

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

07/26/2017

2. Department

Office of Legislative Counsel

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

Administrative Branch

4. CEA Position Title

Deputy Administrative Officer

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

The Deputy Administrative Officer (DAO) will oversee the Office of Legislative Counsel's fiscal and human resources programs, department-wide policy coordination efforts, auditing and compliance review functions, and succession planning initiatives. The CEA will serve as a primary consultant to the Director's Executive Management Team on all areas of administration, and work closely with management and the Executive Management Team on ensuring the department is adhering to best practices and providing programmatic and policy continuity as turnover amongst the most knowledgeable and senior members of the OLC's management team accelerates in the coming years.

6. Reports to: (Class Title/Level)

Chief Administrative Officer, CEA B

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): The CEA will develop and recommend department-wide policies to the Executive Management Team and implement those policies within its areas of oversight.

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 CEA will have direct management and policymaking over many of the OLC's traditional administrative functions, including human resources, accounting, budgets, general purchasing, department-wide policy development and coordination, internal financial and programmatic compliance review/auditing, and strategic succession planning efforts. The CEA's role will encompass significant policy development and implementation as it relates to business continuity and department-wide administrative policy and best practices. The position will also serve as a primary policy consultant to executive, legal, and IT management on administrative issues, such as fiscal policy, human resources policy, and legal and regulatory compliance within the Administrative Branch.

The CEA will oversee and act as the administrator of the OLC's budget of approximately \$100 million (FY 17/18), which is comprised of two funds. The CEA will oversee procurement of goods/services and the expenditure of those funds. This includes management and oversight of the development of the annual budget and quarterly budget reports and briefings, preparation of year-end financial statements, coordination with Department of Finance and State Controller's Office staff, and review and adjustment of internal financial controls. In addition, the CEA oversees the department's general procurement process, which includes developing and implementing policy as it relates to the procurement life cycle, request for proposal processes, vendor selection, and ensuring contract awards deliverables are accurate and complete.

The CEA will be tasked with creating and implementing the department's internal legal, regulatory, and policy compliance review program, which will act as an internal compliance officer and have department-wide impact on the departments administrative, legal, and information technology operations. The CEA will also have direct managerial oversight over the OLC's department-wide policy coordination and management analysis efforts. This responsibility involves significant policy impact. The program will be responsible for drafting, recommending, and updating department-wide policy, regularly reviewing department policy for areas of development and re-engineering, working with management throughout the organization to develop policies that provide for maximum efficiency, effectiveness, and legal compliance, all while consulting closely with the Executive Management Team on the development of these policies.

The CEA will serve as a high-level consultant to the Executive Management Team on a wide variety of administrative issues, including fiscal operations, human resources practices, legal and regulatory changes affecting the Administrative Branch, and other areas as required by the Executive Management Team. This involves meeting regularly with executive management, regularly presenting updates and recommendations to the full Executive Management Team, and implementing policy throughout the Administrative Branch.

Lastly, the CEA will be charged with consolidating, coordinating, and implementing the department's succession planning program. As of today, succession planning efforts are occurring largely within individual units and programs without overarching policy and administrative direction. The CEA will be tasked with reviewing those efforts, consolidating them into an administrative framework, and developing and implementing a strategic program. Failure to effectively institutionalize the department's succession planning efforts will have a demonstrably negative effect on the ability of the OLC to effectively prepare and process bills, amendments, and other projects for the Legislature. These efforts will have significant policy impacts in both the short and long term and require a CEA position to effectively develop and implement these policy proposals and programs.

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: In addition to providing the support to the administrative roles as described throughout this request, the CEA will oversee succession planning efforts directly related to the department's primary mission and goals, and oversee programs that indirectly support the department's primary mission. The consolidated succession planning program the CEA will be responsible for will have a large impact on the programs that administer the department's primary mission, and will assist programs that provide direct services to the Legislature and engage in efforts to ensure continuity and quality of services that directly impact the legislative process. Additionally, the CEA will oversee areas with indirect support for the department's mission, including legal, regulatory, and policy compliance review and department-wide policy development and coordination. Both of these areas have a direct impact on the operations of those programs providing the primary services of the department in support of the Legislature, as the work of these programs will shape how the programs responsible for the primary mission of the OLC carry out their responsibilities. The CEA will need to work closely with executive and high level managers throughout the department to ensure policy and compliance work improves and strengthens the services provided to the Legislature.

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.

Beginning in 2008, the OLC started consolidating its administrative functions into the Administrative Branch. Prior to 2008, administrative functions were spread throughout the department, which resulted in a number of inefficiencies and a lack of effective executive oversight of these functions. In line with this consolidation, the department appointed a Chief Administrative Officer. In 2012, the department undertook further efforts to streamline business processes and consolidate functions within the Administrative Branch by giving the CAO full operational and policy responsibility for the OLC's 100+ legal and legislative support positions in the Legal Support Services Section. Today the position has full executive responsibility for all traditional administrative functions as well as the legal and legislative support functions, which includes preparation and publishing of all legislative bills and amendments and frequent consultation with high-ranking legislative staff. Simultaneously, the OLC has worked to professionalize its administrative functions by improving policy and processes, focusing on ensuring compliance with best practices, and adding new programs such as internal compliance review/auditing and management analysis.

The level of executive oversight required by the CAO of the legal and legislative support functions necessitates a CEA position that can focus on policy development and implementation of the more traditional administrative functions such as human resources, fiscal programs, and employee training, as well as oversight of new programmatic functions including compliance review/auditing, consolidated department-wide policy development and coordination, and centralized succession planning efforts. Operationalizing the succession planning efforts is of particular interest and consequence to the OLC, as a large swath of the OLC's management staff is eligible to retire within the next five years.

The three new programmatic functions of compliance review, policy development and coordination, and succession planning are vital to the success of the OLC over the coming years as it sees significant changes in the makeup of its management staff. The work of the OLC is of the utmost criticality to the work of the Legislature, as no bill, amendment, or measure can be presented or voted upon by legislators without the work of legal and legislative support staff within the OLC. Every legislative measure is drafted by OLC attorneys and receives thorough review, processing, and publication by OLC legal and legislative support staff. The OLC's Legislative Data Center provides for the Legislature's information technology needs, from administering highly used websites like leginfo.legislature.ca.gov to running the voting systems used by the Members on the floors of the two Houses. These new functions all seek to ensure the department is adhering to best practices and providing programmatic and policy continuity as turnover amongst the most knowledgeable and senior members of the OLC's management team accelerates in the coming years.

Establishing the CEA will significantly help the OLC manage its policy oversight and succession planning functions. Given the unique role of the agency and the effect it has on the efficiency and effectiveness on the legislative process, there are few individuals outside the agency that possess the policy knowledge and skills to successfully manage the legal and legislative support work; therefore it is critical the OLC establish this position and engage in coordinated succession planning efforts to ensure the knowledge retention and policy and operational continuity. Failure to do so could have negative impacts on the legislative process as current executive staff nears retirement.

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.

Policy Integration and Coordination: The CEA will have primary managerial and policy oversight of the OLC's department-wide policy development, integration, and coordination functions. Currently, no single unit is responsible for ensuring consistency amongst department-wide policies or ensuring policies are up to date and reflect the changing nature of State government, law, and best practices. The CEA will have primary charge of the staff tasked with developing and recommending all department-wide policies and ensuring consistency amongst all the department's various policies. This program is responsible for working as a consultant to executives and management throughout the organization to develop new policies, revisit and revise policies, and ensure consistency amongst them. As an example, the OLC is in the process of examining its mobile device policy, particularly as it relates to "Bring Your Own Device" and the legal and personnel ramifications of the various policy options. The CEA, through its staff, will be charged with working with all stakeholders, developing a policy, and making final recommendations to the Executive Management Team as to the final policy and its implementation.

Compliance Reviews and Oversight: The CEA will have primary managerial and policy oversight of the OLC's financial and programmatic compliance review responsibilities. Reporting to the Executive Management Team, the CEA will oversee internal auditing and compliance reviews throughout the department to ensure legal, regulatory, and policy compliance, as well as identifying and recommending areas for efficiencies and developmental opportunities. The design, processes, outcomes, findings, and recommendations of these reviews will greatly impact operational and departmental policy, as it will identify areas for development and opportunity throughout the department, and provide the Executive Management Team with specific policy and operational recommendations on improving internal program and administrative services. As a simple example, the CEA, in conjunction with the Executive Management Team, may determine that the department's legal and legislative file retention policies and processes should be examined both to ensure legal and legislative files are being properly archived according to law and policy, but also to identify efficiencies or cost savings by improving the process. Depending on the recommendations presented to the Executive Management Team, how the OLC retains, accesses, and stores mission critical legislative files, particularly as new technologies become available, could have significant impact on the processes and policies that guide the department's performance of its statutory mission.

Administrative Consultation and Management Analysis: The CEA will act as a primary high-level consultant to the Executive Management Team on a wide variety of administrative issues, including fiscal operations, human resources practices, legal and regulatory changes affecting the Administrative Branch, and other areas as required by the Executive Management Team. This will include developing and making broad policy recommendations in areas critical to the department's support functions. For example, were the Executive Management Team to seek to determine its long-term classification and organizational structure, they would have the consultation and management analysis unit work with stakeholders, review organizational options, create and/or review recruitment and retention data, collect other necessary information, and develop options and recommendations for the Executive Management Team.

C. ROLE IN POLICY INFLUENCE (continued)

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

The CEA will be the primary decision-maker for the areas under its purview, including human resources, budgets, accounting, training, department-wide policy development and coordination, compliance review, and succession planning. The CEA will determine which items are of such consequence to the department that consultation and policy recommendation to the Executive Management Team is appropriate. Additionally, by virtue of the areas of responsibility overseen by the CEA, the CEA will have significant impact over the policies enacted by the Executive Management Team. The CEA will have final determination over the information presented to the Executive Management Team when developing and recommending new and updated department-wide policies, presenting compliance review findings and recommendations, and approving reports developed through the administrative consultation and management analysis function before being sent to the Executive Management Team.

The CEA will be responsible for consolidating and operationalizing the department's succession planning efforts. Succession planning is critical to the continuity of the services the OLC provides the Legislature. The CEA will be charged with determining the succession planning needs of the organization, assessing what efforts have been undertaken at a programmatic level, developing new succession planning initiatives, consolidating existing initiatives under one umbrella, and administering the program. That will involve frequent discussions with executive and high level management throughout the department, developing and implementing policy proposals to further the OLC's succession planning goals, working closely with top level management on the implementation of initiatives, and frequently evaluating, reporting on, and fine-tuning the department's efforts. The Executive Management Team believes this is a vital program for the long-term success of the OLC.

The CEA will also be consulted on a regular basis by the Executive Management Team as a body and the individual executive managers for consultation and recommendations on administrative issues that affect their operational responsibilities. In these instances, the CEA will have a broad scope to determine the appropriate policy and operational guidance to provide to the Team and the individual executives.

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

The CEA will be charged with oversight of the department-wide policy coordination and development functions, meaning it will have significant impact on the shape and direction of department-wide policies presented to the Executive Management Team. This includes new policies, updates to existing policies, and ensuring consistency amongst departmental policies. Providing oversight of the OLC's compliance review program consists of interpretation and implementation of policy, as well as providing policy recommendations to the affected units, much of which will have a department-wide impact. Oversight of departmental succession planning efforts will result in new policy and updates to existing policy to maximize knowledge transfer and skill development within the agency. As the CEA over the fiscal and human resources programs, the CEA will be both developing new policy and interpreting and implementing existing policy.