

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

07/18/2017

2. Department

Department of Child Support Services

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

Executive Division

4. CEA Position Title

Assistant Director, Enterprise Strategic Planning and Risk Management

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

This position would be responsible for preparing and maintaining the department's strategic plan, vetting strategic plan tactics for alignment with the Department's goals and objectives, ensuring the tactics and supporting activities are on schedule and developing mitigations and plan changes and strategies when there are issues, changes or delays. The position would also be responsible for DCSS' Enterprise Risk Management plan to assess, respond to and mitigate program and technical risks affecting the department.

6. Reports to: (Class Title/Level)

Department Director (Exempt)

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, Strategic Planning and Risk Management would be responsible for the following areas:

A. Strategic Planning: The Assistant Director (CEA) would be responsible for developing the department's strategic plan through consultation with the DCSS directorate, DCSS executive team, local child support agency directors, Health and Human Services Agency and child support advocates; assisting DCSS executive team members with the development of tactics that will help the department achieve the goals and objectives identified in the strategic plan; vet proposed new tactics to ensure alignment with the strategic plan's goals and objectives; assigning project managers to help departmental managers manage their tactic project plans and schedules and with the identification and mitigation of risks for their projects; evaluate the success of the strategic plan tactics post implementation and make recommendations for improvements for similar projects in the future.

In the capacity of Chief of Strategic Planning, the CEA will be an instrumental policy advisor to the directorate, advising them whether a proposed project is in alignment with the overall goals and objectives of the department, whether the projects should be modified to be in better alignment with the strategic plan or whether a project should be dropped or reconsidered for a later time. The CEA also plays a critical role in evaluating strategic plan projects and informing the executive team as to whether those projects achieved their objectives or, if not, what changes should be considered to similar projects in the future to make them more effective. The CEA's project management staff would also gather valuable information while a project is in progress that they would use to inform the directorate as to whether a project is on track to be implemented successfully, whether a project is at risk of failure and delay and alternatives to address those issues and whether a project has been overcome by other events such as state or federal law changes that may significantly change the scope of a project or make them irrelevant or if the resources assigned to the project need to be redirected to address higher priority needs.

B. Risk Management: The CEA would be responsible for the department's Enterprise Risk Management (ERM) program. Currently, risk is managed by different areas of the department: information security risks by the Information Security Office; fiscal risk by internal audits and the Administrative Services Division; IT systems risks from hardware and software implementations and system changes by the Technology Services Division; program risk from program changes by the department's business areas. The CEA would be responsible for collecting risk data and risk mitigation plans from all areas throughout the department, developing a threat assessment matrix for all identified risks with risk severity levels and providing a consolidated risk report to DCSS executive management on a regular basis with a status of the mitigation plans for each risk. The CEA would also assume the role of State Leadership Accountability Act Designation Agency Monitor to actively work with department divisions and branches on a routine basis to identify risks and help them to create corrective action plans (CAPs) to mitigate those risks. The CEA, with assigned Unit Monitors, would meet with department branches and divisions on a routine basis to receive updates on their CAPs.

In the capacity of the department's Chief Risk Officer, the CEA would advise the DCSS directorate on key risks facing the department, evaluate whether the CAPs developed by the department's business areas are adequate to mitigate the identified risk and elevate risks to the attention of the DCSS directorate if they require additional attention or mitigation resources. The CEA would also be responsible for creating a culture of risk awareness among the DCSS executive team and would encourage the team to support one another in the mitigation of risks across the department.

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 two primary functions overseen by this CEA are critical to the department's mission and goals. The first function is oversight of the department's strategic plan tactics and evaluation of those tactics post-implementation. The department has developed annual Performance Management Plans (PMP) that contain specific activities (tactics) that enable the department to accomplish the goals and objectives stated in it's strategic plan. The CEA would be responsible for working collaboratively with department executives to develop tactics that align with the strategic plan goals, assign project managers to work with the executives to oversee the tactic project plans and assist the executives with any project issues they encounter and evaluate the tactics post-implementation to determine if the tactics met their intended goals and recommend different approaches to similar tactics in the future if a tactic did not achieve its intended goal. In addition to the department's strategic plan, the CEA would also connect the PMP tactics to five federal performance measures that have been established by the federal Office of Child Support Enforcement for state Child Support Programs to evaluate the effect of the tactics on California's performance on the federal performance measures.

The second function is also essential to the department's mission, Enterprise Risk Management (ERM). Departmental risks can jeopardize the department's ability to meet its core mission and objectives and can have a severe impact to customers' information and their ability to receive their child support payments. Managed properly, risks can be identified and mitigated quickly and appropriately to avoid risks to customers and the ability of the department to meet its goals and objectives. There are several areas of risk that the department must safeguard: information security (customer information, federal tax information, personally identifiable information, social security administration information and other customer information); administrative (financial, personnel, facility security); technology application or infrastructure changes and implementations; and program policy and process changes. Currently, these risk areas are overseen by different offices and divisions throughout the department. This CEA would be responsible to oversee all of the risk management efforts throughout the department; meet regularly with the department's risk managers to discuss issues, concerns and the status of risk mitigation efforts; compile and consolidate a department risk report that ranks risks in terms of magnitude and scope of risk to share with the DCSS directorate and executive staff to keep them apprised of risks and risk mitigation efforts. The implementation of a ERM function led by a member of the executive team will elevate risk awareness among the executive team and will help to cultivate a culture where risk awareness and risk mitigation is a shared responsibility among all areas of the department.

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 the area of strategic planning, the department currently has an annual process in place for department divisions and offices to develop PMP tactics. This process is overseen by the department's Enterprise Project Management Office (EPMO). The EPMO also assigns project managers to assist executive staff to manage their PMP tactics. What is currently lacking in this process is a holistic business analysis of proposed strategic plan tactics to ensure proper alignment with the department's overall goals and objectives as well as to ensure alignment with other current and proposed PMP tactics the department has underway at the state and local level. By having this initial analysis, department and local resources can be more effectively utilized, there will be less risk that tactics will conflict with one another and tactic activities can be sequenced and organized properly to support one another. The department plans to establish a Cross-Functional Team (CFT) made up of program experts redirected from departmental program areas under this CEA to perform this analysis and to make recommendations to adopt, change or eliminate proposed plan tactics. Another element that is currently missing from the department's strategic plan process is a uniform and consistent post-evaluation of strategic plan tactics that have been implemented. Currently, the department requires some level of evaluation of implemented strategic plan tactics, such as reports that indicate the effectiveness of the tactic. But the rigor of the analysis varies based on the skill level of the analysts assigned to perform the evaluation in the program areas, the evaluation standard and metrics vary and are inconsistent among program areas and rarely are the success of the recently implemented tactics viewed or measured in relation to one another to help the department determine which tactics to focus on for further development and enhancement. This work would be assigned to the CFT and the CEA would present the evaluation findings and recommendations to the executive team for consideration.

The department currently has multiple areas that collect risk data, evaluate and assess risks and develop and implement risk mitigation plans. However, the department lacks a centralized risk management function that can measure and assess the various threats and vulnerabilities that affect the department. The department proposes an Enterprise Risk Management (ERM) function that would be overseen by this CEA. The ERM would be responsible for tracking and evaluating risks affecting the department. Specifically, the ERM would be responsible for collecting risk data and analysis from all areas of the department - the Technology Services Division, the Information Security Office, the Office of Audits and Compliance and the business program areas; compiling the risks and risk mitigation plans into a summary report for executive management; evaluating the risk mitigation plans for gaps or weaknesses and evaluating the risks overall to highlight critical risks that may require extra executive attention or additional resources to mitigate. In the current multifaceted structure of risk management in the department, it is difficult to assess the severity of risks relative to one another and leaves the department vulnerable that some risks may go unnoticed or may not receive the proper amount of attention. Also, by elevating risk management to the executive level, it should raise the awareness of department executives of the risks facing the department and provide and enable the opportunity for executive managers to collaborate with and support one another on risk mitigation efforts.

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.

Strategic Plan Development: The CEA would be the DCSS executive charged with the responsibility of leading the development of the department's five- year strategic plan as well as annually collecting performance tactics from the department's business areas to enable the department to achieve the goals and objectives in the department's strategic plan. The CEA and the newly established CFT that would report to the CEA would vet the proposed plan tactics and would make recommendations to the DCSS directorate and executives to accept, modify or delete proposed tactics based on an evaluation of their alignment to the strategic plan goals and objectives, potential conflicts with other efforts already underway in the department and any changes in state or federal law or policy. The CEA and the CFT would need to possess a strong knowledge of all of the strategic plan activities at the state and local level and a good understanding of any federal or state law or policy changes in the area where a tactic is proposed and any other areas that could affect the tactic to ensure that the proposed activity is in alignment with current program requirements. The CEA would need to communicate clearly the business case for not accepting a proposed tactic or modifying a tactic. The policy role that the CEA has in the strategic planning process is essential to ensure that department resources are being used efficiently and effectively as well as ensuring that the tactics are in alignment with the department's core mission and objectives and current program requirements.

Strategic Plan Maintenance: The CEA would be responsible for assigning project management staff to DCSS executives to assist them with their plan tactics. In addition to maintaining the project schedules, the project managers would routinely monitor project risks and escalate these risks up to the CEA. The CEA, the CFT and the project managers would collaborate with the executives to develop risk mitigation plans for identified risks. For projects identified as high risk, the CEA would inform the directorate and present policy options and alternatives for either triaging or discontinuing those projects based on their understanding of the projects and information received from the executives in charge of the projects. The CEA would also notify the directorate when changes in federal or state policy direction results in the need to modify or terminate a project.

Strategic Plan Evaluation: The CEA and the CFT that reports to that individual would be responsible for evaluating the strategic plan tactics after they are implemented. This evaluation component is important to the current and future policy direction of the department. If a tactic is shown to be effective, for instance, expanding the ability of child support obligors to make payments at retail outlets at retail stores results in an increase of child support collections, then this may lead the department to continue to expand such efforts. If an tactic does not appear to produce the intended objective, for instance, mailing letters to customers who are past due in making their child support payments to induce them to make a child support payment, the department may want to stop or reduce these efforts and instead consider other outreach options such as sending outreach via text message, e-mail and other electronic methods. The CEA and their team also would evaluate whether it makes sense to further expand tactics based on the cost-benefit, scope of programmatic impact and other factors and in relation to new tactics proposed by the program areas.

Enterprise Risk Management: The CEA would be responsible for the oversight and reporting of all risks affecting the department. This is an essential policy function because risks facing the department can endanger the department's ability to carry out its core mission, goals and objectives and can adversely affect the customers the department serves. In this function, the CEA would be responsible for collecting information from all of the areas in the department that track and mitigate risks and present these in a report to the DCSS executive team on a routine basis. The CEA would also be responsible for assessing the risk mitigation plans on a regular basis for adequacy and making recommendations to the managers responsible for those plans, the DCSS directorate and the executive team for changes to mitigation plans or areas where risk mitigation needs additional executive attention or dedicated resources. The CEA and their assigned staff would create standard risk tracking tools, risk evaluation criteria, criteria to measure and rate department risks relative to one another and risk mitigation status reports. This CEA would be responsible for increasing awareness and maintaining focus on the key risks facing the department and would encourage collaboration and mutual support among the executive team to help one another mitigate departmental risks.

C. ROLE IN POLICY INFLUENCE (continued)

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

The CEA would report directly to the DCSS directorate. The CEA's scope would extend department-wide in relation to strategic planning and risk management. The CEA would regularly meet with all members of the executive team to discuss strategic plan tactics, progress on the tactics and evaluation of tactics post-implementation. The CEA would also meet regularly with DCSS executives and department managers to discuss identified risks, potential policy and process weaknesses that could lead to risks and the status of risk mitigation efforts. The CEA would convene regular meetings with DCSS executives, senior and mid-level managers in the department to discuss the development and status of strategic plan tactics, department risks and risk mitigation efforts. The CEA would discuss the need for any changes to strategic plan tactics or risk mitigation efforts with the DCSS executive team and the directorate. The DCSS directorate would rely greatly on the CEA for guidance and recommendations on the following: which tactics to include in the annual department Performance Management Plan; which tactics should be modified or terminated during the course of the year due to change in federal or state law or policy circumstances, emerging risks or newly identified resource constraints; implemented tactics that should be discontinued or expanded upon based the evaluated success or lower than anticipated results of the tactics; which departmental risks require additional executive level attention or additional resources based on severity level; previously unidentified risks or emerging risks that require executive level attention; changes to risk mitigation plans or strategies based upon and evaluation of the effectiveness of the current mitigation strategies; and any other issues related to strategic planning and departmental risks.

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

The CEA would be tasked with both developing and implementing new policy as well as interpreting and implementing existing policy. For existing policy, the CEA would be the expert on all policies and procedures regarding the development of the department's five year strategic plan as well as the development and maintenance of the annual Performance Management Plans that are developed by State DCSS divisions and the 49 LCSAs. The CEA might suggest changes to strategic planning policies and procedures based on the experience with the process and feedback from LCSA directors and department deputy directors. In addition, the CEA would recommend strategic sequencing of the implementation of new PMP tactics based on other efforts underway or planned for the department or legal or regulatory changes contemplated at the state or federal levels.

In the area of risk management, the CEA would implement and as needed, interpret existing and proposed state and federal policies regarding risk management of all aspects of the Child Support Program and state department operations. Based on experience and feedback from state and local staff, the CEA, in collaboration with department managers, would propose the development of new risk management policies when needed and would be responsible for implementing the new policies upon approval from the DCSS directorate.