



Transportation Enforcement Branch Status of State Audit Compliance



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Audit Recommendations and Compliance Action Plan

- ❑ In June 2014, the California Bureau of State Audits (BSA) issued an Audit Report critical of the CPUC's Transportation Enforcement Branch and Fiscal Office.
- ❑ BSA provided 13 recommendations to the Executive Director:
 - **Procedures, policies and standards (6)**
 - **Fiscal-related (4)**
 - **Draft Strategic Plan**
 - **Training Program**
 - **Airport positions**
- ❑ Within 6 months, SED, Fiscal and Legal staff:
 - Developed procedures that fully comply with four recommendations, and partially comply with two.
 - Submitted a Draft Strategic Plan based on the Commission's Safety Policy and stated goals.
 - Developed a Training Program.
 - Developed fiscal protocols to better track carrier fees and penalties, and to ensure that revenue from carriers more closely matches associated CPUC enforcement costs.





Next Steps in Compliance Plan

Feb

- Develop tracking tool to monitor and report on progress to meet strategic goals.

March

- Complete citation and penalty policies consistent with ALJ-299.

April

- Complete Annual Plan for FY 2015-16.

May

- Complete a Staff Report on options to collect unpaid penalties and fees.

June

- Update results of Fiscal-related implementation activities and Training Program.
- Submit remaining corrective actions to State Auditor on June 16, 2015.





CPUC Audit Response Team

SED and Legal

- Valerie Kao
- Michaela Turner-Stroud
- Brian Kahrs and Adrienne Johnson
- Cindy McReynolds and Joe Ilijas
- Kerriann Sheppard
- Debbie Zundel
- Shirley Lei
- Ivy Walker
- Liza Tano
- Valerie Beck
- Denise Tyrrell
- 26 Senior and Associate
Transportation Enforcement
Representatives

Administrative Services

- Audrey Kitzes
- Michelle Cooke

