

**BOARD RESOLUTION ADOPTING THE COMPLIANCE REVIEW REPORT AND FINDINGS BY THE SPB COMPLIANCE REVIEW DIVISION OF THE FINANCIAL INFORMATION SYSTEMS FOR CALIFORNIA**

**WHEREAS**, the State Personnel Board (SPB or Board) at its duly noticed meeting of November 21, 2013, carefully reviewed and considered the attached Compliance Review Report of the Financial Information Systems for California submitted by SPB's Compliance Review Division.

**WHEREAS**, the Report was prepared following a baseline review of the Financial Information Systems for California's personnel practices. It details the background, scope, and methodology of the review, and the findings and recommendations.

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

  
SUZANNE M. AMBROSE  
Executive Officer



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

Governor Edmund G. Brown Jr.

November 8, 2013

Ms. Sue Johnsrud  
Executive Partner  
Financial Information Systems for California  
2000 Evergreen Street, Ste. 101  
Sacramento, CA 95815-3839

RE: Compliance Review Report

Dear Ms. Johnsrud,

The State Personnel Board (Board or SPB) conducted a baseline compliance review of the Financial Information Systems for California's (FI\$CAL)'s examinations, appointments, and Equal Employment Opportunity (EEO) program during the period of May 1, 2011 through November 1, 2012. The primary objective of the review was to determine if the FI\$CAL's personnel practices, policies, and procedures complied with state civil service laws and board regulations, and to recommend corrective action where deficiencies were identified.

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

The Compliance Review Division (CRD) has found no deficiencies in the reviews of the FI\$CAL's examinations and appointments. The CRD found that the EEO program was in compliance with one exception – the FI\$CAL does not have a Disability Advisory

Committee (DAC). 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).)

Accordingly, FI\$CAL must invite all employees to serve on a DAC 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.

On November 4, 2013, CRD provided FI\$CAL their draft report. On November 6, 2013, FI\$CAL requested an exit conference to discuss questions they had regarding how to establish a DAC. To provide further assistance, CRD provided a link to CalHR's website which has an overview of the DAC, its roles and responsibilities, and detailed information regarding how to establish a DAC. On November 8, 2013, FI\$CAL's Chief of the Human Resources Office emailed CRD that FI\$CAL elects not to have an exit conference to discuss the DAC finding, and will not be submitting a written response to the finding.

It is therefore recommended that no later than 30 days after the Board's Resolution adopting these findings and recommendations, FI\$CAL must invite all its employees to serve on the DAC, and no later than 60 days after the Board's Resolution adopting these findings and recommendations, FI\$CAL must establish the DAC and submit to the SPB a written report of compliance.

The Board may issue a Resolution adopting the findings and recommendation as stated herein, or the Board may order its own recommendations. In either event, you will be notified of the Board's final decision. The Board's Resolution will also be posted on our website.

Ms. Sue Johnsrud  
Page 3 of 3

We greatly appreciated the cooperation and assistance provided by FI\$CAL personnel.  
If you have questions or comments, please contact me at (916) 651-0924.

Sincerely,



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

Cc: Mari Riddle, Chief, Human Resources Office