

Per California Code of Regulations, title 2, section 548.5, the following information will be posted to CalHR's Career Executive Assignment Action Proposals website for 30 calendar days when departments propose new CEA concepts or major revisions to existing CEA concepts. Presence of the department-submitted CEA Action Proposal information on CalHR's website does not indicate CalHR support for the proposal.

**A. GENERAL INFORMATION**

1. Date

9/19/2016

2. Department

California Unemployment Insurance Appeals Board

3. Organizational Placement (Division/Branch/Office Name)

Executive Office

4. CEA Position Title

Assistant Director

5. Summary of proposed position description and how it relates to the program's mission or purpose. (2-3 sentences)

Under the administrative direction of the Executive Director, the Assistant Director (CEA A) develops policies for wide variety of organizational matters including innovation, re-engineering, legislative affairs, government relations, financial oversight, policy, administrative matters and sensitive issues, which are critical to CUIAB's mission. Has decision-making authority over innovation and re-engineering projects. Provides oversight and leadership over these areas in support of the Executive Director's dual role as Executive Director of CUIAB and Chief Administrative Law Judge over Field Operations. The Assistant Director also serves as the Budget Policy Advisor and the Government Relations Coordinator.

6. Reports to: (Class Title/Level)

CEA C - Executive Director/Chief Administrative Law Judge

7. Relationship with Department Director (Select one)

- Member of department's Executive Management Team, and has frequent contact with director on a wide range of department-wide issues.
- Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(Explain):

8. Organizational Level (Select one)

- 1st  2nd  3rd  4th  5th (mega departments only - 17,001+ allocated positions)

## B. SUMMARY OF REQUEST

### 9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

The Assistant Director has oversight of, develops policies for, and advises the Executive Director and Board Chair on a wide variety of organizational matters including:

**Innovation & Re-engineering:** Oversees innovation and re-engineering efforts on behalf of the Executive Director. Advises the Executive Director and Board Chair on organizational innovation and re-engineering strategies to gain efficiencies and/or reduce expenditures. In regards to innovation efforts, develops policies and strategies that support the Executive Director's and the Board Chair's priorities and initiatives. Provides expertise, leadership and consultation on special projects that support process and system improvements. May serve as a Project Director on inter-departmental projects. Represents the Executive Director in meetings with internal and external partners regarding intra- and inter-departmental improvements.

**Policy & Research:** Advises the Executive Director and Board Chair on state and federal policies that impact CUIAB programs. Develops policies and recommends strategies that support changes in state and federal priorities. Directs research and provides high-level analysis to the Executive Director and Board Chair relating to Unemployment Insurance, Disability Insurance, Paid Family Leave, and Tax appeals programs.

**Fiscal Planning:** Serves as the Budget Policy Advisor. Advises the Executive Director and Board Chair on fiscal policy and strategies. Provides oversight of the internal budget development and tracking process. Provides oversight and guidance to the Budget Officer and nine professional staff providing the following administrative functions: Budget, Human Resources, Procurement, Security, and Facilities. Provides leadership on the implementation of the Financial Information System for California (FI\$Cal) Project. Leads research on and pursues supplemental federal grants.

**Government Relations:** Serves as the Government Relations Coordinator. Advises the Executive Director and Board Chair on legislative, public relations, and governmental affairs. Represents the Executive Director with state control agencies, state agency partners, and federal agency partners on policy and fiscal matters. Coordinates with the US Department of Labor on inquiries and policy matters. Represents the Executive Director on intra- and inter-agency work groups and coordination efforts. Directs sensitive research for control agency inquiries.

**Legislative Affairs & Media:** Advises the Executive Director on legislative matters. Oversees the completion of legislative analyses and responds to legislative and media inquiries. Completes the most sensitive legislative analyses.

**B. SUMMARY OF REQUEST (continued)**

10. How critical is the program's mission or purpose to the department's mission as a whole? Include a description of the degree to which the program is critical to the department's mission.

- Program is directly related to department's primary mission and is critical to achieving the department's goals.
- Program is indirectly related to department's primary mission.
- Program plays a supporting role in achieving department's mission (i.e., budget, personnel, other admin functions).

Description: The Assistant Director's role in executive management, oversight and leadership in the areas outlined in the duties and responsibilities (above) are directly related to CUIAB's primary mission and achieving its goals.

The Assistant Director's role in innovation and re-engineering is critical for improving program services to be more efficient, cost-effective and timely.

The Assistant Director's role in policy development, fiscal planning, and research is critical in the development and support of the Executive Director's and Board Chair's policies, priorities and initiatives that drive CUIAB's ability to fulfill its obligations regarding the delivery of timely and efficient program services, and the efficient use of state and federal funding.

The Assistant Director's role in governmental and legislative affairs is critical for maintaining strong, collaborative relationships with state control agencies, state agency partners, federal agency partners and the legislature on policy and fiscal matters.

**B. SUMMARY OF REQUEST (continued)**

11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

In 2008 there was an unprecedented need for CUIAB to ramp up staffing to address post-recession Unemployment Insurance (UI) workload levels which had reached over one-half million cases per year. During this time many organizational changes were made including the merging of the Executive Director and Chief Administrative Law Judge positions into one position; the establishment of three Presiding Administrative Law Judges to serve as Assistant Chiefs; exploration of major technology projects aimed at modernizing EDD and CUIAB appeals processes; and the establishment of a limited term Project Director (CEA A) to oversee modernization efforts. CUIAB had been out of compliance with U.S. Department of Labor standards for a number of years, and modernization was a key strategy. During this time the CUIAB went from an organization of 568 employees to over 700.

This surge was short-lived. Due to our countercyclical nature as the economy recovered we were forced to make major changes to our programs to ensure we stayed within budget and met all federal and state targets. This included major staff reductions, the elimination of two of the Assistant Chief positions, and the moving of major administrative functions from the CUIAB to EDD. In addition, as project planning and a feasibility study for the major technology projects moved forward, it became more and more difficult for to commit to an implementation time-line due to several other high-priority, technology projects already in progress at the EDD.

Up until that point the Project Director's role was to lead a collaborative project team of EDD and CUIAB representatives, overseeing project development, developing policies, directing research, consulting on fiscal matters and funding, and obtaining supplemental federal funds, as well as representing the Executive Director and Board Chair with state control agencies, state agency partners, and federal agency partners.

It soon became clear that many of the technology projects that were a priority in 2008 were no longer possible with new budget and resource constraints. In 2014 it became clear that the Project Director would have to take on additional responsibilities. CUIAB has had to look at ways to carry out its mission and meet its goals with fewer staff in all areas, not just those staff who are involved with hearings. As the Executive Director/Chief ALJ lost the two Assistant Chief positions, and with the major technology project activity slowing down, the role of the CEA Project Director was transitioned into a role with broader span of responsibilities, making use of the expertise that the incumbent demonstrated, to support the Executive Director/Chief ALJ's dual role. The CEA's role expanded to include more responsibilities in Executive leadership and management, similar to those of the proposed CEA position.

### **C. ROLE IN POLICY INFLUENCE**

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principle policy maker. Each example should cite a policy that would have an identifiable impact. Include a description of the statewide impact of the assigned program.

Example #1 – Innovation & Re-engineering: CUIAB plans to re-engineer higher authority appeal processing to eliminate duplication, achieve efficiencies, realign staffing, and improve staff productivity and accountability. The Assistant Director will oversee this effort, making decisions and setting policies as needed to guide the project during planning and implementation. The impact would be on the processing of all higher-authority appeals and on service delivery for constituents statewide.

Example #2 – Policy & Research: The Assistant Director will develop policies and strategies to address the reconciliation of CUIAB’s portfolio of pending payroll tax appeals with EDD Tax Branch’s records. The Assistant Director will coordinate with EDD Tax Branch and the Presiding Administrative Law Judge, CUIAB Office of Tax Petitions, on implementation. The Assistant Director will work with the Presiding ALJ on any long-term policies or strategies needed to ensure ongoing reconciliation of the records. In this situation, the Assistant Director is not the sole policy-maker. This project will impact the Office of Tax Petitions, and will affect tax petitions filed by constituents statewide.

Example #3 – Fiscal Policy Advisor: The Assistant Director will implement budget policy to help meet the federal grant reductions. In recent years, this area has become increasingly challenging and sensitive. The budget reductions have been part of the Governor’s budget and the May and October Revises, and have been so severe that CUIAB has had to conduct layoffs.

Example #4 – Policy & Research: The Assistant Director will develop policies to implement the legislature’s changes to State policy that impact CUIAB programs, such as when the legislature recently increased the filing period from 20 days to 30 days for filing Unemployment Insurance benefit appeals. This required policies to implement the changes to program service delivery and also to Information Technology case tracking and reporting services.

**C. ROLE IN POLICY INFLUENCE (continued)**

**13. What is the CEA position's scope and nature of decision-making authority?**

The Assistant Director (CEA A) has oversight of, develops policies for, and advises the Executive Director and Board Chair on a wide variety of organizational matters including policy and research, innovation and re-engineering, fiscal planning, government relations, legislative affairs, and sensitive issues.

This position is a member of the executive management team and recommends and influences executive decisions, which impact CUIAB staff and programs statewide.

The Assistant Director oversees innovation and re-engineering efforts on behalf of the Executive Director with decision-making authority.

The Assistant Director directs research and develops policies and strategies that support the Executive Director's priorities and initiatives.

The Assistant Director serves as the Budget Policy Advisor and the Government Relations Coordinator to the Executive Director and Board Chair.

**14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?**

The Assistant Director will develop and implement new policy. For example, when leading an effort to re-engineer an office's processes or reorganize office staffing, the Assistant Director will have policy and decision-making authority, and may develop and implement new policies needed to make and sustain improvements. The Assistant Director will also develop and recommend policies. For example, as the Fiscal Policy Advisor, the Assistant Director will develop and recommend policies for the Executive Director's consideration on fiscal planning and spending. The Assistant Director will also interpret and propose implementation strategies for existing policy, such as when new legislation or changes to state or federal policies impact CUIAB programs.