



FACT SHEET

Audits and Investigations

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Employee Discipline Process Audit

BACKGROUND

The primary purpose of the discipline process is to provide an employee with the opportunity to correct a performance or conduct issue in a fair and consistent manner. A performance issue is defined as an employee's "poor performance" completing the job requirements in a substandard way or in completing some aspect of the job poorly. A conduct issue is defined as an employee's "misconduct" involving behavior contrary to the nature of the job or state rules. The Division of Safety and Management Services, Office of Discipline Services, is the point-of-contact for Caltrans supervisors or managers requesting employee disciplinary action. Our audit focused on the adequacy of the employee discipline process to determine whether disciplinary actions are properly processed.

KEY FINDINGS

During our audit of the Employee Discipline Process, we noted the following:

- Lack of sufficient procedural guidelines.
- Untimely processing and notification of adverse actions.
- Missing case files.

KEY RECOMMENDATIONS

The audit resulted in several recommendations, a few of which are listed below:

- Update the database of disciplinary actions to ensure its accuracy.
- Complete and implement the Office of Discipline Services' procedures manual with emphasis on maintaining relevant documentation in the adverse action case files and the timely processing of adverse actions.
- Develop comprehensive database procedures for use by all authorized users.
- Explore ways to address high staff turnover and workload in the Office of Discipline Services.
- Institute measures for safeguarding and tracking the adverse action files.