CALIFORNIA STATE PERSONNEL BOARD

2020 REPORT TO THE LEGISLATURE

COMPLIANCE REVIEW AND SPECIAL INVESTIGATION ACTIVITIES

Prepared by

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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 Unit (CRU) at the SPB to conduct reviews of departmental merit-related practices to ensure compliance with laws, rules, and Board policy. The CRU performs cyclical standard reviews of five major areas: examinations, appointments, equal employment opportunity (EEO), personal services contracts (PSC), and mandated trainings. The CRU 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, which was due October 1, 2020, describes the compliance review and special investigation activities of the CRU from July 1, 2019, to June 30, 2020. 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.

INDEX OF REVIEWED AREAS[1]

#	Department	Exam	Appt	EEO	PSC	Train	Comp & Pay	Leave	Policy
1	Alcoholic Beverage Control Appeals Board	X	✔	✔	✔	✔	✔	✔	✔
2	Board of State and Community Corrections	✔	✔	✔	✔	✔	✔	✔	✔
3	California ABLE Act Board	X	✔	✔	✔	✔	✔	✔	✔
4	California Air Resources Board	✔	✔	✔	✔	✔	✔	✔	✔
5	California Business, Consumer Services and Housing Agency	✔	✔	✔	X	✔	✔	✔	✔
6	California Citizens Redistricting Commission	X	✔	✔	X	✔	X	✔	✔
7	California Debt Limit Allocation Committee	X	✔	✔	X	✔	✔	✔	✔
8	California Department of Alcoholic Beverage Control	✔	✔	✔	✔	✔	✔	✔	✔
9	California Department of Education	✔	✔	✔	✔	✔	✔	✔	✔
10	California Department of Finance	✔	✔	✔	✔	✔	✔	✔	✔
11	California Department of Human Resources	✔	✔	✔	✔	✔	✔	✔	✔
12	California Department of Motor Vehicles	✔	✔	✔	✔	✔	✔	✔	✔
13	California Department of Social Services	✔	✔	✔	✔	✔	✔	✔	✔
14	California Department of Transportation	✔	✔	✔	✔	✔	✔	✔	✔
15	California Department of Veterans Affairs	✔	✔	✔	✔	✔	✔	✔	✔
16	California Environmental Protection Agency	✔	✔	✔	✔	✔	✔	✔	✔
17	California Health and Human Services Agency	✔	✔	✔	X	✔	✔	✔	✔
18	California High Speed Rail Authority	✔	✔	✔	✔	✔	✔	✔	✔

[1] 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.

#	Department	Exam	Appt	EEO	PSC	Train	Comp & Pay	Leave	Policy
19	California Highway Patrol	✓	✓	✓	✓	✓	✓	✓	✓
20	California Horse Racing Board	✓	✓	✓	✓	✓	✓	✓	✓
21	California School Finance Authority	X	✓	✓	✓	✓	✓	✓	✓
22	California Secretary of State	✓	✓	✓	✓	✓	✓	✓	✓
23	California State Lands Commission	✓	✓	✓	✓	✓	✓	✓	✓
24	California State Summer School for the Arts	X	X	✓	✓	✓	X	✓	✓
25	California Student Aid Commission	✓	✓	✓	✓	✓	✓	✓	✓
26	California Victim Compensation Board	X	✓	✓	✓	✓	✓	✓	✓
27	Delta Stewardship Council	✓	✓	✓	✓	✓	✓	✓	✓
28	Department of Consumer Affairs	✓	✓	✓	✓	✓	✓	✓	✓
29	Department of Fair Employment and Housing	✓	✓	✓	✓	✓	✓	✓	✓
30	Department of General Services	✓	✓	✓	✓	✓	✓	✓	✓
31	Department of Industrial Relations	✓	✓	✓	✓	✓	✓	✓	✓
32	Department of Parks and Recreation	✓	✓	✓	✓	✓	✓	✓	✓
33	Department of Rehabilitation	✓	✓	✓	✓	✓	✓	✓	✓
34	Department of Resources Recycling and Recovery	✓	✓	✓	✓	✓	✓	✓	✓
35	Department of Water Resources	✓	✓	✓	✓	✓	✓	✓	✓
36	Emergency Medical Services Authority	✓	✓	✓	X	✓	✓	✓	✓
37	Fair Political Practices Commission	✓	✓	✓	✓	✓	✓	✓	✓
38	Franchise Tax Board	✓	✓	✓	✓	✓	✓	✓	✓

#	Department	Exam	Appt	EEO	PSC	Train	Comp & Pay	Leave	Policy
39	Labor and Workforce Development Agency	X	✓	✓	X	✓	✓	✓	✓
40	Office of Emergency Services	✓	✓	✓	✓	✓	✓	✓	✓
41	Office of the State Public Defender	✓	✓	✓	✓	✓	✓	✓	✓
42	Public Employment Relations Board	✓	✓	✓	X	✓	✓	✓	✓
43	Sacramento-San Joaquin Delta Conservancy	X	✓	✓	✓	✓	✓	✓	✓
44	San Gabriel and Lower Los Angeles Rivers and Mountains Conservancy	✓	✓	✓	✓	✓	✓	✓	✓
45	Santa Monica Mountains Conservancy	X	X	✓	X	✓	X	✓	✓
46	Sierra Nevada Conservancy	X	✓	✓	✓	✓	✓	✓	✓
47	State Council on Developmental Disabilities	✓	✓	✓	✓	✓	✓	✓	✓

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, 2019, to June 30, 2020, the CRU completed compliance reviews of 47 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

- Ethics Training Was Not Provided for All Filers
  - 32 out of 47 departments or 68%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 11146.3, subdivision (b).

- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
  - 29 out of 47 departments or 62%
  - Corrective Action: Departments were required to submit corrective action plans which ensure compliance with Government Code section 12950.1, subdivision (a).

- Supervisory Training Was Not Provided for All Supervisors, Managers, and CEAs[2]
  - 20 out of 47 departments or 43%
  - 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.

- Nepotism Policy Failed to Comply with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
  - 19 out of 47 departments or 40%
  - Corrective Action: Departments were required submit a written corrective action plan to include an updated nepotism policy containing the requirements outlined in Human Resources Manual section 1204, and documentation demonstrating that it has been distributed to all staff.

[2] Only COVID-19 pre-pandemic training was reviewed as training availability was limited for the first six months of the pandemic.

Serious Issues

- Performance Appraisals Were Not Provided to All Employees
  - 36 out of 47 departments or 77%
  - Corrective Action: Departments were required to submit corrective action plans to ensure compliance with Government Code section 19992.2, subdivision (a) and California Code of Regulations, title 2, section 599.798, subdivision (c).

- Probationary Evaluations Were Not Provided for All Appointments Reviewed and Those That Were Provided Were Untimely
  - 31 out of 47 departments or 66%
  - Corrective Action: Departments were required to submit corrective action plans which addressed the corrections the department will implement to demonstrate conformity with the probationary requirements of 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 47 departments or 51%
  - Corrective Action: Departments were required to submit corrective action plans to the CRU that addressed the corrections the department will implement to ensure conformity with the requirements of Government Code section 19132.

Technical Issues

- Leave Reduction Plans Were Not Developed for Employees Whose Leave Balances Exceeded Established Limits[3]
  - 35 out of 47 departments or 74%
  - Corrective Action: Departments were required to submit corrective action plans to ensure compliance with Human Resources Manual Section 2124.

The CRU began departmental reviews in Fiscal Year 2012-13. Since then, almost every state agency has been reviewed twice, allowing CRU to see trends with repeat violations. The table below represents the agencies reviewed in FY 2019/2020 with repeat violations:

[3] Leave reduction plans were reviewed pre-pandemic as CalHR suspended the leave cap due to the furloughs implemented July 2020.

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
Board of State and Community Corrections	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Air Resources Board	Missing Probationary Reports	✓	✓
California Department of Education	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Supervisory Training Deficiency	✓	✓
California Department of Social Services	Missing Probationary Reports	✓	✓
California Department of Transportation	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
California Department of Veterans Affairs	Missing Probationary Reports	✓	✓
California Environmental Protection Agency	Missing Probationary Reports	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Highway Patrol	Unlawful Appointment	✓	✓
	Missing Probationary Reports	✓	✓
California Horse Racing Board	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
California Secretary of State	Missing Probationary Reports[4]	✓	✓
California State Lands Commission	Missing Probationary Reports	✓	✓
California Victim Compensation Board	Missing Documentation	✓	✓
Delta Stewardship Council	Unlawful Appointment	✓	✓
Department of Consumer Affairs	Missing Probationary Reports	✓	✓

[4] This is the third consecutive time this has been a finding for the California Secretary of State.

DEPARTMENT	VIOLATION	CURRENT REVIEW	PRIOR REVIEW
Department of Finance	Unlawful Appointment	✓	✓
Department of General Services	Missing Documentation	✓	✓
Department of Industrial Relations	Missing Probationary Reports	✓	✓
	Missing Documentation	✓	✓
	Ethics Training Deficiency	✓	✓
	Sexual Harassment Prevention Training Deficiency	✓	✓
	Supervisory Training Deficiency	✓	✓
Department of Parks and Recreation	Missing Documentation	✓	✓
Department of Resources Recycling and Recovery	Ethics Training Deficiency	✓	✓
	Supervisory Training Deficiency	✓	✓
Department of Water Resources	Missing Probationary Reports	✓	✓
Emergency Medical Services Authority	Visible EEO Data	✓	✓
	Missing Probationary Reports	✓	✓
Office of Emergency Services	Missing Probationary Reports	✓	✓
Office of the State Public Defender	Sexual Harassment Prevention Training Deficiency	✓	✓
Public Employment Relations Board	Missing Probationary Reports	✓	✓
	Visible EEO Data	✓	✓

The violations described above are summarized in more detail below:

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.

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 CRU cannot verify if selection processes and personnel transactions were properly conducted.

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."

Failing to remove EEO questionnaires from the applications prior to the examination or interview process results in applicants' protected classes being visible, subjecting departments to potential liability.

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.

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.

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 training, leaders may not properly carry out their leadership roles, including managing employees.

Unlawful Appointment

In all cases not excepted or exempted by Article VII of the California Constitution, departments must fill positions by appointment, including cases of transfers, reinstatements, promotions, and demotions in strict accordance with the Civil Service Act and Board rules. (Gov. Code, § 19050.)

The California state civil service hiring process is merit based, and requires the conduct of a fair and competitive selection process. 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.

The CRU 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 CRU has been able to identify common and repetitious violations. The CRU makes recommendations to CalHR to provide more guidance to departments on common and repetitious violations. The CRU 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

SEVERITY: VERY SERIOUS	ISSUE 1: ETHICS TRAINING WAS NOT PROVIDED FOR ALL FILERS

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 departments do not ensure that filers are aware of prohibitions related to their official position and influence.

Frequency: High. 32 out of 47 departments or 68%.

Cause: Lack of consistent reminders and follow-ups; no reliable procedure in place; late completion by filer; lack of administrative oversight; and, deficient training and tracking processes.

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.

SEVERITY: VERY SERIOUS	ISSUE 2: SEXUAL HARASSMENT PREVENTION TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS

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 departments do not ensure its new 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, productivity, and subjects the department to litigation.

Frequency: High. 29 out of 47 departments or 62%.

Cause: Absence of awareness by new supervisors to complete the course within six months of appointment; competing work priorities; staff on leave; and, inconsistent reminders and follow-ups.

Corrective Action: Departments were required to submit corrective action plans that addressed the corrections they will implement in conformity with the requirements set forth in Government Code section 12950.1, subdivision (a).

SEVERITY: VERY SERIOUS	ISSUE 3: SUPERVISORY TRAINING WAS NOT PROVIDED FOR ALL SUPERVISORS, MANAGERS, AND CEAS

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. 20 out of 47 departments or 43%.

Cause: Failure by supervisors to sign-up for courses; limited availability of training slots; inability to attend training; unexpected leave of absence; inadequate tracking system; and, follow-up procedures.

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.

SEVERITY: VERY SERIOUS	**ISSUE 4: DEPARTMENT DOES NOT MAINTAIN A CURRENT WRITTEN NEPOTISM POLICY**

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. 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. The maintaining of a current written nepotism policy, and its dissemination to all staff, is the basis for achieving these ends.

Frequency: High. 19 out of 47 departments or 40%.

Cause: Internal policies/procedure did not address requirements outlined in Human Resources Manual Section 1204; key position turnover; competing work priorities; and/or outdated policies.

Corrective Action: Departments were required to submit to the SPB a written corrective action plan which included an updated nepotism policy which contains requirements outlined in Human Resources Manual Section 1204, and documentation demonstrating that it has been distributed to all staff.

SEVERITY: VERY SERIOUS	**ISSUE 5: ALTERNATE RANGE MOVEMENTS DID NOT COMPLY WITH CIVIL SERVICE LAWS, RULES, AND CALHR POLICIES AND GUIDELINES**

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 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 pay amounts.

Frequency: High. 17 out of 47 departments or 36%.

Cause: Incorrect application of salary rules; staff turnover; 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 that employees are compensated correctly. They were also required to establish an audit system to correct current compensation transactions as well as future transactions.

SEVERITY: VERY SERIOUS	**ISSUE 6: INCORRECT AUTHORIZATION OF BILINGUAL PAY**

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)(1), (2) & (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 compensation.

Frequency: High. 14 out of 47 departments or 30%.

Cause: Staff errors; high staff turnover; neglect to update duty statements to reflect accurate bilingual designation; out-of-date processes and procedures; and, lack of awareness to use Bilingual Pay Authorization Form.

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.

SEVERITY: VERY SERIOUS	ISSUE 7: INCORRECT APPLICATIONS OF SALARY DETERMINATION LAWS, RULES, AND CALHR POLICIES AND GUIDELINES FOR APPOINTMENT

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: High. 14 out of 47 departments or 30%.

Cause: High staff turnover; staff error; lack of trained staff; and, deficient supervisory review.

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.

SEVERITY: VERY SERIOUS	ISSUE 8: INCORRECT AUTHORIZATION OF OUT-OF-CLASS PAY

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 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).)

In addition, 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. 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. 10 out of 47 departments or 21%.

Cause: Staff error; lack of oversight and/or additional review; insufficient training; and, utilizing incorrect resources when calculating salaries.

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.

SEVERITY: VERY SERIOUS	ISSUE 9: INCORRECT AUTHORIZATION OF PAY DIFFERENTIALS

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. (Classification and Pay Guide Section 230.)

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, subd (a).) 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.

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: High. 10 out of 47 departments or 21%.

Cause: High turnover in transactions units; inexperience in correctly calculating pay; tracking procedures did not comply with pay differentials requirements; data errors; and, insufficient training.

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.

SEVERITY: VERY SERIOUS	ISSUE 10: A DISABILITY ADVISORY COMMITTEE HAS NOT BEEN ESTABLISHED

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 Disability Advisory Committee (DAC) may limit an agency's ability to recruit and retain a qualified workforce, impact productivity and subject the agency to liability.

Frequency: Medium. 9 out of 47 departments or 19%.

Cause: Departments' small personnel size and limited resources; failure to coordinate meetings; and, lack of volunteers.

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.

SEVERITY: VERY SERIOUS	ISSUE 11: INCORRECT APPLICATION OF STATE SERVICE AND LEAVE TRANSACTIONS

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. 9 out of 47 departments or 19%.

Cause: Insufficient training and oversight; human error; lack of formal process to verify that all leave usage is keyed accurately and timely; and, staff turnover.

Corrective Action: Departments were required to submit corrective action plans which addressed the corrections the department will implement to ensure state service transactions are keyed accurately.

SEVERITY: VERY SERIOUS	**ISSUE 12: UNLAWFUL APPOINTMENT**

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: Medium. 7 out of 47 departments or 15%.

Cause: Staff errors; human resources staff moved forward with the hire under the assumption that the applicant lawfully participated and passed the exam; incorrect interpretation or calculation of minimum qualifications; and, failure to properly process and request application documentation.

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

SEVERITY: VERY SERIOUS	**ISSUE 13: INCORRECTLY POSTED LEAVE USAGE AND/OR LEAVE CREDIT**

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. 6 out of 47 departments or 13%.

Cause: Human error, insufficient review processes; and, lack of formal processes to verify that all leave usage is keyed accurately and timely.

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.

SEVERITY: VERY SERIOUS	**ISSUE 14: INJURED EMPLOYEE(S) DID NOT RECEIVE WORKERS' COMPENSATION CLAIM FORMS WITHIN ONE WORKING DAY OF NOTICE OR KNOWLEDGE OF INJURY**

Criteria: Employers shall provide a claim form and notice of potential eligibility for workers' compensation to their employee within one working day of notice or knowledge that the employee has suffered a work related injury or illness. (Labor Code, § 5401.)

Severity: Very Serious. Injured employees were not provided the DWC 1 form within the mandated 24-hour time period. Providing the DWC 1 form within 24 hours of injury prevents any delay in treatment the employee is entitled to. 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: Medium. 6 out of 47 departments or 13%.

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; delay in communication; and, pre-existing condition of employee caused delay as further testing and investigation was required.

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.

SEVERITY: VERY SERIOUS	ISSUE 15: COMPLAINANTS WERE NOT NOTIFIED OF THE REASONS FOR DELAYS IN DECISIONS RELATED TO EEO COMPLAINTS WITHIN THE PRESCRIBED TIME PERIOD

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 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 47 departments or 11%.

Cause: Insufficient internal tracking system; lack of oversight; and, external investigator was unaware of the 90-day notice requirement.

Corrective Action: Departments were to submit to the CRU written 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).

SEVERITY: VERY SERIOUS	ISSUE 16: EQUAL EMPLOYMENT OPPORTUNITY QUESTIONNAIRES WERE NOT SEPARATED FROM APPLICATIONS

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) (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 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 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. 4 out of 47 departments or 9%.

Cause: Staff inadvertently failing to remove page and human error.

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.

SEVERITY: VERY SERIOUS	ISSUE 17: EQUAL EMPLOYMENT OPPORTUNITY OFFICER'S DUTY STATEMENT DOES NOT REFLECT EEO DUTIES

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. 3 out of 47 departments or 6%.

Cause: Misunderstanding of Government Code section 19795; and, outdated duty statement.

Corrective Action: Departments were 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).

SEVERITY: VERY SERIOUS	ISSUE 18: EQUAL EMPLOYMENT OPPORTUNITY OFFICER DOES NOT REPORT DIRECTLY TO THE HEAD OF THE AGENCY

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. 3 out of 47 departments or 6%.

Cause: Lack of awareness that the EEO Officer had to report directly to the Director.

Corrective Action: Departments were required to provide corrective action plans indicative that their EEO Officer reports to the Director on matters related to EEO subject to Government Code section 19795.

SEVERITY: VERY SERIOUS	ISSUE 19: WORKERS' COMPENSATION POLICY WAS NOT PROVIDED TO NEW EMPLOYEES BY THE END OF FIRST PAY PERIOD

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. 3 out of 47 departments or 6%.

Cause: Was not aware of policy; and, misunderstanding of regulation requirements.

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

SEVERITY: VERY SERIOUS	ISSUE 20: EQUAL EMPLOYMENT OPPORTUNITY PROGRAM HAS NOT BEEN ESTABLISHED

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. (*Ibid.*) 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. To have an effective EEO program, the head of the organization must be actively involved. 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. 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: Low. 3 out of 47 departments or 6%.

Cause: Formal EEO program has not been established as hiring opportunities have not been available; and, misunderstanding or lack of knowledge regarding requirement.

Corrective Action: Departments were required to submit a written corrective action plan which addressed the corrections the department will implement to ensure the establishment of an active EEO program, comprised of a policy statement committing the department to equal employment opportunity, an EEO Officer who is responsible for developing, implementing, coordinating, and monitoring their department's EEO program, and an active DAC.

SEVERITY: VERY SERIOUS	ISSUE 21: INCORRECT APPLICATION OF LAWS, RULES, AND CALHR POLICIES AND GUIDELINES FOR RED CIRCLE RATE PAY

Criteria: A red circle rate is a rate of pay authorized for an individual above the maximum salary for his or her class. (Gov. Code, § 19837.) Departments may authorize a red circle rate in the following circumstances: management initiated change, lessening of abilities, downward reclassification, split-off, allocation standard changes, or changes in salary setting methods. (*Ibid.*)

An employee appointed to a civil service class which is preceded by an exempt appointment may be appointed at a salary rate comparable to the exempt appointment up to the maximum of the salary range for the civil service class. (CalHR Classification and Pay Guide Section 265.)

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: Low. 2 out of 47 departments or 4%.

Cause: Misinterpretation of the laws, rules, and policies relative to the red circle rate pay; and, failure to verify employee's previous salary.

Corrective Action: Departments were required to provide a written corrective action plan which addressed the corrections the department will implement to ensure conformity with Red Circle Rate pay laws, rules, and policies.

SEVERITY: VERY SERIOUS	ISSUE 22: INCORRECT AUTHORIZATION OF HIRE ABOVE MINIMUM REQUESTS

Criteria: Appointing authorities are delegated the authority to approve payment at any step above the minimum salary limit to classes or positions in order to obtain a person who has extraordinary qualifications. (Gov. Code, § 19836, subd. (a).)

Severity: Very Serious. The department failed 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. 2 out of 47 departments or 4%.

Cause: Human error, and misunderstanding of rules surrounding HAMs.

Corrective Action: Departments were required to submit a written corrective action plan which addressed the corrections the department will implement to ensure conformity with Government Code, section 19836.

SEVERITY: VERY SERIOUS	ISSUE 23: CANDIDATES WHO DID NOT MEET THE MINIMUM QUALIFICATIONS WERE ADMITTED INTO THE EXAMINATION

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 47 departments or 2%.

Cause: Staff turnover; inadequate staffing; and, lack of training.

Corrective Action: The department was required to submit a written corrective action plan that the department will implement to ensure that future candidates are screened for meeting minimum qualifications prior to taking the examination.

SEVERITY: VERY SERIOUS	ISSUE 24: EQUAL EMPLOYMENT OPPORTUNITY OFFICER DID NOT MONITOR THE COMPOSITION OF ORAL PANELS IN DEPARTMENTAL EXAMS

Criteria: The EEO Officer at each department must monitor the composition of oral panels in departmental examinations. (Gov. Code, § 19795, subd. (a).)

Severity: Very Serious. Requiring the EEO Officer to monitor oral panels is intended to ensure protection against discrimination in the hiring process.

Frequency: Low. 1 out of 47 departments or 2%.

Cause: Department did not have a process in place for informing the EEO Officer of oral panel composition in departmental exams.

Corrective Action: The department was required to submit a written corrective action plan that addressed the corrections it will implement to ensure conformity with the requirements of Government Code section 19795, subdivision (a).

SEVERITY: VERY SERIOUS	ISSUE 25: INCORRECT AUTHORIZATION OF ARDUOUS PAY

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. Failure to comply with the state civil service pay plan by incorrectly applying compensation laws and rules not in accordance with the CalHR's policies and guidelines results in civil service employees receiving incorrect and/or inappropriate compensation.

Frequency: Low. 1 out of 47 departments or 2%.

Cause: Keying error which resulted in an overpayment.

Corrective Action: The department was required to submit a written corrective action plan which addressed corrections the department will implement to ensure conformity with arduous pay requirements as specified in Pay Differential 62 and CalHR Human Resource Manual Section 1702.

SERIOUS ISSUES

SEVERITY: SERIOUS	ISSUE 26: ANNUAL PERFORMANCE APPRAISALS WERE NOT PROVIDED TO ALL EMPLOYEES

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, subd. (c).)

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

Frequency: High. 36 out of 47 departments or 77%.

Cause: Current processes to provide feedback not followed; lack of follow through and oversight; work demands and competing priorities; lack of communication with supervisors in providing direction and due dates; lack of training; insufficient existing procedures and

expectations; and, conflicting responsibility and inadequate tracking 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, subdivision (c).

SEVERITY: SERIOUS	ISSUE 27: PROBATIONARY EVALUATIONS WERE NOT PROVIDED FOR ALL APPOINTMENTS REVIEWED AND THOSE THAT WERE PROVIDED WERE UNTIMELY

Criteria: The service of a probationary period is required when an employee enters in the state civil service by permanent appointment from an employment list. (Gov. Code, § 19171.) 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.*)

Severity: Serious. 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).)

Frequency: High. 31 out of 47 departments or 66%.

Cause: Lack of follow up or accountability for completion of reports; staff shortages and/or workload conflicts; inadequate training on responsibility of supervisors to provide reports; inconsistent tracking and notification process; and, overlooking timelines and lack of follow through on internal procedures.

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

SEVERITY: SERIOUS	ISSUE 28: UNIONS WERE NOT NOTIFIED OF PERSONAL SERVICES CONTRACTS

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 47 departments or 51%.

Cause: Lack of oversight; improper training; inability to identify the appropriate union(s); incorrect assumption that unions did not need notification; staff turnover; misinterpretation of Government Code; record keeping issues; and, no known union representatives for the type of services.

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

SEVERITY: SERIOUS	ISSUE 29: POSITIVE PAID EMPLOYEES' WORK EXCEEDED TIME LIMITATIONS

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: High. 16 out of 47 departments or 34%.

Cause: Deficient procedures; lack of understanding about retired annuitant requirements; inadvertent and/or human error; staff turnover; and, unexpected or temporary changes in workload or staffing.

Corrective Action: Departments were to submit to the CRU a written corrective action plan that addressed the corrections the department will implement to ensure all positive paid employees' hours are tracked and processed in conformity with Government Code section 21224 and California Code of Regulations, title 2, section 599.665.

SEVERITY: SERIOUS	ISSUE 30: ADMINISTRATIVE TIME OFF (ATO) WAS NOT PROPERLY DOCUMENTED

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 47 departments or 23%.

Cause: Staff error and high staff turnover; incorrect keying into the leave accounting system; insufficient documentation of ATO reasons; insufficient communication with regards to following internal processes/procedures; and, keying error.

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.

SEVERITY: SERIOUS	ISSUE 31: DEPARTMENT DID NOT RETAIN EMPLOYEE TIME AND ATTENDANCE RECORDS

Criteria: Each appointing power shall keep complete 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). Attendance records shall be corrected by the pay period following the pay period in which the error occurred. (*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: Medium. 5 out of 47 departments or 11%.

Cause: Staff error; high employee turnover; and, lack of oversight.

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.

SEVERITY: SERIOUS	ISSUE 32: WRITTEN JUSTIFICATION WAS NOT PROVIDED FOR ALL PERSONAL SERVICES CONTRACTS

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). 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 Regs., tit. 2, § 547.60.)

Severity: Serious. Without properly documenting the reasons why a PSC satisfies one or more conditions specified in Government Code

section 19130, the CRU could not substantiate that the department's PSC's complied with current procedural requirements.

Frequency: Low. 4 out of 47 departments or 9%.

Cause: Contract documents lacking specificity and detailed factual information; lack of training; and, staff oversight and/or human error.

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).

SEVERITY: SERIOUS	ISSUE 33: DEPARTMENT INAPPROPRIATELY BACKDATED APPOINTMENT

Criteria: "Personal list eligibility" means a candidate's individual eligibility for appointment from an employment list that has not expired. (Cal. Code Regs., tit. 2, § 80.2.) Eligible lists shall be established as a result of free competitive examinations open to persons who lawfully may be appointed to any position within the class for which these examinations are held and who meet the minimum qualifications requisite to the performance of the duties of that position as prescribed by the specifications for the class or by rule. (Gov. Code, § 18900.) Additionally, eligibility from a continuous examination may be deemed to be established as of the date of examination. (Gov. Code, § 18939.)

Severity: Serious. The employee must have personal list eligibility at time of certification. Backdating the employee's list appointment to a date prior to the employee establishing personal list eligibility renders the certification list appointment unlawful as it is unsubstantiated by certification records.

Frequency: Low. 1 out of 47 departments or 2%.

Cause: Lack of oversight in receiving and processing hiring documents.

Corrective Action: The department was required to submit a written corrective action plan that addressed the corrections the department will implement to ensure conformity with the probationary requirements of California Code of Regulations, title 2, section 80.2.

SEVERITY: SERIOUS	ISSUE 34: CERTIFICATION LIST WAS NOT CLEARED OF STATE RESTRICTION OF APPOINTMENTS (SROA) CANDIDATE BEFORE EXTERNAL TRANSFER APPOINTMENT

Criteria: SROA list clearance is required prior to making an appointment via external transfer, voluntary demotion, or training and development assignment to a different department. (SROA Manual, Attachment D).

Severity: Serious. A certification list must be cleared of potential SROA candidates prior to transfer from a different department in order to ensure any potential SROA candidates are given priority to the job vacancy.

Frequency: Low. 1 out of 47 departments or 2%.

Cause: Lack of training on the codes listed in the Exam Certification Online System.

Corrective Action: The department was required to submit a written corrective action plan that the department will implement to ensure SROA candidates are given priority to a job vacancy prior to transfer from a different department.

TECHNICAL ISSUES

SEVERITY: TECHNICAL	ISSUE 35: LEAVE REDUCTION PLANS WERE NOT DEVELOPED FOR EMPLOYEES WHOSE LEAVE BALANCES EXCEEDED ESTABLISHED LIMITS

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. 35 out of 47 departments or 74%.

Cause: Departments did not currently have a process in place to develop and implement leave reduction plans; little or late monitoring of leave usage; lack of enforcement by division chief; internal processes do not ensure 100% compliance; failure of employees to comply; lack of awareness of requirement; and, staff turnover.

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

SEVERITY: TECHNICAL	**ISSUE 36: LEAVE ACTIVITY AND CORRECTION CERTIFICATION FORMS WERE NOT COMPLETED FOR ALL LEAVE RECORDS REVIEWED**

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. *(Ibid.)* Furthermore, Human Resources Manual Section 2101 requires departments to 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. 15 out of 47 departments or 32%.

Cause: Lack of internal review processes; lack of training; and, staff turnover.

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

SEVERITY: TECHNICAL	ISSUE 37: APPOINTMENT DOCUMENTATION WAS NOT KEPT FOR THE APPROPRIATE AMOUNT OF TIME

Criteria: As specified in California Code or Regulations, title 2, section 26, 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 CRU could not verify if the appointments were properly conducted.

Frequency: High. 11 out of 47 departments or 23%.

Cause: Poor internal processes to gather all appointment documents from hiring manager; did not follow established internal procedures; staff error and high staff turnover; and, misplaced files.

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.

SEVERITY: TECHNICAL	ISSUE 38: QUALIFICATION APPRAISAL TEAM MEMBERS DID NOT SIGN RATING SHEETS

Criteria: California Code of Regulations, title 2, section 195.2, subdivision (b), mandates that each member of a QAP shall sign, complete, and record his or her ratings on forms or in a manner prescribed by the Department. (*Ibid.*)

Severity: Technical. The regulation was established to ensure the accountability of panel members. Technical compliance is not essential to preserve the integrity of the examination process.

Frequency: Low. 1 out of 47 departments or 2%.

Cause: Lack of oversight on the part of the panelists and the exam analyst.

Corrective Action: The department was required to submit a written corrective action plan that addresses the corrections it will implement to ensure

conformity with California Code of Regulations, title 2, section 195.2, subdivision (b).

SUMMARY OF SPECIAL INVESTIGATION

During fiscal year 2019/2020, the CRU conducted one special investigation concerning the Department of Water Resources (DWR) in response to a complaint alleging unfair hiring practices in the DWR's San Joaquin Field Division.

The CRU did not find merit in the allegations of unfair hiring practices. However, out of the 104 appointments reviewed, 1 appointment error was found. A candidate was hired who did not meet the minimum qualifications at the time of appointment. The DWR took timely corrective action by voiding the unlawful appointment.

COMPLIANCE REVIEW UNIT COSTS

The CRU completed 47 compliance reviews from July 1, 2019, to June 30, 2020. The total cost of the completed reviews is $2,133,336. The total only includes completed reviews and does not include compliance reviews or special investigations in process but not completed during fiscal year 2019/2020. 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

Alcoholic Beverage Control Appeals Board

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Officer's Duty Statement Does Not Reflect EEO Duties
- Ethics Training Was Not Provided for All Filers
- 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
- 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
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Nepotism Policy Needs to be Updated to Comply with Statewide Policy
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

Board of State and Community Corrections

- Examinations 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 All Civil Service Laws and Board Regulations
- Union Was 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, Board Rules, and/or CalHR Policies and Guidelines
- Alternate Range Movements 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 Authorization Complied with Civil Services Laws, Board Rules, 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
- Leave Reduction Plans Were Not Provided for All Employees Whose Leave Balances Exceeded Established Limits
- 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 ABLE Act Board

- Probationary Evaluations Were Not Timely
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Unions Were Not Notified of Personal Services Contract
- Mandated Training Complied with Statutory Requirements
- 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
- Department Does Not Maintain A Current Nepotism Policy
- 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 Air Resources 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
- Equal Employment Opportunity Questionnaire Was Not Separated from Application
- Unlawful Appointment Investigation Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- 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
- 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 Rule, 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
- 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
- Injured Employee Did Not Receive Claim Forms Within One Working Day of Notice or Knowledge of Injury
- Performance Appraisals Were Not Provided to All Employees

California Business, Consumer Services and Housing Agency

- Examinations Complied with Civil Service Laws and Board Rules
- Appointments Complied with Civil Service Laws and Board Rules
- 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
- 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
- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Departmental Leave Reduction Policy Was Not Developed
- 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 Citizens Redistricting Commission

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Has Not been Established
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Positive Paid Employees Tracked Hours Complied with Civil Service Laws, Board Rules, and/or 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 Pay Period

California Debt Limit Allocation Committee

- Appointments Complied with Civil Service Laws and Board Rules
- 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 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
- 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 Department of Alcoholic Beverage Control

- 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 Regulations
- Written Justification Was Not Provided for Personal Services Contracts
- Unions Were Not Notified of 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 for Appointments
- Incorrect Application of Salary Determination Laws, Board Rules, and/or CalHR Policies and Guidelines for Alternate Range Movement
- Incorrect Authorization of Bilingual Pay
- 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, Policy 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
- 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 Education

- 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
- 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
- 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 CalHR Policies and Guidelines

- Hire Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Application of Laws, Rules, and CalHR Policies and Guidelines for Red Circle Rate Pay
- 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
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Administrative Time Off Was Not Properly Documented
- Incorrectly Posted Leave Usage and/or Leave Credit
- 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
- 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 Department of Finance

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Unlawful Appointment
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Written Justification Was Not Provided for All Personal Services Contracts
- Unions Were Not Notified of Personal Services Contracts
- 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 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
- Red Circle Rate Authorizations 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
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employee Hours Exceed Maximum Hourly Requirement
- 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 Provided to Employees Whose Leave Balances Exceeded Established Limits
- 715 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 Human Resources

- 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
- Supervisory 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/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
- Administrative Time Off Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify Timesheets are Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided to all Employees Whose Leave Balances Exceeded Established Limits

- 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 Motor Vehicles

- Examinations Complied with Civil Service Laws and Board Rules
- 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 Reviewed Were Untimely
- 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
- Supervisory Training Was Not Provided for All Supervisors
- 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 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
- 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 Did Not Retain Employee Time and Attendance Records
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input Is Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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 Social Services

- Candidates Who Did Not Meet the Minimum Qualifications Were Admitted Into the Examination
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointments
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Department Inappropriately Backdated Appointment
- 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
- 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
- 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
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Errors in Applying Pay Differentials
- Incorrect Authorization of Out-of-Class Pay
- ATW Employee Exceeded the Nine Month in Any Twelve Consecutive Month Limitation
- ATW Employee Attendance Record Was Not Properly Retained and/or Documented
- Administrative Time Off (ATO) Was Not Properly Documented
- Department Did Not Retain Employee Time and Attendance Records
- Errors in Leave Balances and/or Timekeeping Records
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Incorrect Application of 715 Transaction

- Nepotism Policy Needs to Be Updated to Comply with Statewide 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
- Administrative Hearing and Medical Interpreter Program Complied with Statutory Requirements

California Department of Transportation

- 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
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- Unions Were Not Notified of Personal Service Contracts
- Ethics Training Was Not Provided for All Filers
- Supervisory Training Complied with Statutory Requirements
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Salary Determination Laws, 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
- Incorrect Authorization of Pay Differential
- Out of Class 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 (ATO) Was Not Properly Documented
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plan Was Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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

California Department of Veterans Affairs

- 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
- Mandated Training Complied with Statutory Requirements
- Incorrect Application of Compensation Laws, Board Rules, and/or CalHR Policies and Guidelines for Appointment
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Alternate Range Movement
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Bilingual Pay
- Errors in Pay Differentials
- Errors in Out-of-Class Pay
- Positive Paid Employees Tracked Hours Complied with Civil Service Laws, Board Rules, Policy and Guidelines
- Administrative Time Off (ATO) Was Not Properly Documented
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Departmental Leave Reduction Policy Was Not Developed
- 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, Policy and Guidelines

California Environmental Protection Agency

- Permanent Withhold Action Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- 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 in the Required Timeframe
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors in the Required Timeframe
- 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 Rules, and 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
- Actual Time Worked Authorizations 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 CalHR Policies and Guidelines
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Were Not Provided for All Employees Whose Leave Balances Exceeded Established Limits
- Service Leave Transactions 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 Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided To All Employees

California Health and Human Services Agency

- 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
- Unlawful Appointments
- A Disability Advisory Committee Has Not been Established
- 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

- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employee's 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
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Were not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Nepotism Policy Needs to Be Updated to Comply with Statewide 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 High Speed Rail Authority

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Timely
- A Disability Advisory Committee Has Not Been Established
- 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
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Arduous Pay Authorization 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 Employee Hours Exceed Maximum Hourly Requirement
- 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
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed

- Leave Reduction Plans Were not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Incorrect Application of State Service and Leave Transaction
- 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 Appraisals Were Not Provided to All Employees

California Highway Patrol

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointment
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Probationary Evaluations Were Not Timely
- Complainants Were Not Notified of the Reasons for Delays in Decisions Within the Prescribed Time Period
- Unions Were Not Notified of Personal Services Contracts
- Supervisory Training Was Not Provided for All Supervisors
- Ethics Training Was Not Provided for All Filers
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Salary Determination Laws, Board Rules, and/or CalHR Policies and Guidelines
- Exceptions to Salary Rules Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Did Not Provide Documentation Demonstrating Employees Met Alternate Range Criteria
- Alternate Range Movements Did Not Comply 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
- Bilingual Pay Authorizations Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Incorrect Authorization of Pay Differentials
- 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 Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines

- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Incorrect Application of 715 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 Horse Racing Board

- Examinations Complied with Civil Service Laws and Board Rules
- Certification List Was Not Cleared of SROA Candidate Before External Transfer
- 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
- Alternate Range Movement 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
- 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
- Leave Reduction Plans Were not Provided to 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
- Performance Appraisals Were Not Provided to All Employees

California School Finance Authority

- 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
- 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
- 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 Secretary of State

- 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
- 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
- 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 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
- 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
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Did Not Comply 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 Lands Commission

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for all Appointments Reviewed
- 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, or CEAs
- 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 Pay Differentials
- 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 Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- 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

California State Summer School for the Arts

- Equal Employment Opportunity Officer Does Not Report Directly to the Head of the Agency
- Equal Employment Officer Is Not at the Managerial Level
- A Disability Advisory Committee Has Not Been Established
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Department Does Not Maintain a Current Written Nepotism Policy
- No Evidence that CSSSA is out of Compliance with Workers' Compensation Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

California Student Aid Commission

- Permanent Withhold Actions 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
- Personal Services Contracts Complied with Procedural Requirements
- 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
- Incorrect Application of Salary Determination Laws, Board Rules, and CalHR Policies and Guidelines for Alternate Range Movements
- Hiring Above Minimum Requests 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
- Out of Class 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
- Department Has Not Implemented a Monthly Internal Audit Process to Verify Timesheets are Keyed Accurately and Timely

- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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 Victim Compensation Board

- 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
- Personal Services Contracts Complied with Procedural Requirements
- Ethics Training Was Not Provided for All Filers Within the Required Timeframe
- Supervisory 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
- 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
- Administrative Time Off (ATO) Was Not Properly Documented
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records Reviewed
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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

Delta Stewardship Council

- Examinations Complied with Civil Service Laws and Board Rules
- 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 Questionnaires Were Not Separated from Applications
- A Disability Advisory Committee Has Not Been Actively Maintained
- Complainant Was Not Notified of the Reasons for Delays in a Decision Within the Prescribed Time Period
- Written Justification Was Not Provided for All 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
- Alternate Range Movements Did Not Comply with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Out-of-Class Pay Authorization Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Did Not Retain Employee Time and Attendance Records
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Department Does Not Maintain a Current Written Nepotism Policy
- Workers' Compensation Policy Was Not Provided to New Employees by the End of the First Pay Period
- 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

Department of Consumer Affairs

- 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
- 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
- Unions Were Not Notified of Personal Services Contract

- Ethics Training Was Not Provided for All Filers
- Supervisory 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 Application of Laws, Rules, and CalHR Policies and Guidelines for Red Circle Rate Pay
- 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
- 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
- Leave Reduction Plans Were Not Developed for Employees Whose Leave Balances Exceeded Established Limits
- 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

Department of Fair Employment and Housing

- Examinations Complied with Civil Service Laws and Board Rules
- 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
- 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
- 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
- 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
- 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 Employee Did Not Receive Claim Forms Within One Working Day of Notice or Knowledge of Injury
- Performance Appraisals Were Not Provided to All Employees

Department of General Services

- 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
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors in the Required Timeframe
- Supervisory Training Was Not Provided for All Supervisors in the Required Timeframe
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Appointments
- Incorrect Application of Salary Determination Laws, Rules, and CalHR Policies and Guidelines for Alternate Range Movements
- Hiring Above Minimum Requests 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
- Pay Differential Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Payroll Errors When Issuing of Out-of-Class Payments

- Appointed Actual Time Worked (ATW) Employee Exceeded Nine Months in a Twelve Consecutive Month Period
- Administrative Time Off (ATO) Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Department Has Not Implemented a Monthly Internal Audit Process to Verify Timesheets are Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided for All Employees Whose Leave Balances Exceeded Established Limits
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Nepotism Policy Complied with Civil Service Laws, Board Rules, and/or CalHR's Policies and Guidelines
- Workers' Compensation Policy Complied with Civil Service Laws, Board Rules and/or CalHR Policies and Guidelines
- Performance Appraisals Were Not Provided to All Employees

Department of Industrial Relations

- Examinations 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 Officer Does Not Report Directly to the Head of the Agency
- Unions Were Not Notified of Personal Services Contracts
- Supervisory Training Was Not Provided for All Supervisors
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Ethics Training Was Not Provided for All Filers
- 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 Did Not Comply with Civil Service Laws, Board Rules, and/or Policies and Guidelines
- Red Circle Rate Authorizations 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
- 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

- Actual Time Worked Employee Exceeded the Nine Month in Any Twelve Consecutive Month Limitation
- 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 Timesheets are Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Error In 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

Department of Parks and Recreation

- 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
- Appointments Documentation Was Not Kept for the Appropriate Amount of Time
- Disability Advisory Committee Is Not Active
- Unions Were Not Notified of Personal Services Contracts
- Personal Services Contracts Did Not Comply 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
- Incorrect Authorization of Hire Above Minimum Request
- Incorrect Authorization of Bilingual Pay
- Pay Differential Documentation Was Not Kept for the Appropriate Amount of Time
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employees' Actual Time Worked Exceeded Nine Months in a Twelve Consecutive Month Period
- Administrative Time Off Documentation Was Not Kept for the Appropriate Amount of Time
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records

- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Reduction Plans Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- 715 Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Department Nepotism Policy Was Not Timely Reviewed and Updated
- 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 Rehabilitation

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Officer Does Not Report Directly to the Head of the Agency
- Equal Employment Opportunity Officer Did Not Monitor the Composition of Oral Panels in Departmental Exams
- Unions Were Not Notified of 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/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
- Positive Paid Employee Exceeded the Nine Month 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
- Incorrectly Posted Leave Usage and/or Leave Credit
- Leave Reduction Plans Were Not Provided To All Employees Whose Leave Balances Exceeded Established Limits
- Incorrect Application of State Service and Leave Transaction
- Department Does Not Maintain a Current Written Nepotism Policy

- 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

Department of Resources Recycling and Recovery

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions Complied with Civil Service Laws and Board Rules
- Unlawful Appointment By Way of Transfer
- Probationary Evaluations Were Not Timely
- 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
- Supervisory Training Was Not Provided for All Supervisors
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- Incorrect Application of Compensation Laws, Rules and CalHR Policies and Guidelines
- Alternate Range Movements Did Not Comply 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
- 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 Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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

Department of Water Resources

- 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 Civil Service Laws and Board Rules
- 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
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Arduous Pay Authorization Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Bilingual Pay Authorizations 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
- Out of Class Pay Authorizations Complied with Civil Service Laws, Board Rules, and CalHR Policies and Guidelines
- Positive Paid Employee Exceeded Nine Months in a Twelve Consecutive Month Period
- Department Did Not Account for All ATW Hours Worked on Timesheets
- Administrative Time Off Authorizations (ATO) 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 Were Not Provided for All Employees Whose Leave Balances Exceeded Established Limits
- Service and Leave Transactions Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Nepotism Policy Failed to Comply 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
- Special Investigation San Joaquin Field Division – Unlawful Appointment

Emergency Medical Services Authority

- Permanent Withhold Action Complied with Civil Service Laws and Board Rules

- Equal Employment Opportunity Questionnaires Were Not Separated from Applications
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Officer's Duty Statement Does Not Reflect EEO Duties
- Department Does Not Maintain a Current Equal Employment Opportunity Policy
- 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
- 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
- Department Did Not Properly Monitor Time Worked for All Positive Paid Employees
- Leave Activity and Correction Certification Forms Were Not Completed For All Leave Records
- Leave Reduction Plans Were Not Provided to Employees 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
- 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

Fair Political Practices Commission

- 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 in a Timely Manner
- Incorrect Application of Compensation Laws, Rules, and CalHR Policies and Guidelines
- Alternate Range Movements Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Out of Class Pay Commenced before the 91st Day
- 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
- Workers' Compensation Process Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Performance Appraisal Were Not Provided to All Employees

Franchise Tax Board

- Examinations Complied with Civil Service Laws and Board Rules
- Permanent Withhold Actions 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 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
- 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 Authorization 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' Time Worked Exceeded Nine Months in a Twelve Consecutive Month Period
- Administrative Time Off Was Not Properly Authorized and/or Monitored
- 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
- 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

Labor and Workforce Development Agency

- Appointments Complied with Civil Service Laws and Board Rules
- Disability Advisory Committee Is Not Active
- 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 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 Timesheets are Keyed Accurately and Timely
- 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 Emergency Services

- 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 All Civil Service Laws and Board Regulations
- Unions Were Not Notified of 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
- Incorrect Application of Salary Determination Laws, Board Rules, and/or CalHR Policies and Guidelines for Appointments
- Incorrect Application of Salary Determination Laws, Board Rules, and/or CalHR Policies and Guidelines for Alternate Range Movement
- Hiring Above Minimum Requests Complied with Civil Service Laws, Board Rules, and/or Policies and Guidelines
- Error in Issuing Arduous Pay
- Errors in Issuing Bilingual Pay
- Incorrect Authorization of Pay Differential

- Errors in Issuing Out-of-Class Pay
- Administrative Time Off Was Not Properly Documented
- Department Has Not Implemented a Monthly Internal Audit Process to Verify Timesheets are Keyed Accurately and Timely
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- Service and Leave Transactions 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

Office of the State Public Defender

- Qualifications Appraisal Team Members Did Not Sign Rating Sheets
- 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
- 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
- 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
- Leave Auditing and Timekeeping Complied with Civil Service Laws, Board Rules, and/or CalHR Policies and Guidelines
- Leave Reduction Plans Were Not Provided to Employees Whose Leave Balances Exceeded Established Limits
- 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

Public Employment Relations Board

- Equal Employment Opportunity Questionnaires Were Not Separated From Applications
- Probationary Evaluations Were Not Provided for all Appointments Reviewed
- Equal Employment Opportunity Program Complied with 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
- Incorrect Authorization of Pay Differentials
- Positive Paid Employees' Tracked Hours 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 Provided to 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
- Performance Appraisals Were Not Provided to All Employees

Sacramento-San Joaquin Delta Conservancy

- Probationary Evaluations Were Not Timely
- Equal Employment Opportunity Officer's Duty Statement Does Not Reflect EEO Duties
- Unions Were Not Notified of Personal Services Contracts
- Ethics Training Was Not Provided for All Filers
- Salary Determinations 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 Was Not Properly 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

- Leave Reduction Plans Were Not Provided to 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
- Performance Appraisals Were Not Provided to All Employees

San Gabriel and Lower Los Angeles Rivers and Mountains Conservancy

- Examinations 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
- Unions Were Not Notified of Personal Services Contracts
- 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
- Department Has Not Implemented a Monthly Internal Audit Process to Verify All Leave Input is Keyed Accurately and Timely
- Incorrectly Posted Leave Usage and/or Leave Credit
- Department Does Not Maintain a Current Written Nepotism Policy

Santa Monica Mountains Conservancy

- Equal Employment Opportunity Program Has Not been Established
- Ethics Training Was Not Provided for All Filers
- Leadership Training and Development Was Not Provided for All Supervisors, Managers, and CEAs
- Sexual Harassment Prevention Training Was Not Provided for All Supervisors
- 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 Appraisals Were Not Provided to All Employees

Sierra Nevada Conservancy

- Appointments Complied with Civil Service Laws and Board Rules
- Equal Employment Opportunity Program Complied with Civil Service Laws and Board Rules
- Personal Services Contracts Complied with Procedural Requirements
- Sexual Harassment Prevention Training Was Not Provided For All Supervisors
- Ethics Training Was Not Provided for All Filers in the Required Timeframe

- Hire Above Minimum Request 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 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 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

State Council on Developmental Disabilities

- Examinations Complied with Civil Service Laws and Board Rules
- Probationary Evaluations Were Not Provided for All Appointments Reviewed
- Equal Employment Opportunity Program Complied with 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 Policy and Guidelines
- 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 is Inputted Accurately and Timely
- Leave Reduction Plans Were Not Provided to Employees 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

INDEX OF COMPLETED REVIEWS AND SPECIAL INVESTIGATIONS COSTS

Department	Compliance Review Completed	Special Investigation Completed	Total Cost
Alcoholic Beverage Control Appeals Board	Yes	No	X[5]
Board of State and Community Corrections	Yes	No	$20,592
California ABLE Act Board	Yes	No	X
California Air Resources Board	Yes	No	$54,912
California Business, Consumer Services and Housing Agency	Yes	No	$10,296
California Citizens Redistricting Commission	Yes	No	X
California Debt Limit Allocation Committee	Yes	No	X
California Department of Alcoholic Beverage Control	Yes	No	$37,752
California Department of Education	Yes	No	$102,816
California Department of Finance	Yes	No	$37,752
California Department of Human Resources	Yes	No	$37,752
California Department of Motor Vehicles	Yes	No	$113,832
California Department of Social Services	Yes	No	$96,096
California Department of Transportation	Yes	No	$168,168
California Department of Veteran Affairs	Yes	No	$96,096
California Environmental Protection Agency	Yes	No	$20,592
California Health and Human Services Agency	Yes	No	$13,728
California High Speed Rail Authority	Yes	No	$37,752
California Highway Patrol	Yes	No	$157,872
California Horse Racing Board	Yes	No	$13,728
California School Finance Authority	Yes	No	X
California Secretary of State	Yes	No	$58,752

[5] Departments with a Total Cost of X were not billed due to their small size.

Department	Compliance Review Completed	Special Investigation Completed	Total Cost
California State Lands Commission	Yes	No	$40,392
California State Summer School for the Arts	Yes	No	X
California Student Aid Commission	Yes	No	$20,592
California Victim Compensation Board	Yes	No	$37,752
Delta Stewardship Council	Yes	No	$20,592
Department of Consumer Affairs	Yes	No	$102,816
Department of Fair Employment and Housing	Yes	No	$37,752
Department of General Services	Yes	No	$96,096
Department of Industrial Relations	Yes	No	$96,096
Department of Parks and Recreation	Yes	No	$96,096
Department of Rehabilitation	Yes	No	$54,912
Department of Resources Recycling and Recovery	Yes	No	$54,912
Department of Water Resources	Yes	Yes	$96,096
Emergency Medical Services Authority	Yes	No	$20,592
Fair Political Practices Commission	Yes	No	$22,032
Franchise Tax Board	Yes	No	$106,392
Labor and Workforce Development Agency	Yes	No	$10,296
Office of Emergency Services	Yes	No	$54,912
Office of the State Public Defender	Yes	No	$20,592
Public Employment Relations Board	Yes	No	$20,592
Sacramento-San Joaquin Delta Conservancy	Yes	No	$11,016
San Gabriel and Lower Los Angeles Rivers and Mountains Conservancy	Yes	No	X
Santa Monica Mountains Conservancy	Yes	No	X
Sierra Nevada Conservancy	Yes	No	$13,728
State Council on Developmental Disabilities	Yes	No	$20,592