS**

The CRD completed 48 compliance reviews from July 1, 2020, to June 30, 2021. The total cost of the completed reviews is \$2,367,720. The total only includes completed reviews and does not include compliance reviews or special investigations in process but not completed during fiscal year 2020/2021. A breakdown of costs per department is listed in the Index of Compliance Reviews and Special Investigations costs in this report.

## **INDEX OF FINDINGS FOR COMPLIANCE REVIEWS**

### **Alternative Energy and Advance Transportation Financing Authority**

- 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 Contract
- Ethics Training Was Not Provided for All Filers
- Leadership and Development Training Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employee Tracked Hours 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 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

### **California Community Colleges Chancellor's Office**

- Equal Employment Opportunity Questionnaires Were Not Separated From Application
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- A Disability Advisory Committee Has Not been Established
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors
- 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
- 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 Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Were Not Developed For Employee's Whose Leave Balances Exceeded Established Limits

- Departmental Leave Reduction Policy Was Not Developed
- 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 Conservation Corps**

- 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
- Unlawful Appointment Investigation 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
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Applications of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointment
- Alternative Range Movements Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Hire Above Minimum Request 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
- 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 Timely to All Employees

### **California Debt and Investment Advisory Commission**

- 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

- 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 Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

### **California Department of Corrections and Rehabilitation**

- Equal Employment Opportunity Questionnaires Were Not Separated From Applications
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointment
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Those That Were Provided Were Untimely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- 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, Rules, and CalHR Policies and Guidelines
- Hire Above Minimum Requests 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 Exceeded the Nine Month Limitation in Any Twelve Consecutive Month Period
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Positive Paid Employees' Time and Attendance Records Were Not Properly Retained and/or Documented
- Administrative Time Off Was Not Properly Documented
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed
- 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 Timely to All Employees

## **California Department of Fish and Wildlife**

- 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
- Equal Employment Opportunity Program Complied With All Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Mandated Training Ethics Training Was Not Provided for All Filers
- Mandated Training 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
- Hiring 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 Exceeded the Nine Month Limitation in Any Twelve Consecutive Month Period
- Administrative Time Off Was Not Properly Documented
- 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
- Policy 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 Food and Agriculture**

- 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 Those 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
- 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
- Hiring 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 Exceeded the Nine Month Limitation in Any Twelve Consecutive Month Period
- 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

### **California Department of Forestry and Fire Protection**

- 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
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Written Justification Was Not Provided for All Personal Services Contracts
- Supervisory Training Was Not Provided for All Supervisors
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Exception to 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
- 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 (ATO) Was Not Properly Documented
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records



- 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 Housing and Community Development**

- 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 Those That Were Provided Were Untimely
- Unlawful Appointment Investigation 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
- 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
- Hiring 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
- 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
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and 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 Insurance**

- 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 Those 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
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Salary Determination Laws, Board Rules, and CalHR Policies and Guidelines for Appointment
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and 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 Leave 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
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and 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 Policy Was Not Provided to New Employees by the End of First Pay Period
- Performance Appraisals Were Not Provided to All Employees
- Administrative Hearing and Medical Interpreter Program Complied with Statutory Requirements

### **California 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 Provided for All Appointments Reviewed
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Regulations
- 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
- 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 Was Not Properly Documented
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Application of 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

### **California Department of Technology**

- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- A Disability Advisory Committee Has Not been Established
- Personal Services Contracts Complied with Procedural Requirements
- 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
- Hiring 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/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 Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify Timesheets are Keyed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies
- 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
- Performance Appraisals Were Not Provided to All Employees

### **California Exposition and State Fair**

- Examinations Complied with Civil Service Laws and Board Rules
- No Evidence Presented that Appointment Documentation Was Kept for the Appropriate Amount of Time
- No Evidence Presented that a Disability Advisory Committee Has Been Established
- Unions Were Not Notified of Personal Services Contracts
- No Evidence Presented that Ethics Training Was Provided for All Filers

- No Evidence Presented that Leadership and Development Training Was Provided for All Supervisors, Managers, and CEAs
- No Evidence Presented that Sexual Harassment Prevention Training Was Provided for All Supervisors
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- No Evidence Provided that Department Has Implemented a Monthly Internal Audit Process to Verify All Leave Input Is Keyed Accurately and Timely
- No Evidence Provided that Leave Reduction Plans Were Developed for Employees Whose Leave Balances Exceeded Established Limits
- 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
- No Evidence Presented to Demonstrate Performance Appraisals Were Provided to All Employees

### **California Health Benefit Exchange**

- Examination Applications Were Accepted After the Final File Date
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Inappropriate Use of Department Specific Classifications
- Probationary Evaluations Were Not Provided for all Appointments Reviewed and Those That Were Reviewed Were Untimely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- Unions Were Not Notified of Personal Services Contract
- Ethics Training Was Not Provided for All Filers
- Leadership and Development Training Was Not Provided for All Supervisors, Managers, and CEAs
- 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
- 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
- Payroll Errors When Issuing Out-of-Class Payments
- 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
- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed

- 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

### **California Natural Resources Agency**

- Examinations Complied with Civil Service Laws and Board Rules Appointments
- 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 Contract
- 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
- Incorrect Authorization of Pay Differentials
- 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 Does Not Maintain a Current Written Nepotism Policy
- 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 Prison Industry Authority**

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- 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
- Supervisory Training Was Not Provided for All New Supervisors
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Exception to Salary Rules 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
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Documentation Was Not Kept for the Appropriate Amount of Time
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees

- Positive Paid Employees Time and Attendance Records Were Not Properly Retained and/or Documented
- ATO Was Not Properly Authorized and/or Documented
- Incorrectly Posted Leave Usage and/or Leave Credit
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input Is Keyed Accurately and Timely
- Department Did Not Retain Employee Time and Attendance Records
- Incorrect Application of State Service and Leave Transactions
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Injured Employee Did Not Receive Claim Form Within One Working Day of Notice or Knowledge of Injury
- Performance Appraisals Were Not Provided to All Employees

### **California Public Utilities Commission**

- 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 Those That Were Reviewed Were Untimely
- Position Was Improperly Filled by T&D Assignment
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- 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
- Supervisory Training Was Not Provided for All Supervisors
- 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 CalHR Policies and Guidelines
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differential
- 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 Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Were Not Developed for Employees Whose Leave Balances Exceeded Established Limits
- Incorrect Application of State Service and Leave Transactions
- Department Does Not Maintain a Current Written Nepotism Policy
- 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
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contracts
- Written Justification Was Not Provided for All Personal Services Contracts
- Supervisory Training Was Not Provided for All Supervisors
- Sexual Harassment Prevention Training Was Not Provided For All Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Hiring 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 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 Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Injured Employees Did Not Receive Claim Forms Within One Working Day of Notice or Knowledge of Injury.
- Performance Appraisal Policy and Processes Complied with Civil Service Laws and Regulations and CalHR Policies and Guidelines

### **California State Auditors**

- 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
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

### **California State Board of Equalization**

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Those That Were Provided Were Untimely
- A Disability Advisory Committee Has Not been Established
- 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 Compensation Laws, Rules, and CalHR Policies and Guidelines for Appointment

- Pay Differential Authorization 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 Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed
- Incorrectly Posted Leave Usage and/or Leave Credit
- 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 Coastal Conservancy**

- Appointments Complied with Civil Service Laws and Board
- Equal Employment Opportunity Program Complied with All Civil Service Laws and Board Rules
- 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, 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 Employee's 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 Library**

- Examinations 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
- Personal Services Contract Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers



- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Hiring 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
- 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 Does Not Maintain a Current Written Nepotism Policy
- 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 Tahoe Conservancy**

- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Officer's Duty Statement Does Not Reflect EEO Duties
- 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
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or 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
- 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 Process Complied with Civil Service Laws, Regulations and CalHR Policies and Guidelines

### **California Tax Credit Allocation Committee**

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

- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Alternative Range Movement Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Incorrect Authorization of Out-of-Class Pay
- Positive Paid Employee's Tracked Hours Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Administrative Time Off Authorization 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 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 Contract
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- 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
- Administrative Time Off Was Not Properly Documented
- Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and 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

#### **Cannabis Control Appeals Panel**

- Probationary 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

- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Policy Not Provided to New Employees by the End of First Pay Period

### **Commission on Peace Officer Standards and Training**

- 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
- Written Justification Was Not Provided for all 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 Did Not Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Administrative Time Off Authorization Complied with Civil Service Laws, Board Rules, and CalHR Policies and/or Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Department Did Not Retain Employee Time and Attendance Records
- 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 Timely to All Employees

### **Commission on State Mandates**

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied With All Civil Service Laws and Board Rules
- Personal Services Contract Complied with Procedural Requirements
- Mandated Training Complied with Statutory Requirements
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies

- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records 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

### **Commission on Teacher Credentialing**

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Timely
- Equal Employment Opportunity Program Complied with 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
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rule, and/or CalHR Policies and Guidelines
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Incorrect Application of Non-qualifying Pay Period Transaction
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Workers' Compensation Policy Was Not Provided to New Employees by the End of First Pay Period
- Performance Appraisal Policy and Process Complied with Civil Service Laws, Regulations and CalHR Policies and Guidelines

### **Department of Conservation**

- Examinations 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
- 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
- Red Circle Rate Authorizations Complied with Civil Service Laws, Board Rules, and 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
- 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

#### **Department of Justice**

- Candidate Who Did Not Meet the Minimum Qualifications Was Admitted Into the Examination
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointments
- Inappropriate Appointment by Way of Transfer
- Position(s) Were Improperly Filled by T&D Assignments
- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Those That Were Reviewed 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 Contract
- 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
- Exceptions to Salary Rules 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
- Incorrect Authorization of Hire Above the Minimum Request
- 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 Authorization 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 Exceeded the Nine Month Limitation in Any Twelve Consecutive Month Period
- Administrative Time Off (ATO) Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input Is Keyed Accurately and Timely
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and 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 Managed Health Care**

- 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 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 Supervisors
- Salary Determinations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Exceptions to Salary Rules 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
- 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
- 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 Timely to All Employees

## **Department of Real Estate**

- Examinations Complied with Civil Service Laws and Board Rules
- 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
- 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
- Hiring 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
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Activity and Correction Certification Forms Were Not Completed for All Leave Records Reviewed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Does Not Maintain a Current Written Nepotism Policy
- 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
- 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 Civil Service Laws and Board Regulations
- Personal Services Contracts Complied with Procedural Requirements
- 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 CalHR Policies and Guidelines
- Hiring 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 Rule, 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 Activity and Correction Certification Forms Were Not Completed for All Leave Records Reviewed
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Does Not Maintain a Current Written Nepotism Policy
- 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

### **Employment Development Department**

- 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 Those That Were Provided Were Untimely
- A Disability Advisory Committee Has Not Been Established
- Personal Services Contracts Complied with Procedural Requirements
- 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
- Incorrect Authorization of Bilingual Pay
- Incorrect Authorization of Pay Differentials
- Incorrect Authorization of Out-of-Class Pay
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- 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



## **Financial Information System for California**

- 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 Regulations
- Personal Services Contracts Complied with Procedural Requirements
- 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
- Hiring 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 Employees Authorization Complied with Civil Services Laws, Board Rules, Policies and Guidelines
- Department Did Not Retain Employee Time and Attendance Records
- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and 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

## **Legislative Counsel Bureau**

- Equal Employment Opportunity Questionnaires Were Not Separated from Applications
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- A Disability Advisory Committee Has Not Been Established
- 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
- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Arduous Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or 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
- Administrative Time Off Authorizations 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 Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

### **Mental Health Services Oversight and Accountability Commission**

- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Officer Does Not Report Directly to the Head of the Agency
- Unions Were Not Notified of Personal Services Contracts
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Compensation Laws, Rules, and CalHR Policies and Guidelines
- Alternate Range Movement Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Hire Above Minimum Request Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Pay Differential Authorization 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
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Does Not Maintain a Current Written Nepotism Policy
- 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 System Integration**

- 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
- 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
- Hiring 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
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- 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**

- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Those That Were Provided Were Untimely
- Equal Employment Opportunity Program Complied With All Civil Service Laws and Board Rules
- Contracts 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
- 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
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Application of State Service and Leave
- 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

### **San Diego River Conservancy**

- Disability Advisory Committee Has Not Been Established
- Equal Employment Opportunity Officer Is Not at the Managerial Level
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Department Does Not Maintain a Current Written Nepotism Policy

- No Evidence that Department is Out of Compliance with Workers' Compensation Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

### **ScholarShare Investment Board**

- 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 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, Board Rules, and CalHR Policies and Guidelines

### **Secure Choice Retirement Savings Investment Board**

- 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 Services 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 Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

### **Seismic Safety Commission**

- A Disability Advisory Committee Has Not Been Established
- Ethics Training Was Not Provided for All Filers

- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Department Does Not Maintain a Current Written Nepotism Policy
- No Evidence that Department is out of Compliance with Workers' Compensation Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

### **State Compensation Insurance Fund**

- Examinations 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 Contract
- 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
- Hiring 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
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Administrative Time Off Was Not Properly Documented
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans 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 Policy and Processes Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

### **State Independent Living Council**

- A Disability Advisory Committee Has Not Been Established
- Equal Employment Opportunity Officer Is Not at the Managerial Level
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors
- Sexual Harassment Prevention Training Was Not Provided for All Filers
- Incorrectly Posted Leave Usage and/or Leave Credit

- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Department Does Not Maintain a Current Written Nepotism Policy
- No Evidence that the Department is Out of Compliance with Workers' Compensation Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

### **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 Were Not Timely
- Appointment Documentation Was Not Kept for the Appropriate Amount of Time
- Complainant Was Not Notified of the Reason for Delay in Decision Within the Prescribed Time Period
- Unions Were Not Notified of Personal Services Contract
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Was Not Provided for All Supervisors
- 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
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorizations 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 Exceeded the Nine Month Limitation in Any Twelve Consecutive Month Period
- Administrative Time Off Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Were Not Developed for Employees Whose Leave Balances Exceeded Established Limits
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Does Not Maintain a Current Written Nepotism Policy
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

### **Wildlife Conservation Board**

- Inappropriate Appointment by Way of Certification List
- Unlawful Appointments
- Probationary Evaluations Were Not Provided for All Appointments Reviewed

- Appointment Documentation Was Not Kept for the Appropriate Amount of Time
- Equal Employment Opportunity Program Complied With All Civil Service Laws and Board Rules
- Ethics Training Was Not Provided for All Filers
- 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
- Department Did Not Retain Employee Time and Attendance Records
- No Evidence Provided that Department Has Implemented a Monthly Internal Audit Process to Verify All Leave Input Is Keyed Accurately and Timely
- Leave Reduction Plans Complied with Civil Services Laws, Board Rules, and CalHR Policies and Guidelines
- Department Does Not Maintain a Current Written Nepotism Policy
- Workers' Compensation Policy Was Not Provided to New Employees by the End of First Day Period
- Performance Appraisals Were Not Provided to All Employees

## INDEX OF COMPLETED REVIEWS AND SPECIAL INVESTIGATIONS COSTS

Department	Compliance Review Completed	Special Investigation Completed	Total Cost
Alternative Energy and Advanced Transportation Financing Authority	Yes	No	X <sup>4</sup>
California Community Colleges Chancellor's Office	Yes	No	\$40,392
California Conservation Corps	Yes	No	\$40,392
California Debt and Investment Advisory Commission	Yes	No	\$11,016
California Department of Corrections and Rehabilitation	Yes	No	\$187,272
California Department of Fish and Wildlife	Yes	No	\$102,816
California Department of Food & Agriculture	Yes	No	\$58,752
California Department of Forestry and Fire Protection	Yes	No	\$113,832
California Department of Housing and Community Development	Yes	No	\$58,752
California Department of Insurance	Yes	No	\$58,752
California Department of Tax and Fee Administration	Yes	No	\$102,816
California Department of Technology	Yes	No	\$58,752
California Exposition and State Fair	Yes	No	\$40,392
California Health Benefits Exchange	Yes	No	\$58,752
California Natural Resources Agency	Yes	No	\$22,032
California Prison Industry Authority	Yes	No	\$58,752
California Public Utilities Commission	Yes	Yes	\$58,752
California Science Center	Yes	No	\$40,392
California State Auditors	Yes	No	\$40,392
California State Board of Equalization	Yes	No	\$40,392
California State Coastal Conservancy	Yes	No	\$22,032

<sup>4</sup> Departments with a Total Cost of "X" were not billed due to their small size.



<b>Department</b>	<b>Compliance Review Completed</b>	<b>Special Investigation Completed</b>	<b>Total Cost</b>
California State Library	Yes	No	\$40,392
California Tahoe Conservancy	Yes	No	\$14,688
California Tax Credit Allocation Committee	Yes	No	\$22,032
California Transportation Commission	Yes	No	\$10,296
Cannabis Control Appeals Panel	Yes	No	11,016
Commission on Peace Officer Standards and Training	Yes	No	\$40,392
Commission on State Mandates	Yes	No	\$11,016
Commission on Teacher Credentialing	Yes	No	\$40,392
Department of Conservation	Yes	No	\$58,752
Department of Justice	Yes	No	\$102,816
Department of Managed Health Care	Yes	No	\$40,392
Department of Real Estate	Yes	No	\$40,392
Department of State Hospitals	Yes	No	\$168,912
Employment Development Department	Yes	No	\$113,832
Financial Information System for California	Yes	No	\$40,392
Legislative Counsel Bureau	Yes	No	\$58,752
Mental Health Services Oversight and Accountability Commission	Yes	No	\$14,688
Office of Systems Integration	Yes	No	\$40,392
Office of Tax Appeals	Yes	No	\$40,392
San Diego River Conservancy	Yes	No	X
ScholarShare Investment Board	Yes	No	\$11,016
Secure Choice Retirement Savings Investment Board	Yes	No	\$11,016
Seismic Safety Commission	Yes	No	X
State Compensation Insurance Fund	Yes	No	\$102,816
State Independent Living Council	Yes	No	X
State Water Resources Control Board	Yes	No	\$102,816
Wildlife Conservation Board	Yes	No	\$14,688