Dear Mr. Laird,

In accordance with the State Leadership Accountability Act (SLAA), the California Science Center submits this report on the review of our systems of internal control and monitoring processes for the biennial period ended December 31, 2015.

Should you have any questions please contact Cheryl Tateishi, Deputy Director, Admin, at (213) 744-2328, ctateishi@cscmail.org.

BACKGROUND

Background: California Science Center
Averaging over two million guests annually, the Science Center Program 10-Education represents one of California’s premier educational and family destinations. Governed by a nine-member Board of Directors appointed by the Governor, the Science Center develops and features award winning exhibits and internationally renowned education programs.

The Science Center values accessibility and inclusiveness and strives to inspire interest in science among those traditionally underrepresented in science, math, technology and engineering. The Science Center targets the workforce of tomorrow, ensuring California remains competitive in the technological and scientific marketplace of the future and is extremely effective at bringing educational and inspirational messages to a diverse community. Nearly 70 percent of the Science Center’s guests are drawn from traditionally underserved populations of color, and more than half are female. In addition, the Science Center’s youth programs bring interactive educational experiences to children and youth residing in the economically challenged neighborhoods surrounding the Science Center in South Los Angeles. Community Youth Programs target students attending some of the most crowded and underperforming schools in the state.

Mission Statement: The California Science Center aspires to stimulate curiosity and inspire science learning in everyone by creating fun, memorable experiences, because we value science as an indispensable tool for understanding our world, accessibility and inclusiveness, and enriching people’s lives.

The Science Center achieves its mission through three primary program areas:
- Exhibit Based Education Programming
- Educator Professional Development - Center for Science Learning; and
- Model K-5 Charter Elementary School

Facilities:
There are ten facilities totaling over 1.4 million square feet. The Science Center’s Plant Operations Unit provides facilities support to all ten facilities. As such, the facilities square footage information includes the California African American Museum and the Office of Exposition Park Management, which includes the Department of Public Safety.

State Administrative Services Unit - Support to OEPM and CAAM:
The Science Center’s State Administrative Services Unit not only provides administrative support to Science Center employees and management, but also provides human resources and personnel
management services to the Office of Exposition Park Management, which includes the Department of Public Safety, DPS (38PYs) (the Science Center HR does not manage the Official Personnel Files (OPF) for DPS. Employee OPF’s are maintained separately by DPS Command Management), and the California African American Museum (18.3) PYS. These services include but are not limited to: salary and benefit transactions, recruitment and hiring, equal employment opportunity consultation services and guidance, workers compensation and return-to-work. There are eight collective bargaining units between the Science Center, OEPM and CAAM (1, 4, 7, 12, 13, 14, 15 and 21).

Note: The State Administrative Services Unit provides OEPM with accounting services. (CAAM has a separate unit and procurement authority). Accounting services include management of the Science Center and OEPM’s CalStars and SCO transactions and reimbursements. While the OEPM is included within the Science Center’s purchase authority, the Science Center does not manage the OEPM budget nor has approval or oversight over purchases.

Strategic Planning Values:
The Science Center’s cultural values and principles guide how we work with our guests, volunteers and ourselves. These values and principles guide our leadership in making principle-centered decisions that are aligned with the vision and mission statements of the institution and will serve as a model for our organization.

- Create open and honest dialogue
- Strive for quality and continuous improvement
- Accept responsibility
- Act with integrity
- Create interpersonal trust
- Practice fairness
- Promote teamwork
- Encourage diversity
- Make quality service to our guests a top priority

Background: Office Of Exposition Park Management (OEPM)
Should you have any questions please contact Ana M. Lasso, General Manager at 213-744-7659, ana.lasso@expositionpark.ca.gov; 700 Exposition Park Drive, Los Angeles, CA 90037.

Exposition Park is a 160-acre park just south of Downtown Los Angeles. The land primarily is owned by the State of California, with portions owned by the City of Los Angeles and other portions leased by the County of Los Angeles, the Los Angeles Unified School District and the University of Southern California.

Originally founded as an Agricultural Park in 1872 and subsequently renamed Exposition Park in 1913, the park has become one of Southern California’s premiere visitor destinations. Venues in the park hosted major competitions and events during the 1932 and 1984 Summer Olympic Games in Los Angeles. Exposition Park is home to celebrated museums, recreational, educational and cultural assets.

Exposition Park as a premier state, regional and local asset encompassing the following resources:
- California Science Center, which includes the IMAX Theater -- a California state museum.
- Natural History Museum of Los Angeles County -- a Los Angeles County museum.
- The Dr. Theodore T. Alexander Jr. Science Center Charter School -- a Los Angeles Unified School District Elementary School in partnership with the California Science Center.
- The Los Angeles Memorial Coliseum -- University of Southern California
- The Los Angeles Memorial Sports Arena -- University of Southern California
- EXPO Center -- a City of Los Angeles recreation center
- The Rose Garden -- a City of Los Angeles amenity.

Governance
As a department of the State of California’s Natural Resources Agency, the Office of Exposition Park Management has a nine-member board of directors appointed by the Governor. The Office of Exposition Park Management is a program within the Sixth District Agricultural Association (Food and Agriculture
Code Section 4101-4108) known as the California Science Center.

The Office of Exposition Park Management is responsible for public safety operations, parking services management and overall park beautification maintenance. In addition, Office of Exposition Park Management administers supervision and coordination of park-wide events, and facilitates communication efforts between state, city, and county entities represented within the park. Office of Exposition Park Management is responsible for the negotiations of ground leases and agreements, which impact the state's interest, including development of park facilities and future infrastructure improvements. Exposition Park enriches the internal park community and in addition provides green space and recreational areas for the surrounding neighborhood.

Office of Exposition Park Management/California Science Center Board of Directors
- Fabian R. Wesson – Chair
- Billie C. Greer – Vice Chair
- Janis Berman
- William J. Chadwick
- Diane Hamwi
- Alfredo Medina
- Irene M. Romero
- Stanley Shuster
- Dr. Joel L. Strom

OEPM currently employs thirty-seven (37) employees, twenty-six (26) who belong to OEPM’s Department of Public Safety (DPS). DPS is responsible for security services at Exposition Park. Research indicates DPS began as the Natural Sciences Police Department, under the authority of California Agricultural Code 4108. The inception of this agency is unknown; however, the current classifications of DPS employees were created in 1967. These classifications include Museum Security Officer (MSO) and Supervising Museum Security Officer (SMSO). The Natural Sciences Police Department was renamed Department of Public Safety in 1987, and all positions maintained their title classifications.

The last full law enforcement agency at Exposition Park was the California State Police in 1993. Since that time, and in the absence of a law enforcement agency, DPS SMSOs and MSOs assumed the responsibility for law enforcement response within Exposition Park. Currently, DPS maintains 24-hour patrol coverage, which includes a dispatch center. The dispatch center handles all emergency landline calls within Exposition Park, along with all calls from 62 callboxes. DPS also monitors 128 fixed and rotating cameras throughout the park.

Of the twenty-six (26) members of DPS, three (3) hold the positions of SMSO, twenty-one (21) hold the positions of MSO, and two (2) are dispatchers. Additionally, unfilled positions include two (2) dispatch positions, one (1) SMSO position, and three (3) MSO positions. All unfilled positions were recently vacated and will be filled with employees on current hiring lists prior to the end of 2016.

The other positions in OEPM include the General Manager, who is appointed by the Governor, a Staff Services Manager I (SSMI); an Events Supervisor, Events Coordinator, Administrative Assistant and through an interagency contract with the California Highway Patrol (CHP), a CHP Captain, three (3) CHP Sergeants, and two (2) CHP Office Technicians.

**RISK ASSESSMENT PROCESS**

California Science Center

Attracting over 2 million guests annually, the Science Center represents one of California's premier educational and family destinations. Governed by a nine-member Board of Directors appointed by the Governor, the Science Center develops and features award-winning exhibits and internationally renowned education programs. Hands-on educational exhibits and programs focus on science, math, technology, and conservation which explore biological processes of humans, animals, plants, the Earth's ecosystems, habitats, and geophysical processes, as well as engineering, communications, and transportation, on land and in space. In 2012, the Space Shuttle Endeavour was moved to its temporary home - the Samuel Oschin Pavilion - while design and construction of the Science Center's Air and
Space Center - its permanent home - is completed. In addition, the Science Center operates a 3D IMAX theater which features science related films and documentaries. The Center for Science Learning offers professional development programs to improve math and science skills of teachers and other educators. The Science Center School is a K-5 science, math and technology focused neighborhood charter school. As a Title 1 school, it serves one of the more underserved and economically challenged communities in South Los Angeles. The school's instructional programs and teacher training meet California science standards.

The Science Center strives for quality and continuous improvement. As such, the identification of risks and improvement is an intrinsic part of our core strategic planning and emanates throughout the culture of the organization. The risk assessment process for SLAA is a two year process that begins at the executive level. The first year focuses on the identification of topics and the second year focuses on the internal review of controls, evaluations, etc. Topics, issues, and suggestions are solicited throughout the year via several forums: quarterly all-hands meetings, departmental meetings, subject specific meetings, brown bag forums, coffee with the Director gatherings, management staff meetings, executive meetings, and board meetings. The Science Center also solicits input, suggestions, complaints through secret shopper reports, suggestion boxes, formal surveys, employee newsletters, program evaluations, employee exit interviews, etc. A list of potential risk topics is maintained by the administration department and narrowed down based on the relevance and impact (positive/negative) to the organization. A final list (two-to-four topics) is then submitted to the President and CEO for approval. Once approved, staff spends the following year reviewing the processes, controls, and identifies issues and prepares recommendations. It is important to note that this period is also used to make corrections, implement improvements and establish a process moving forward for monitoring.

Office of Exposition Park Management

The General Manager of OEPM, Chief of Department of Public Safety, command team, Budget and Operations Manager, and Events Services Supervisor meet on a weekly basis to identify and discuss park-wide issues and risks. OEPM reviews all the risks involved with managing the park on a (24/7), 365 day calendar, especially during large-scale special events such as college football events, concerts, and other major events. Additionally, a year ago OEPM procured a contract with a consulting firm that reviewed the park management model and provided an assessment of the financial accountability and strategic operating procedures. The result of that study was to review the current financial plans, vulnerabilities and provide a recommendation on how to solve for certain issues. Since the study was provided, the Office Exposition Park Management has been putting in place controls and polices, whether it is through a) financial accountability measures through the revision of renegotiation of certain lease agreements, b) specific staff training, c) procurement of additional full-time employees in expert fields, and d) the development of a master plan for the entire park.

EVALUATION OF RISKS AND CONTROLS

Operations- Internal- Financial Accountability and Financial Metrics

Office of Exposition Park Management

The General Manager of OEPM, Chief of Department of Public Safety, command staff team, Budget and Operations Manager and Event Services Supervisor meet on a weekly basis to identify and discuss park-wide issues and risks. OEPM reviews all the risks involved with managing the park on a (24/7), 365 day calendar, especially during large-scale special events such as college football events, concerts, and other major events. Additionally, a year ago OEPM procured a contract with a consulting firm that reviewed the park management model and provided an assessment of the financial accountability and strategic operating procedures. The result of that study was to review the current financial plans, vulnerabilities and provide a recommendation on how to solve for certain issues. Since the study was provided, the Office of Exposition Park Management has been putting in place controls and polices, whether it is through a) financial accountability measures through the revision of renegotiation of certain lease agreements, b) specific staff training, c) procurement of additional full-time employees in expert fields and d) the development of a master plan for the entire park.
OEPM manages all state property within the approximate 160 acres of Exposition Park. This includes land-use plans, asset management and leasing. Many of the current leases require renegotiations or updates due to the changing dynamics of use in the park by other entities. This directly affects OEPM because there are lessors who are not paying the full payment of their lease or the lease requirements can no longer be met due to a myriad of factors.

**Operations- Internal- Staff—Training, Knowledge, Competence**

**California Science Center**

**Duty Statements** are critical because they identify the essential duties of the position, additional desirable qualifications, working conditions, and the reporting relationships. An accurate duty statement also establishes the hiring authority’s standard from which annual work performance evaluations should be measured. A good duty statement is an essential tool for successful personnel management. For the employee, it provides a descriptive foundation for job responsibilities and expectations. For the employer, it provides the basis of essential operational workload needs, and parameters from which work performance evaluations and progressive upward mobility/progressive disciplinary actions are properly and legally documented. A current duty statement that is acknowledged by both parties also mitigates unnecessary personnel, medical and/labor related complaint, action or grievance.

Incomplete, inaccurate and/or unsigned duty statements can result in the following employee and employer related concerns: a) a compromise to the employer’s main line of defense regarding unemployment insurance claims, worker’s compensation claims, Americans with Disabilities Act (ADA) claims and Equal Employment Opportunity (EEO) claims; b) employee work expectations regarding essential job functions could be compromised; c) employee confusion regarding work expectations; d) compromise of the progressive discipline due to lack of clear and comprehensive benchmarks regarding employee work expectations; e) a possible compromise to pre-employment medical clearances and continuing employment related medical clearance if environmental and working conditions are not clearly outlined. The risk and consequence of inaccurate duty statements may result in unnecessary liability and exposure to the State in situations involving allegations of out-of-class assignment, unfair performance evaluations, work stress, insufficient work productivity, low morale, union grievances, and workers compensation claims. Furthermore, outdated duty statements result in insufficient justification and documentation in progressive discipline/personnel actions.

Following the completion of the internal review, HR met with the employee/supervisors to correct/clarify any missing components of the duty statement, worked with management to insert a percentage of time for other duties as assigned, and followed up with employees and supervisors to ensure allocation of time and acknowledgment signatures were on file. As part of an ongoing procedure and internal control, HR will continue to monitor duty statements. The following procedures have also been established to ensure periodic review of duty statements:

1) Annually include the review of duty statements as part of the annual work performance evaluation process, 2) Ensure employee/supervisors review and acknowledge new duty statements for new appointments which are the result of internal promotions, 3) Update duty statements as CalHR job specifications are updated or revised, 4) Update duty statements when applicable changes are incorporated into the bargaining unit contracts, 5) Update duty statements as a result of new and approved job analysis.

**Compliance- Internal- Resource Limitations**

**Office of Exposition Park Management**

OEPM employs twenty-six State officers to manage the public safety within the 160 acres of Exposition Park. There are three classifications in the Department of Public Safety (DPS)—Supervisor Museum Security Officer (SMSO); Museum Security Officer (MSO); and Dispatcher. The ladies and gentlemen of DPS do not have peace officer status but do have the power of arrest, bound within the 160 acres of Exposition Park. Due to the limited purview of their role, tactical training and professional development...
has been minimal in comparison to other law enforcement with full peace officer status individuals. Being that Exposition Park is one of the premiere tourist destinations in Los Angeles, the need for safety and law enforcement is of the highest priority.

In order to mitigate this deficiency, the Office of Exposition Park Management entered an inter-agency agreement with the California Highway Patrol (CHP) to provide for command staff and clerical support staff. OEPM has a three-year contract with CHP, whereby the Chief of DPS is now fulfilled by a CHP Captain and the Assistant Chief(s) are fulfilled by CHP Sergeants. Two additional Office Technicians are supporting the daily operations of the OEPM Department of Public Safety. This hybrid management plan for DPS, is only a temporary solution, while the General Manager and CHP command staff produce a full evaluation and risk-assessment of the current Department of Public Safety. In approximately two years, OEPM will make a recommendation to Agency, the Department of Finance and Governor’s Office. One recommendation may be to further increase the resources to provide for additional training or implement a full peace officer status, only to those individuals who meet the qualifications.

Operations- Internal- New System Implementation (Other Than FI$Cal)

Office of Exposition Park Management

OEPM is behind on developing and implementing strategic operating procedures (SOP) to address the various functions that are under the purview of this office. Whether it has been because current policies have not been enforced or are outdated, the issue requires immediate attention to ensure that all visitors, patrons, and on-site staff understand the statutes and limitations of using and enjoying the park.

To address this deficiency, OEPM is set to develop a Strategic Operating Procedure (SOP) Manual that will include internal and external policy recommendations and proper procedures to inform the public on how to request a permit for use of park space or for hosting a special event at the park. The Strategic Operating Procedure Manual will also serve as an adjunct (internal) document for staff that need additional guidance on work-place organization, work-flow and controls. To better help the public and staff of OEPM, the OEPM Strategic Operating Procedure Manual will be published in 2016 and updated annually. The goal is to post the document on the www.expositionpark.ca.gov website and have a password protected version of the document for staff and an un-locked version of the SOP manual for the general public.

Operations- Internal- Oversight, Monitoring, Internal Control Systems

California Science Center

A Records Management Program is essential for business functions to continue to operate successfully, as it provides a framework for the management, retention, preservation, and destruction of State records. Without a system for managing the tremendous amounts of paper records generated on a daily basis at the Science Center, business operations would become inefficient as staff would have to wade through an ever-increasing volume of records. Furthermore, the storage of records is costly and takes up space that could otherwise be used for more productive purposes.

The Science Center filed Records Management Reports (STD75) with CalRIM annually as part of the Annual Report to the Governor until September 2012, when the Annual Report was suspended per SB71. The Science Center was instructed that the annual STD75 was no longer required, and erroneously assumed that STD73 was also suspended. As such, the Department did not submit a Records Retention Schedule for 2012 or 2013. In October 2014, the Science Center reviewed the State Administration Manual (SAM), the Records Retention Handbook, corresponded with a representative of CalRIM, and reviewed records management plans from prior years, and realized that the STD73 is still required. Efforts were immediately undertaken to remedy the situation, and as of May 2015, all five departments of the Science Center have approved Records Retention Schedules (STD73) on file with
CalRIM. Even though the Science Center did not submit a STD73 for fiscal years 2012-2013 and 2013-2014, internal records management continued to take place and records destruction, including e-files, followed the schedule developed using the outdated Records Management Report.

The California Science Center conducted an internal review and audit of its records retention policy. The State Records Management Act (Government Code sections 12270-12279) stipulates that all State Agencies must implement a Records Management Program and file a Records Retention Schedule with the California Records and Information Management Program (CalRIM). The focus of our internal review was to determine whether the Science Center was in compliance with this directive. A Records Management Program is essential for business functions to continue to operate successfully, as it provides a framework for the management, retention, preservation, and destruction of State records. Without a system for managing the tremendous amounts of paper records generated on a daily basis at the Science Center, business operations would become inefficient as staff would have to wade through an ever-increasing volume of records.

**Operations- Internal- Staff—Training, Knowledge, Competence**

**California Science Center**

**Job Analysis** is a pre-requisite to administer an examination. The Science Center has delegated authority from CalHR to conduct civil service exams in accordance with California State law, and job analyses (which are approved by Executive Management) are a prerequisite for all civil service exams. The Science Center conducted an internal review of Job Analyses to determine whether they complied with CalHR guidelines for preparation, content, and timeframe.

A well-crafted, current and comprehensive Job Analysis ensures that the Science Center has the most reliable and current information for a job classification, and allows the Science Center to legally defend its employment and management decisions. The purpose of a Job Analysis is to get an in-depth picture of the job duties, requirements, and expectations, and to develop exam and interview questions. The development of a comprehensive Job Analysis ensures that the Science Center does not incur the risk of unqualified individuals passing an examination, an incomplete list of duties assigned to a particular job classification, poor work performance, or exposing the State to unnecessary liability. The Department solicits sample Job Analyses from other agencies as part of the research methodology when drafting Job Analyses. In a review of all existing job analyses for the Science Center, all twelve conformed to the Job Analysis Report Template found on the CalHR website. There was some inconsistency regarding expiration dates. After consulting with the CalHR Personnel Selection Consultant, the Science Center has adopted the new CalHR standard of a five (5) year expiration date.

**ONGOING MONITORING**

Through our ongoing monitoring processes, the California Science Center reviews, evaluates, and improves our systems of internal controls and monitoring processes. As such, we have determined we comply with California Government Code sections 13400-13407.

**Roles and Responsibilities**

As the head of California Science Center, Jeff Rudolph, CEO, is responsible for the overall establishment and maintenance of the internal control system. We have identified Cheryl Tateishi, Deputy Director, Admin, as our designated agency monitor(s).

**Frequency of Monitoring Activities**

While internal reviews and monitoring activities represents a collaborative effort between executive management and senior management, the Administration Unit serves as the gatekeeper for all audit
(internal and external) monitoring activities and follow-up. Monitoring activities takes place throughout the year via several forums: quarterly all-hands meetings, departmental meetings, subject specific meetings, brown bag forums, coffee with the Director gatherings, management staff meetings, executive meetings, and board meetings. The Science Center also solicits input, suggestions, complaints through secret shopper reports, suggestion boxes, formal surveys, employee newsletters, program evaluations, employee exit interviews, etc. Whenever possible, the day-to-day monitoring of activities is tied to existing organizational policies and procedures so it becomes firmly grounded in the Science Center’s daily operations. Recommendations, including corrective actions are also added to a compendium of previous audits and internal reviews and revisited periodically - frequency is determined based on the nature and risk priority. Reporting occurs weekly and/or monthly, depending on task and risk priority, and takes place at the staff level - during staff and departmental meetings. Executive management communicates with the Board of Directors’ Administration and Finance Committee quarterly about monitoring activities, progress and departmental compliance.

**Duty Statements:**
Following the completion of the internal review, HR met with the employee/supervisors to correct/clarify any missing components of the duty statement, worked with management to insert a percentage of time for other duties as assigned, and followed up with employees and supervisors to ensure allocation of time and acknowledgment signatures were on file. As part of an ongoing procedure and internal control, HR will continue to monitor duty statements on an annual basis or as operations dictate.

**Job Analyses:**
The Science Center will implement a tracking system to identify job analysis that are within six months of the five (5) year expiration period so that HR staff can initiate the process of completing an updated job analysis.

**Records Retention:**
As a result of our internal review, original schedules are maintained by the State Administration department, and electronic copies are sent to the Deputy Directors of each department. A coding system has been developed for records flagged as "Notify Archives". The Department will continue to follow the annual schedule for records destruction, following the Records Retention Schedule approved by CalRIM.

**Reporting and Documenting Monitoring Activities**
Monitoring activities are reported internally to staff members via their unit’s Deputy Director. Depending on the nature of the activity, follow up is on an as-needed basis by staff or the Management Team. Reports are provided to the Executive Team as well as to the Board of Director’s Administrative and Finance Committee. The Board meets monthly and the Administration and Finance Committee meets as needed (but no less than quarterly).

Duty Statements will be reviewed annually, as part of the annual employee performance evaluation process. Department will ensure employee/supervisors review and acknowledge new duty statements for new appointments which are the result of internal promotions, as CalHR job specifications are updated or revised, when applicable changes are incorporated into the bargaining unit contracts, and as a result of new and approved job analysis. Department will monitor expirations dates of Job Analysis and updated as necessary. Department will conduct an annual review of Records Retention plans and submit reports/updates as necessary.

**Procedure for Addressing Identified Internal Control Deficiencies**
Internal control deficiencies are tied to existing policies and procedures whenever possible to ensure that they become part of a systematic review and included in daily, monthly, quarterly, annual operations.
Feedback is solicited throughout the year via the same process that issues are raised -- quarterly all-hands meetings, departmental meetings, subject specific meetings, brown bag forums, coffee with the Director gatherings, management staff meetings, executive meetings, and board meetings. The Science Center also solicits input, suggestions, complaints through secret shopper reports, suggestion boxes, formal surveys, employee newsletters, program evaluations, employee exit interviews, etc. Risks are minimized through peer oversight on a weekly and monthly basis. Deficiencies are reported to the Executive Team and remedied as soon as possible. Appropriate action is taken to resolve the issue, usually within one to two weeks, depending on the nature of the issue and risk.

Duty Statements: Corrective Action: none

Job Analyses: Corrective Action: Not Applicable

Records Retention: Corrective Action: Not Applicable

CONCLUSION

The California Science Center strives to reduce the risks inherent in our work through ongoing monitoring. The California Science Center accepts the responsibility to continuously improve by addressing newly recognized risks and revising risk mitigation strategies. I certify our systems of internal control and monitoring processes are adequate to identify and address material inadequacies or material weaknesses facing the organization.

Jeff Rudolph, CEO

cc: Department of Finance
    Legislature
    State Auditor
    State Library
    State Controller
    Secretary of Government Operations