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

<table>
<thead>
<tr>
<th>1. Date</th>
<th>2. Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>2022-11-10</td>
<td>California Gambling Control Commission (CGCC)</td>
</tr>
</tbody>
</table>

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

- Operations Division

4. CEA Position Title

- Deputy Director, Operations

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 of the CGCC, the Deputy Director of the Operations Division will serve as the chief policy maker, responsible for directly influencing policies, procedures, rules, guidelines, and principles formulated specifically for the CGCC. The incumbent will plan, organize, and have direct decision making authority of activities associated with the following Operations Division units and programs: Administrative Services Unit (Human Resources, Budgets, Accounting, Procurement, Contract Management, Business Services, Training), Special Programs Unit (Internal Audits, Special Fund Administration and Tribal-State Compact Compliance, and the Cost and Fee Analysis Program), Information Technology (IT), and the Tribal Nation Grant Fund (TNGF) Program. The incumbent is the policy advisor and officer for all issues related to the aforementioned units and ensures that assigned programs are working in cohesion to support a sustainable workforce. The incumbent is a key member of the CGCC's Executive Management Team and involved in all major decision-making and planning related to these administrative programs and other CGCC and/or industry-wide matters. Participates as a senior management sponsor, business lead, and team member in department wide projects.

6. Reports to: (Class Title/Level)

- Executive Director

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): As a member of the Executive Management Team, the CEA will act as a direct resource to the Executive Director and to the Governor’s Office. Will have daily contact with the Executive Director on a wide range of department-wide issues.

8. Organizational Level (Select one)

- [ ] 1st
- [x] 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.

Reporting to the Executive Director, the proposed CEA will serve as the chief policy maker for the CGCC, responsible for directly influencing policies, procedures, rules, guidelines, and principles formulated specifically for the CGCC. The CEA will direct the development and implementation of policies and programs within the Operations Division of the CGCC. Will provide leadership, oversight, and broad policy-making authority over Administrative Services Unit, Tribal Special Funds including the Revenue Sharing Trust Fund, the Indian Gaming Special Distribution Fund, the Tribal Nation Grant Fund Program, Audits, Training, and Information Technology. Will ensure that the CGCC's internal business operations and policy directions are implemented to support the CGCC’s mission, vision, and goals for the future. Will have direct interface with and serve as the primary advisor to the Executive Director, Commissioners, peers, on a wide range of issues, including those that are often sensitive and/or political in nature. Will provide direct policy oversight and guidance on all operational, administrative, and IT functions. Develops and recommends plans and policy direction concerning the CGCC’s role and future role in relation to the gambling industry; the fiscal well-being of the CGCC; initiate or provide consultation for human resource matters, strategic planning, and operational needs. Is a key member of the CGCC's Executive Management Team and ensures their operational needs are considered when changes are being explored. Participates as a senior management sponsor, business lead, and team member in department wide projects such as the full review and audit of the CGCC Policies, the Cost and Fee Analysis Program, the Licensing Information Systems Upgrade Project, as well as a multitude of Strategic Planning Projects. Plays a significant role in the decision-making and development of the CGCC’s Strategic Plan. Serves as the principal CGCC representative to ensure compliance with policies, procedures, and processes that are consistent with the CGCC's goals, objectives, federal and state laws, and the rules of the Governor’s Office (GO), control agencies, the Legislative Affairs Office (LAO), the Legislature, and the Department of Justice’s Bureau of Gambling Control (DOJ/BGC) and on various task forces and committees, providing consultation regarding interdepartmental and intradepartmental policies. Acts on behalf of the Executive Director in their absence. Oversees and leads the CGCC's Special Programs Unit, which includes Internal Audits and the Cost and Fee Analysis Program, which directly addresses the needs identified from recent audit findings by the California State Auditor. This Unit also includes Special Fund Administration and Compact Compliance. Initiates, implements and maintains policy for these programs. Ensures revenue collected aligns with the costs of the activities that the funds support. Provides oversight of the cost and fee analysis of those activities in order to adjust regulatory fees as necessary. Provides policy and direction for the CGCC's Workload Database, ensuring effectiveness of the database and accuracy of the data obtained. Oversees the TNGF Program, established by the Legislature to distribute grant funds to limited and non-gaming tribes. Responsible for the oversight of the administration and technical support of the TNGF, including the public website and stakeholder grant portal, as well as oversight of the facilitation of the TNGF public meetings and discussions with the Panel members, Tribes, and Governor’s Tribal advisor. Provides direction and oversight over the implementation and improvement of a wide range of new and existing TNGF policies and procedures, including administrative, technical, fiscal and accounting policies. Responsible for monitoring all TNGF Program policies to ensure the administrative aspects of the program are appropriate and in compliance with the associated Assembly Bill 880 at all times. Plans and directs staff responsible for processing applications for grants, administrative services to the Governor's Tribal Advisor, the Panel, and Technical Experts, as well as the oversight of allocating and disbursing grants and making other distributions from the fund to eligible tribes. Serves as the department’s Personnel and Equal Employment Officer, responsible for developing and implementing personnel related policies and representing the CGCC before the State Personnel Board, employee organizations, and others. Responsible for the development of all Workforce and Succession Planning efforts, and health and safety initiatives. Plans and directs the CGCC’s IT functions, responsible for the formulation, development, and implementation of IT policies and procedures. Oversees the IT Unit responsible for the design, deployment, and support services for all CGCC information services, applications, equipment, infrastructure, communications, and mobile devices. Provides oversight for all risk and information security measures and is responsible for ensuring all reporting, governance, and education needs are met.
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 CGCC's mission is: We are committed to protecting the public by ensuring integrity and justice in the controlled gambling industry through effective regulations and fair application of the law. The CEA will hold direct leadership, and provide oversight and policy direction in supporting the Operations Division, which is critical in supporting the CGCC in its mission. The Division is responsible for upholding the integrity for the department's budget, cashiering, accounting, procurement, human resources, business services, audits, cost and fee analysis, facilities, tribal funding, and information technology related assignments. The Division is the liaison on behalf of the CGCC with all State control agencies regarding fiscal issues and advises Executive Staff on budgetary matters. The Division also has a fiduciary responsibility to ensure revenues and expenditures are reconciled, recorded and reported in accordance to policies and guidelines. The IT Unit, within the Operations Division, has primary responsibility and oversight of systems infrastructure, application development, electronic records retention, security management, enterprise architecture, information technology policy development, information technology projects and required documentation, and CGCC and other public meeting recordings. The Division's Human Resource Office responds to inquiries from the public, applicants, employees, managers and executive management regarding a variety of personnel issues. The Business Services Office is responsible for tasks associated with the office facilities including liaison with the property manager. The primary responsibilities of the Operations Division also include: oversight of the administration and technical support of the TNGF, as well as oversight of the facilitation of the TNGF public meetings and discussions with the Panel members, Tribes, and Governor's Tribal advisor, verifying the accuracy of Tribal contributions to the general fund, the Special Distribution Fund and the Revenue Sharing Trust Fund; conducting gaming device license draws, and verifying that these new licenses are placed into operation. The Division's responsibilities also include organizing and administering the annual completion of the CGCC's cost and fee analyses, auditing all CGCC policies and procedures to ensure consistency, accuracy, and efficiency of CGCC staff workload activities, providing oversight of the CGCC's Workload Database system for continued process improvements, and oversees and ensures compliance of the Tribal-State Gaming compacts and the Gambling Control Act.
In recognition of continued growth, increases in the CGCC’s role and responsibilities through statutory changes and audits conducted, and the operational complexity of its programs, the CGCC seeks to establish a CEA to provide leadership and oversight for the Operations Division. A CEA is requested to also direct the development and implementation of all CGCC policies and programs within the Operations Division. The, currently named, Administration Division has undergone significant changes and growth, and no longer houses only administrative functions within the division. The division will be re-named to the Operations Division, which will include an array of programs within various units including the: Administrative Services Unit and Special Programs Unit (internal audits, cost and fee analysis program, special funds administration, and the Tribal-State Compact compliance program), the TNGF Program, and the IT Unit. The current position responsible for the Administration Division is a Staff Services Manager III. The CEA will assume direct responsibility of all operational program functions. The SSM III will manage the administrative functions within the Operations Division. The SSM III position will be redirected for departmental needs through attrition.

The Division has undergone significant changes over the last few years, which include: The IT Unit has experienced a significant increase in workload as a result of increased statewide mandates, a shift to a hybrid in-office/telework environment, and increased reliance on systems. As a result, the IT Unit has grown in staffing by approximately 2.5 positions over the last few years to manage resulting workload increase. With the increased telework support, additional business systems, utilization of a complex workload tracking system, and the increased complexity and telework infrastructure of CGCC systems, the IT Unit continues to evolve and grow at a high rate. Additionally, one of the CGCC's Strategic goals is to "promote technology, modernization, accessibility, and security." The CEA will provide direct oversight and policy direction of the CGCC’s IT functions, keeping abreast of the increasing responsibilities, maintaining the knowledge and expertise necessary, and will make policy-focused decisions to ensure the IT Unit provides the support and security measures necessary to sustain the CGCC’s operations and technical systems. The CEA will be responsible for compliance with the current and new National Institute of Standards and Technology requirements as mandated by the California Department of Technology and the State Legislature in order to secure state computing systems, reduce the cyber-attack risk, increase responsiveness, protect public information and increase public trust. Additionally, the CEA will oversee and ensure requirements set forth in the 2018 California Military Department’s Information Security Assessment are implemented and maintained, in order to adequately protect the CGCC’s assets. The CEA will ensure the best IT practices and industry standards are adhered to and will be responsible for ensuring any potential significant risks (e.g., security breaches, cyber-attacks, etc.) to the CGCC's operations, telework support, and assets are identified and addressed immediately and appropriately. In addition, the IT Unit will be embarking upon new projects to address the increased reliance on systems and agency needs due to growth and functionality components. One near-future project involves a vast migration project to upgrade the current LIS to a tailored configuration under MyLicense Office (MLO). The CEA will be instrumental in providing oversight of this new project, ensuring technology requirements are met, policies are established and implemented, and ensuring the increased workload that will occur is supported. Additionally, the IT Unit will soon be implementing a new Workload Database, in which replacing the current application will address the necessary upgrades and user needs. The CEA will oversee the implementation of this project to ensure agency users are provided with the latest database innovations and value-added features, as well as overseeing that existing policies are amended and procedures for the new application are established and implemented.

The TNGF was established in September 2018, with the Program becoming operable in May 2019, as a competitive grant program pursuant to the recent Compacts for Non-Gaming or Limited-Gaming tribes, for the purposes of effective self-governance, self-determined community, and economic development. The CGCC was instrumental in the establishment of this program. The CEA will hold direct responsibility for achieving the Administration’s goal of providing additional funds to tribes that are eligible for distributions from the Revenue Sharing Trust Fund through a grant process that is fair to contributing tribes and empowers the governments of recipient tribes to make a positive impact on the lives of their membership. The CEA will be responsible as the Administrator of fiscal operations for the TNGF and to oversee all allocations and disbursements of these funds to eligible tribes. The CEA will directly oversee the administrative liaison to the Governor’s Tribal Advisor. Under Tribal and State leadership, the CEA will oversee highly sensitive and confidential information, and will exercise judgement and examination of the TNGF Program operations, internal and management controls, provide direction on all TNGF Program internal policies and procedures and play a direct role in the development of TNGF regulations. Additionally, the CEA will provide administrative and technological oversight to ensure the implementation of proficient policies and best practices to interface with the stakeholders, ensuring grant applicants are provided with comprehensive opportunities to apply for grant funding. Please see #39 for additional information.
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.

The CEA’s policy role includes, but is not limited to identifying, developing, approving, and implementing new policy along with revising existing policy, as they pertain to the following areas:

1. Develops and recommends both short and long-term plans and policy direction concerning the CGCC’s role and future role in relation to the gambling industry. The CEA’s role will have statewide impact as the CEA will be charged with the oversight of all CGCC policies and procedures, the operations of the critical programs and support provided by the Operations Division, which in turn supports the CGCC that regulates and ensures the integrity of the controlled gambling industry in the state of California. Serves as a member of the CGCC’s Executive Management Team which is responsible for providing program and policy direction, formulating and implementing department-wide policies related to the programs reporting to and under the Executive Director. Examples: CGCC’s Strategic Plan; California Public Records Act Policy; Public Disclosure and Website Posting of Accusations, Statement of Reasons, Statement of Particulars, Statement of Issues, and Decisions and Orders, State Leadership Accountability Act Report.

Examples: CGCC’s Succession and Workforce Plan; Zero Tolerance, Discrimination Prevention, and Anti-Nepotism Policy and Guidelines; Equal Employment Opportunity Policy.

3. Primary fiscal advisor to the Executive Director and Commissioners on fiscal, policy, and budgetary issues - manages and directs the analysis of fiscal issues and recommends actions, policies, and procedures to the Executive Director, Commissioners, and other Executive staff. Oversees the development of all policies related to budgeting, accounting, and tribal fund management of the Revenue Sharing Trust Fund, the Indian Gaming Special Distribution Fund, and the TNGF Program. Oversees the management of all tribal funds and ensures funds are managed appropriately as to not negatively impact non-gaming and limited-gaming Tribes in California. Examples: Mandated Revenue Sharing Trust Fund Shortfalls Report and Governor's Office Action Request Memo Policy; TNGF Grant Award Distribution Policy and Procedures.

4. Direct oversight of policy direction of the CGCC’s IT functions, making policy-focused decisions to ensure the Information Technology Unit provides the support and security measures necessary to sustain the CGCC’s operations and technical systems. The CEA will oversee all IT security and the policies and operations that guide the continued safety of the State’s assets and the confidential stakeholder information entrusted to the CGCC. Examples: Use of CGCC Information Systems and Devices Policy; Information Security Incident Reporting Policy; Privacy Policy; Records Retention Policy.

5. Principle policy advisor for all CGCC internal audits and the cost and fee analysis. Ensures the establishment and review of the policies and procedures of all internal auditing provisions and of all licensing fees charged to California gaming industry applicants and licensees. Manages policy risks that could result in litigation. Examples: Workload Database Policy, Procedures, and Guidelines; Costing Model Policy and Manual.
### C. ROLE IN POLICY INFLUENCE (continued)

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

The CEA will have full decision-making authority in the development and execution of all CGCC policies that are critical to the CGCC. The CEA will provide direction and guidance on all policy matters and make decisions on sensitive and/or controversial policy matters. The CEA will serve as the Operations Division Deputy Director, as a leader and advisor for the following programs: Human Resources, Budgets, Accounting, Procurement, Contracts, Tribal Funds including the TNGF Program, Special Programs Unit (Internal Audits, Cost and Fee Analysis, Special Fund Administration and Compact Compliance), Training, and IT.

The CEA will plan, administer, direct the development of, and set policy for, the aforementioned programs and serve as an advisor to the Executive Director of the CGCC and the Commissioners. The CEA will work directly with the other CGCC Division CEA staff who report to the Executive Director, and coordinate the development and implementation of CGCC policies and strategies to align staff and operational activities with the CGCC's mission, vision and strategic goals. The CEA will work directly with the Executive Director and be a member of the Executive Management Team.

The CEA is the Commission's Personnel Officer, Labor Relations Officer and Equal Employment Opportunity Officer. The CEA will counsel staff on labor issues, workforce policies, advise management on disciplinary actions and all equal employment matters. In addition, the CEA is the CGCC's Budget Officer and Business Services Officer, directing the operational budget of approximately $8.2 million annually, managing fiscal policy and issues, and recommending actions and policies to the Executive Director and Commissioners.

The CEA also provides oversight over the CGCC's IT Unit, including direct management of the Chief Information Officer, and providing policy-focused decisions to ensure the IT Unit provides the support, security measures, and policies and procedures necessary to sustain the CGCC's operations and technical systems.

**Strategic, Workforce, and Succession Planning** - The CEA will serve as the leader and advisor, working with the Director and the Executive Management Team in planning, developing and implementing a comprehensive strategic plan and workforce and succession plan that aligns staffing with the strategic missions and needs of the CGCC.

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

The CEA will identify, develop, formulate, interpret and implement new and existing policy in the aforementioned program areas, as well as policies for the overall CGCC. The CEA will ensure that all laws and rules governing policy areas are followed and that CGCC objectives are met. Additionally, all policies that are created will be monitored closely to ensure the CGCC operates according to control agency guidelines and/or regulations. The CEA will be responsible for evaluating the needs of industry stakeholders and employees and developing or amending existing policies to ensure needs are met and accurate information is set forth. The CEA will work directly with the Executive Director and CGCC Division Deputy Directors to coordinate the development and implementation of CGCC policies and strategies to align staff and operational activities with the CGCC's mission, vision and strategic goals.