State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

Flex your power!
Be energy efficient!

To: WILLIAM LEWIS
Assistant Director
Audits and Investigations

Date: January 15, 2013

File:

From: DOUG KEMPSTER
Acting Deputy Director
Information Technology

Subject: **60-Day Progress Report to Audit Report on Overtime Use**

As required, attached is Information Technology's 60-day response on progress made to address findings presented in the Audit Report on Overtime Use.

Information Technology is pleased to announce that all commitments identified in the October 29, 2012 work plan, submitted as part of the "Response to Draft Audit Report on Overtime Use," have been accomplished.

Please contact Greg Gollaher (916-440-0504 or Gregory_gollaher@dot.ca.gov) should you have any questions.

Attachments
(1) 60 Day Response Matrix
(2) Overtime Communication to IT Managers and Supervisors
(3) Overtime Log and Instructions
(4) Screenshot of electronic files

c: Laurine Bohamera

bc: Steve Kawano, Acting Division Chief, ETID *(This page always on separate page)*
Carol Pennington, Chief, IT Management Support Office
Greg Gollaher, Chief IT Administration
Maria Nelson, Chief, IT HR Branch

gsg/typist

Audit Report Finding #1: Documentation of Overtime Use is Not Retained as Required	Proposed Corrective Action / Steps	Time Estimated for Corrective Action	Staff Responsible for Completion
Three supervisors in Information Technology (IT) did not maintain overtime documentation as required by Deputy Directive DD-56: Overtime Documentation is specific evidence demonstrating pre-approval of overtime, overtime hours worked, reason for overtime, and product produced as a result of overtime. Examples of acceptable documentation to support overtime include: time sheets supported by sign in/out logs, weekly attendance logs, overtime logs, daily diaries, or contractor's work hours and must contain the required elements cited above. All designated supervisors approving time worked must comply with all of the departmental guidelines for the recording of time worked directed in Deputy Directive 108, Timely Submission and Approval of Timesheets. DD-108 Policy states: The California Department of Transportation (Department) requires all employees to submit timely and accurate timesheets in the Online Time Reporting System. Timesheets must be submitted to Supervisors weekly at the close of business Friday or on the last day scheduled to work in the week. The reporting of personal services is essential in meeting project management and budgeting goals. The Department is committed to maintaining timely, accurate, and complete information at every level. This directive supports the Department's mission and commitment to effectively manage and account for its resources. Violations of this policy may result in disciplinary action.	Overtime log instructions will be resent to IT Managers and Supervisors by the Human Resources (HR) Unit of the IT Management Support Office **Status update: Completed.** E-mail sent to all IT Managers and Supervisors on Friday, January 11, 2013. (Attached) Overtime requests and usage logs are retained by IT managers. In addition, IT HR in the IT Management Support Office maintains a copy of the Overtime Logs in their electronic files. **Status update: Completed.** Screen Shot Attached.	90 Days (Completed in 60 Days)	Greg Gollaher, Chief IT Management Support Office responsible for redistribution of the Overtime Log and Instructions IT Managers and Supervisors are responsible for complying with Departmental policy and procedures.

Audit Report Finding #2: No Documentation of Pre-Approvals for Non-Emergency Overtime	Proposed Corrective Action / Steps	Time Estimated for Corrective Action	Staff Responsible for Completion
The audit revealed that supervisors were not always obtaining pre-approval for non-emergency overtime. Specifically, the testing of sixty-six supervisors identified that four supervisors, all in District 7 Maintenance, were not obtaining pre-approval as required.	This finding did not apply to managers or staff in IT	N/A	N/A
Audit Report Finding #3: Approval to Exceed Maximum Overtime Hours not Obtained	**Proposed Corrective Action / Steps**	**Time Estimated for Corrective Action**	**Staff Responsible for Completion**
The audit revealed that of sixty-six supervisors identified, four supervisors, one in District 5 Maintenance, two in District 7 Maintenance, and one in District 59 Engineering, were not obtaining approval to exceed the maximum overtime hours per fiscal year.	This finding did not apply to managers or staff in IT	N/A	N/A
Audit Report Finding #4: No Cumulative Tracking of Overtime Hours	**Proposed Corrective Action / Steps**	**Time Estimated for Corrective Action**	**Staff Responsible for Completion**
During audit testing, it was determined that several supervisors were not cumulatively tracking overtime hours for individual employees. Although neither Deputy Directive DD-56 nor district policies specifically state that supervisors must maintain cumulative overtime hours, the guidelines do require that employees work only a maximum hours overtime hours each fiscal year without obtaining specific approval to exceed the cap. As a result, supervisors do need to know the total number of hours worked by individual employees each fiscal year to ensure that approval to exceed the maximum hours is obtained. Therefore, cumulative totals of overtime hours worked must be maintained by supervisors for each employee.	Instructions on how to run an Overtime Monitoring Report will be resent to IT managers and supervisors by the HR Unit of the IT Management Support Office. **Status update: Completed.** E-mail sent to all IT Managers and Supervisors on Friday, January 11, 2013. (Attached)	90 Days (Completed in 60 Days)	Paul Allen, Acting Chief IT Solutions Division Custom Development Office Responsible for modification of reports and new report creation.

Audit Report Finding #5: Overtime Logs do not Agree with the Approved Time Report	Proposed Corrective Action / Steps	Time Estimated for Corrective Action	Staff Responsible for Completion
During audit testing, it was determined that the overtime logs did not agree with the approved time report in four instances in District 7 and two instances in IT.	Division of Information Technology maintains logs for all hours worked, including overtime hours reimbursed by other Divisions	90 Days (Completed in 60 Days)	IT Managers and Supervisors
	Status update: Completed. E-mail sent to all IT Managers and Supervisors on Friday, January 11, 2013. (Attached)		

> IT Overtime Audit: Policy and Procedure Compliance Reminder - Lotus Notes

File Edit View Create Actions Help

Address

Welcome | Gregory Gollaher - Calendar | Gregory Gollaher - Sent | > Fw: CES Handouts (Updated)... | Re: Approval to Send? Email ... | > IT Overtime Audit: Policy...

New Memo | Reply | Reply To All | Forward | Delete | Follow Up | Folder | Copy Into New | Chat | Tools

Gregory Gollaher/HQ/Caltrans/CA@cv
01/11/2013 11:43 AM

To: IT Mgrs and Supv

cc:

bcc:

Subject: IT Overtime Audit: Policy and Procedure Compliance Reminder

Hello IT Managers and Supervisor's,

A recent Audit Report found some deficiencies in IT's application of Caltrans' overtime policy. In order to improve compliance with overtime policies and procedures, we would like to remind all managers and supervisors of the following items.

1. The Department's Overtime policy is addressed in Deputy Directives DD-56-R2 (Use of Overtime) and DD-108 (Timely Submission and Approval of Timesheets).
2. IT Division Chiefs are responsible for establishing a monthly overtime estimate based on the needs of their Division (Mission critical and emergency workload).
3. Managers are responsible for maintaining evidence of pre-approval of overtime, including overtime paid for by non-IT districts and divisions. To comply with the evidence criteria, District 20 (Information Technology) employees and managers should use Staff Central to approve and document pre-approval of overtime requests. Although not the preferred method, overtime logs can also be used. Instructions for pre-approving overtime on staff central can be found at (http://staffcentral.dot.ca.gov/qa/TRPqa019.htm). Instructions for using overtime logs are attached.
4. Pre-approved overtime must be reconciled to approved employee time reports.
5. Supervisors and Managers are required to cumulatively track employees' overtime. Instructions for running overtime monitoring reports in Staff Central can be found at http://staffcentral.dot.ca.gov/qa/TRPqa019.htm.

With your cooperation, the Division of IT will be in compliance with Caltrans overtime policy.

Thank you,

Greg Gollaher, Chief
Chief, IT Administration
IT Ombudsman
Chief, Agency Telephone Representative (ATR)
(916)440-0504

Overtime Log and Instructions.xlsx

Confidentiality Notice: this e-mail message, including any attachments, is for the sole use of the intended recipient(s) and may contain confidential and privileged information. Any unauthorized review, use, disclosure or dissemination is prohibited. If you are not the intended recipient, please contact the sender by reply e-mail and destroy all copies of the original message.

Disconnected | Office

PLANNED OVERTIME
INFORMATION TECHNOLOGY
Office Name

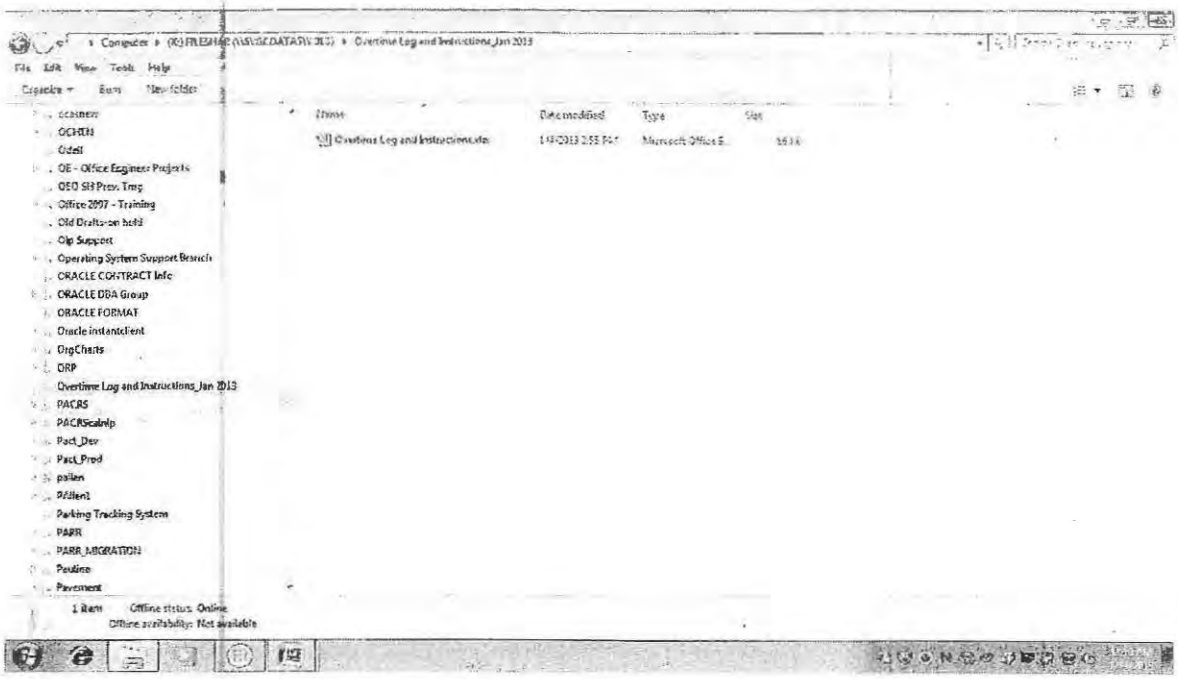
Week of Sunday - Saturday

Date	Employee	Project/Assignment/Task	Justification*	Type of Overtime**	Est Hours	Division Chief Approval

** Must include how OT is Mission Critical and why task(s) cannot be done during normal business hours*

***P = Planned*
S = Standby

Office Chief Approval: _____
Date: _____


Computer
Overtime Log and Instructions_Jan 2013
File Edit View Tools Help
Organize Burn New folder
Name
Date modified
Type
Size
Overtime Log and Instructions.xls
Microsoft Office E...
OCHEN
Odell
OE - Office Engineer Projects
OEO SH Prov. Tmp
Office 2007 - Training
Old Drafts on hold
Olp Support
Operating System Support Branch
ORACLE CONTRACT Info
ORACLE DBA Group
ORACLE FORMAT
Oracle instantclient
OrgCharts
ORP
Overtime Log and Instructions_Jan 2013
PACRS
PACRScalnlp
Pact_Dev
Pact_Prod
pallen
Pallen1
Parking Tracking System
PARR
PARR_MIGRATION
Pavline
Pavement
1 item
Offline status: Online
Offline availability: Not available