

Memorandum

*Flex your power!
Be energy efficient!*

To: WILLIAM E. LEWIS
Assistant Director
Audits & Investigations
California Department of Transportation

Date: August 27, 2013

From: ^{for} TONY TAVARES *Patricia Jo H. DeLeon*
Division Chief
Division of Maintenance
California Department of Transportation

Subject: **60-DAY RESPONSE TO DRAFT AUDIT REPORT REGARDING EMPLOYEE LEAVE BALANCES - MAY 2013**

After reviewing draft Audit Report P3000-0411 and participating in the exit conference on June 14, 2013, the Division of Maintenance has completed the following actions in response to findings 4 and 4.1 of the audit.

Division of Maintenance Work Plan:

Finding Number and statement:	Action:	Completion Date:	Area of Responsibility:
Finding 4 Control Weakness Over Regional Maintenance Timekeeping	Maintenance developed and provided Statewide "hands-on" timekeeping training to Regional Administrative Officers and Timekeepers that included timely review and approval of timesheets in the IMMS and Staff Central systems.	August 12-16, 2013	Division of Maintenance
Finding 4.1 Control Weakness Over Regional Maintenance Timekeeping	Developed and provided a desk and procedures resource manual to Regional Administrative Officers and Timekeepers in accordance with both the Integrated Maintenance Management (IMMS) and Staff Central Systems' "Business Rules" for timekeepers' to include timely review, correction of error, and approval of timesheets submitted by Maintenance Supervisors.	August 13, 2013	Division of Maintenance

WILLIAM E. LEWIS

August 27, 2013

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The 60-day (Due August 28, 2013) progress report is being provided to complete the status of the Work Plan findings 4 and 4.1.

If you have any questions, or need additional information, please contact Lucila Gonzalez, Administration Management Division of Maintenance, at (916) 651-2002.

c: Lucila Gonzalez
Administration Management
Division of Maintenance

Laurine Bohamera
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Memorandum

*Flex your power!
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To: WILLIAM E. LEWIS
Assistant Director
Audits and Investigations

Date: October, 25, 2013

From: LYDIA LEWIS, Chief 
Division of Human Resources

Subject: **60-DAY RESPONSE TO FINAL AUDIT REPORT ON EMPLOYEE LEAVE
BALANCES**

Office of Transactions Services has updated the workplan that identifies the recommendation/action items for the findings in the Final Audit Report of Employee Leave Balances.

Finding 1 – DHR Needs More Comprehensive Desk Procedures.

Response – DHR developed written desk procedures for Accurate Leave Balance and Job Aids. DHR provided Basic Leave Reconciliation and AAR processing training for all employees in October 2013. DHR will continue to enroll staff in SCO CLAS training as classes become available.

Finding 2 – Leave Errors Remain Uncorrected.

Response – DHR continues to conduct leave reconciliations for semi-monthly employees. Leave reconciliations have been sent to all semi-monthly employees in Districts 1 and 2. DHR expects to send out District 6 semi-monthly leave reconciliations during the month of November 2013. DHR will continue to reconcile each District until all semi-monthly employees have been addressed.

If you have any questions, please contact Mona Castaneda at (916) 227-7406.

Attachments

**Employee Leave Balances Audit
P3000-0411
Workplan for Division of Human Resources
10/25/13**

Finding	Recommendation/Action Item	Responsible Party	Status/Deadline for Completion	Completed (show date)
#1	<ul style="list-style-type: none"> • Develop written desk procedures for Accurate Leave Balance <ol style="list-style-type: none"> 1. Develop Job Aids to resolve leave issues 2. Provide Training on AAR processing (TPM 03-01) • Training – Enroll Transactions staff in SCO CLAS Training (note: SCO training availability) • Provide Training on Basic Leave Reconciliation for Transactions employees (TPM 12-02) • Provide Training on AAR processing (TPM 03-01) 	Division of Human Resources (DHR) - Transactions Services DHR – Transactions Services SUPERVISORS DHR – Transactions Services SUPERVISORS DHR – Transactions Services SUPERVISORS	October 2012 October 2013 Ongoing October 2013 (Ongoing) November 2013 (Ongoing)	Completed October 2013 Ongoing October 4, 2013 October 10, 2013
#2	<ul style="list-style-type: none"> • Met to discuss system changes • System change – Edits on Staff Central (SC) System was changed to a Hard Edit. The change prevents SC system from interfacing and receiving 	DHR, IT, Maintenance DHR Staff Central, IT	Ongoing & Tested System	Completed October 2012 Completed March 2013

**Employee Leave Balances Audit
P3000-0411
Workplan for Division of Human Resources
10/25/13**

Finding	Recommendation/Action Item	Responsible Party	Status/Deadline for Completion	Completed (show date)
	<p>uncorrected errors from IMMS or receiving incorrect timesheets due to errors, overuse of leave or entering hours worked that does not match schedule. Hard edit prevents Timekeeping errors through IMMS and will be corrected prior to any SC interface.</p> <ul style="list-style-type: none"> • Met with Maintenance to discuss implementation of hard edit • DHR identified roles & responsibilities for accurate leave balances (TPM 12-02) <p>Maintenance role:</p> <ol style="list-style-type: none"> 1. Ensures timesheets, schedules and employee time worked is reported timely and correctly. 2. Corrects IMMS errors daily <p>DHR role: Ensures reconciliation of leave is performed monthly based on timesheets submitted by employees or maintenance staff, Clas error messages, AAR reports & Unsent</p>	<p style="text-align: center;">DHR, IT, Maintenance</p> <p style="text-align: center;">DHR – Transactions Services</p>		<p style="text-align: center;">Completed April 2013</p> <p style="text-align: center;">Completed May 2013</p> <p style="text-align: center;">Completed October 2012</p>

**Employee Leave Balances Audit
P3000-0411
Workplan for Division of Human Resources
10/25/13**

Finding	Recommendation/Action Item	Responsible Party	Status/Deadline for Completion	Completed (show date)
	reports. <ul style="list-style-type: none"> • Hard Edit - System implementation • Provide staff tools to ensure reconciliations are conducted monthly. DHR will establish Monthly Worksheet for Sups to document the reconciliations. • Modify the "Unsent report". The cumulative report reflects uncorrected leave errors. This report will provide another leave reconciliation tool for PS 	DHR, IT, Maintenance DHR – Transactions Services DHR, IT	May 2013 July 2013 July 2013	Completed Completed Completed
#3	System Edits – see #2 Leave Reconciliation Plan Leave Reconciliation - Semi-Monthly employees	DHR, IT, Maintenance DHR – Transactions Services Branch Chiefs DHR – Transactions Services Branch Chiefs	May 2013 July 2013 Begin July 2013	Completed Estimated completion Date - July 2014 Districts 1, 2 complete. District 6 – November 2013