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

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<td>Board of State and Community Corrections</td>
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3. Organizational Placement (Division/Branch/Office Name)

Administration Division

4. CEA Position Title

Deputy Director-Administration

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

The Deputy Director will formulate and implement all policies of the Board of State and Community Corrections (BSCC) administrative functions including: human resources, information technology, purchasing and contracts, business services, budgets, accounting and program support. The position will liaison with the Department of Finance on budget and policy development and with the Governor's Office, Legislators, and other state control agencies to coordinate BSCC responses to key policy development and application issues. The position will also serve as a key member of the BSCC's Executive Management Team and participate in agency-wide planning, policy-making and decision-making, as well as the development and implementation of BSCC's strategic and operational planning.

6. Reports to: (Class Title/Level)

Executive Officer (Exempt)

7. Relationship with Department Director (Select one)

- [x] 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)
9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

Currently, there is a CEA position that oversees the County Facilities Construction Division of the BSCC. As that work tapers down and the facilities complete construction, there is no longer a need for a dedicated CEA level position to provide administrative oversight. That CEA position will be reassigned to BSCC’s Administration Division.

Under the direction of the Executive Director, the CEA will serve as the principle policy maker for all administrative functions for the BSCC. The position exercises broad policy-making authority over human resources, budgets, accounting, program support, information technology, purchasing and contracts, and business services. The position serves as a key member of the BSCC Executive Management Team and participates in agency-wide planning and decision-making, as well as the development, implementation and evaluation of the BSCC’s strategic and operational planning. The position also serves as an advisor to the Executive Director, General Counsel, and other executive-level management on a wide range of administrative issues including those that are often sensitive and political in nature. The specific program areas include:

HUMAN RESOURCE SERVICES: Function as the BSCC principle policy maker for Administration services contracted through the State Controller’s Office (SCO). These services include Classification, Discipline and Transaction services; Examination Services; Labor Relations; Health and Safety; and Equal Employment Opportunity (EEO). Act as advisor to senior management within the agency, including the Chair and Executive Director, to address program needs that are complex, confidential, sensitive, and political. Ensure best practices are used in compliance with all applicable policies, procedures, rules, and regulations.

INFORMATION TECHNOLOGY: Manage and provide leadership for the Chief Information Officer (IT Supervisor II) who is the BSCC’s liaison with the State’s Chief CIO for Department of Technology. Recommend, develop, and oversee the formulation and implementation of IT policies. Ensure desktop, network, and website services are maintained including risk assessments, vulnerability assessments to meet audit standards and annual reporting to control agencies. Ensure the IT network security system is maintained and IT standards and procedures are developed and implemented in compliance with State policies for, but not limited to, telecommunications, computer and network use. Oversee the development and maintenance of IT projects.

PURCHASING AND CONTRACTS: Function as Procurement and Contracting Officer and manage the Delegated Purchasing Authority program, annual reporting, and other responsibilities for the requisition of non-IT/IT goods, Personal Protective Equipment, services and commodities through a subordinate manager and professional staff, which involves periodic audits. Ensure compliance with the State’s purchasing and contracting guidelines. Oversee implementation of the SB/DVBE programs. Review and approve all documents related to acquiring goods/services for the BSCC including advertising and solicitation documents, i.e., RFP, RFQ, CMAS, etc. Consult with the Department of General Services’ Office of Administrative Law and Procurement Office, program managers, Accounting and Budget staff, Legal Counsel, other State agencies, and private contractors; and advise management on sensitive procurement-related matters.

BUSINESS SERVICES: Oversee subordinate manager and professional staff to provide all phases of facilities management including space planning, building security access, fleet management, emergency preparedness, and continuity planning. Oversee mail and messenger services. Oversee the organization of records management and retention for five-year mandated reporting. Coordinate receptionist duties and other clerical support. Oversee maintenance and replacement of equipment and supply inventory. Oversee waste reduction, recycling and use of recycled products including annual reporting.

ACCOUNTING AND BUDGETS: Manage and provide leadership for the Chief Fiscal Officer (SSM II-Mgr) to plan, administer and direct the development and defense of the BSCC’s operating budget with diverse state and federal funding sources. Administer BSCC’s accounting functions through a subordinate manager and professional staff including, but not limited to, managing the Financial Information System for California (FISCAL), invoicing, encumbering, year-end Financial Statements, compliance with statewide accounting principles and standards, and management of state and federal audits. These responsibilities include coordinating with DOF, managing BSCC’s expenditure plan, and advising management and program staff on accounting and budget matters. Specific activities include preparation, development and maintenance of the agency budget; development of monthly budget and expenditure reports; monitoring of expenditures to ensure spending does not exceed funding; advising management on funding options to meet program needs including options to maximize the availability of current resources; maintaining fiscal integrity; and managing all financial activities and operations to ensure compliance with federal funding/grant requirements.

ADMINISTRATIVE RESPONSIBILITIES: Serve as a member of the Executive Management Team and participate in agency-wide planning, policy making, and decision making, as well as the development, implementation and evaluation of the BSCC’s strategic and operational planning. Assigned as “agency monitor” for the State Leadership Accountability Act’s (SLAA) biennial reporting to DOF, Federal EEO Plan, and other federal and state administrative reporting. Oversee the development of policies, work plans and tracking systems for administrative services. Mentor subordinate managers and staff, evaluate their performance, identify training needs, and assist them in meeting their career goals and objectives.
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 Deputy Director for Administration is at the second-organizational level of the BSCC. The position is critical to the continued success of the BSCC by having charge of a full range of administrative services including information technology (IT), budget and accounting, purchasing and contracts, and business services. The position is critical to the management and development of effective administrative polices that comply with federal and state requirements.

The BSCC's Administrative Division provides necessary protection and support to the BSCC, as well as the State of California, by ensuring that all state and federal (when applicable) rules, regulations, polices and procedures are complied with in all administrative operations. If the BSCC's administrative operations do not comply with mandatory rules and regulations, the BSCC and the State could be in jeopardy of losing federal and state grant funding as well as misusing appropriated funding. The Administrative Division acts as the main liaison with all state level control agencies to ensure compliance with these rules, regulations, policies and procedures. Further, the Administrative Division, as mentioned previously, ensures funding is maintained via appropriate internal controls and compliance with all applicable rules, regulations, policies and procedures. The BSCC Administrative Division is also responsible for the agencies risk management and internal controls, which are required to be in place by the CA State Leadership and Accountability Act (SLAA).
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.

There are three primary changes that necessitate this change: 1) The CFC Division no longer requires CEA level administration, 2) The BSCC administrative functions have increased substantially, and 3) changes in IT classification rules require a CEA level report.

BSCC’s CFC Division was created to manage billions of dollars in construction money that was awarded to local corrections agencies. As those facilities complete construction, the workload has tapered off and no longer requires executive level leadership. At the same time, BSCC's administrative services have grown substantially and now require executive level leadership. When the BSCC was created, in 2012, the agency decided to manage its human resources, financial operations, and information technology via inter-agency agreements with other state agencies that had existing resources, systems, and policies and procedures in place as a short term solution to its immediate need for an administrative infrastructure to support the new agency.

BSCC contracted with the Department of General Services (DGS), Contract Fiscal Services (CFS) for its financial operations including all budget activities, schedules, and drills; accounts payable; receipts and cashiering; general ledger and financial reporting; review and approval of contract and purchase documents; review, release, issue and reconciliation of revolving fund checks; and Fi$Cal activities which included maintenance of Chart of Accounts and accounting tables, and performing year end open and close activities. BSCC also contracted with the California Technology Agency (CalTech), Office of Technology Services (OTech) for the majority of its IT operations and with the State Controller's Office for its Human Resource needs.

These contracts were put in place to provide necessary administrative services while BSCC obtained the resources and expertise required to bring these functions in house. Over the last 3.5 years, BSCC has made significant progress toward bringing its administrative functions. Beginning in Fiscal Year 2016-2017, BSCC assumed responsibility for its budget functions. Effective July 1, 2017, the BSCC assumed responsibility for its accounting functions. In August of 2017, BSCC moved from a externally hosted IT environment to a fully internally managed IT infrastructure. These changes have allowed the BSCC to save money and improve organizational effectiveness and efficiency. By having direct control of its administrative operations, the BSCC can flex with the ever-changing business needs of the agency.

These changes have created the need for a CEA to oversee BSCC’s administrative operations. The number of administrative positions and scope of administrative responsibilities has significantly increased and requires a higher level of leadership. Additionally, recent IT salary compaction increases require higher level IT staff report to a CEA, instead of the Staff Services Manager (SSM) III. The CEA is necessary to manage the full range of administrative responsibilities that the BSCC has assumed. The proposed CEA will be a key member of the BSCC's Executive Management Team and an advisor to the Executive Officer and other executive staff on all administrative issues that are complex, sensitive, and political. The CEA will function as a high-level administrative and policy influencing position for the BSCC and assume a leadership and management role for the Administration Division. The CEA will serve as an advisor to executive staff to ensure program needs and agency mandates are met and coordinate high level program and administrative issues with the Governor’s Office, Department of Finance, and Legislature as necessary. The SSM III that was created when much of the administrative work was under contract is no longer the appropriate level. Additionally, it is not authorized under the new information technology classification structure to lead and supervise BSCC's information technology services.
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.

As a key member of the BSCC's Executive Management Team, the proposed CEA has a principle role in the development, implementation, and evaluation of the Board's administrative policies and procedures, including advising the Executive Officer and Deputy Directors on administrative policy issues and activities that impact the agency.

HR policies, including but not limited to:
Drug Free Workplace; Equal Employment Opportunity/Discrimination Complaints; Family and Medical Leave Act/ California Family Rights Act; Filing Statements of Economic Interests; Illness & Injury Prevention; Incompatible Activities; Privacy, Reasonable Accommodation, Violence in the Workplace, Sexual Harassment Prevention, etc. IMPACT(s): non-compliance with these polices could include undue exposure to litigation and HR complaints from employees. Without appropriate HR policies in place, the agency, its employees, and the State is exposed to inconsistent, unfair, or illegal employment practices that could result in grievances and complaints, unfair employment lawsuits, or the agency's loss of delegated departmental hiring authority.

Fiscal (budget, accounting & FI$Cal) policies, including but not limited to:
In state and out of state travel, compliance with GAAP, SLAA, budget planning, state and federal financial reporting, expenditure tracking and projecting, expenditure reporting, general ledger, and coordination with DOF, LAO, Legislature, and Administration. The lack of appropriate budget and fiscal policies can result in the inability to pay vendor invoices, issue payroll, and issue grant payments. Additionally, it can result in the interruption of services provided to offenders, and halt construction activities. Ultimately, it can result in the loss of state and federal funding.

Business Services & Support (Procurement, Contracting, SB/DVBE, etc.) policies, including but not limited to:
Public Records Act requests, records management, requisition of goods and services, Small Business/ Disabled Veteran Business Enterprise participation, mail handling, asset management, inventory control, etc. The lack of appropriate business services & support (Procurement/Contracting/SB/DVBE/etc.) policies could result in illegal contracts with vendors which could open the State up to unnecessary litigation and legal actions and invalid purchases could result in the loss of delegated purchasing authority and the inability to obtain required resources and supplies to operate day-to-day business; etc.

Information Technology & Security policies, including but not limited to:
Information security, database maintenance, web site maintenance, personal electronics, electronic file storage, and compliance with NIST and SIMM mandates for IT operations and services. Appropriate IT policies can add efficiencies to the agency and the State (BSCC is the State's local public safety data clearinghouse). In turn, the lack of those appropriate policies could result in IT security breaches, virus attacks, data corruption, data loss and theft which could all lead to additional resources being spent to rectify these issues (legal, technical, etc.).

Advise and assist executive management on complex, sensitive administrative policy matters, such as non-tenure appointments; progressive discipline; grievances; complaints; involuntary terminations; adverse actions; contract protests; invoice disputes; budget deficiencies; and sexual harassment. These issues could result in costly and negative impacts to the BSCC, as well as the State of California.
C. ROLE IN POLICY INFLUENCE (continued)

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

The proposed CEA has full management responsibility for planning, organizing and directing the administrative, financial and technology functions for the BSCC. The position is responsible for developing budgeting and fiscal controls and making decisions that affect the agency's annual budget of $687 million, including federal funds. Those funds are provided to a wide range of recipients including local law enforcement, community based organizations and other government organizations. The decision-making authority of this position impacts the numbers public safety programs offered by these agencies that receive BSCC grant funds. Decision making authority includes:

- Working with LAO, legislators, DOF, the Governor's office and other stakeholders and control agencies and providing program and budget information to inform the budget development process.
- Formulating and administering administrative policies, procedures, and practices, as well as implementing and monitoring them to ensure compliance.
- Analyzing complex administrative problems for strategic and workforce planning, financial integrity, and risk assessment.
- Providing leadership and oversight to continuously meet and improve administrative goals and objectives, and addressing administrative challenges.
- Reviewing and approving administrative documents that require a high degree of technical and independent judgment.
- Directing the establishment and implementation of policies and procedures for the effective and expeditious delivery of administrative services including input from executive staff.
- Functioning as a subject-matter expert to implement policies and strategies relating to administrative services.
- Counseling and advising the BSCC Executive Management Team on the most sensitive, complex and critical operational and personnel related issues impacting the organization; assisting and consulting with the Executive Officer and Deputy Directors in the development of significant policy; implementing administrative policies through close coordination with the Executive Management Team and senior managers to ensure accountability; and providing consistent leadership and support for improvement efforts throughout the BSCC.

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

Yes, in the normal course of business the position will develop, implement, and interpret agency policy regarding a variety of program areas including: Budgets, Accounting, Business Services, Human Resources and IT. The CEA will be responsible for developing and implementing new policies that impacts administrative services. The CEA will review existing statewide policies, procedures and rules that relate to administrative services then determine how they apply to the BSCC. Thereafter, the CEA will formulate and direct the development of new or revised policies. The CEA will be responsible for developing, standardizing, administering, and evaluating laws and policies that impact the BSCC’s administrative operations. Also, the CEA will help bridge the gap in understanding administrative and program functions to help accomplish the BSCC’s priorities.