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>
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<tbody>
<tr>
<td>8/27/2018</td>
<td>Employment Development Department</td>
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<tr>
<th>3. Organizational Placement (Division/Branch/Office Name)</th>
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<tr>
<td>Administration Branch</td>
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<th>4. CEA Position Title</th>
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<tr>
<td>Chief, Document Management Division</td>
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<th>5. Summary of proposed position description and how it relates to the program's mission or purpose. (2-3 sentences)</th>
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<td>The Document Management Division (DMD) consolidates the department’s mail, document design, production, and imaging resources to support EDD’s various tax collection, benefit and employment services. The Chief, DMD is responsible for all policy development and program support functions of the division. The Chief, DMD evaluates the work of multidisciplinary staff to ensure efficient operation in a critical production environment.</td>
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<th>6. Reports to: (Class Title/Level)</th>
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<tr>
<td>Deputy Director, Administration Branch (CEA C)</td>
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| 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.

(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.

Under the general direction of the Deputy Director, Administration Branch, The Chief, Document Management Division (DMD) is responsible for all policy development and program support functions of the DMD.

Plans, facilitates, and evaluates the work of a multi-functional staff of approximately 325 staff. Ensures operational and cost efficiencies in the areas of mail operations, document design, production, and imaging.

Recommends, develops, and implements document management related policy to support EDD’s various tax collection, benefit and employment service programs. Advises the Director and Deputy Directors on long-term planning and program delivery systems. Identifies future document management needs and participates in the Department’s overall business strategic planning process.

Exercises oversight over the design, translation, coordination, purchasing, preparation, and production of the Department’s forms and publications. This includes all forms and publications used to generate revenue through the collection of employer taxes, pay benefits to unemployed and disabled claimants, secure employment through Job Service activities, collect Labor Market information, and carry out the Department’s marketing activities with employers and constituency groups.

Is responsible for exercising oversight over the Department’s equipment warehouse operation to maintain an adequate inventory of forms, publications, and equipment in support of statewide operations.

Represents the Department with the Department of General Services, Office of State Publishing, state and local government agencies, local elected officials, community based organizations, and private contractors, vendors, United States Postal Service, Department of Labor, Sacramento Postal Customer Council, Mail Systems Management Association, other State Employment Security Agencies, and other agencies as appropriate.
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 EDD’s mission is to enhance California's economic growth and prosperity by
collaboratively delivering valuable and innovative services to meet the evolving needs of
employers, workers, and job seekers. The EDD connects employers with job seekers,
administrers the Unemployment Insurance, Disability Insurance, and Paid Family Leave
programs, and provides employment and training programs under the federal Workforce
Innovation and Opportunity Act. Additionally, the EDD collects various employment payroll
taxes including the personal income tax, and collects and provides comprehensive economic,
occupational, and socio-demographic labor market information concerning California’s
workforce.

The Administration Branch plays a supporting role in achieving the Department’s mission. The
branch is responsible for developing and delivering services that meet the evolving needs of
employers, workers and job seekers by recommending and implementing administrative
actions consistent with executive level direction, including budget, personnel, facilities, and
document services.

The Document Management Division (DMD) is critical to ensure EDD programs are supported
by providing innovative document/information management solutions to the large statewide
programs housed with the EDD. The DMD strives to provide mail, document design,
production, and imaging resources to support EDD’s various tax collection, benefit, labor
market information and employment services programs.
11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

This request is the first step to merge the Document Information Management Center (DIMC) with the Office of Documents and Publishing (ODPD) and create a new division to better align departmental resources. This is a continuation of efforts to better utilize the DIMC for the entire enterprise versus only supporting Tax Branch. Unlike previously, the DIMC supports scanning and imaging in support for Unemployment Insurance (UI), Disability Insurance (DI), Workforce Services (WS) programs in addition to Tax Branch.

A new division (Document Management Division)(DMD) with accompanying CEA is the most appropriate approach and sufficient for the scope of policy and decision making responsibility that is required. As an executive member of the Administration Branch, the DMD-CEA position exercises a high degree of independence and personal responsibility. The Chief, DMD will be responsible for developing and implementing policies and procedures to ensure program service delivery success, and will receive administrative direction from the Deputy Director, Administration. This structure will allow for cost savings by consolidating like operations, and facilitate equitable funding and cost allocations by not being housed in a single program area. This structure makes more business sense as the DMIC now equally supports the UI, DI, WS, and Tax programs.

ODPD and DIMC as partners will be able to increase synergy in product offerings as a full service printing, mail processing, document scanning and data output provider. Functionally, in regard to forms development and use for the Department, the ODPD activities are the front end of a process (forms development, printing and mailing) and the DIMC activities are the back end of this same process (mail opening, forms scanning and data capture). The two teams already, along with program customers, work collaboratively, and are both an integral part of end-to-end testing for successful implementation of Department workloads involving forms and documents for the Unemployment Insurance, Disability Insurance, Workforce, and Tax programs. It makes logical sense they be combined.

The DMIC was established in the mid 90s for Tax branch but since 2004, DIMC has been moving to become an enterprise facility and a valuable asset to the UI, DI and WS programs, offering innovative information technology solutions for processing Department program paper workloads. With the implementation of the e-file and e-pay mandate (AB 1245 - Chapter 222, Statutes of 2015) the volume of the Tax program workloads has drastically been reduced. AB 1245 requires most employers to electronically submit employment tax returns, wage reports, and payroll tax deposits to the EDD. This has resulted in excess operational capacity that allows DIMC to offer its services across the Department and to other state agencies.

The need for paper processing continues for various reasons including:

• No current legislative mandates for electronic filing of the UI, DI, PFL (and some Tax) forms.
• Under AB 1245, some employers are granted a waiver from electronic filing.
• Within the Department, the DIMC is a state of the art operation and has the organizational setup, equipment, and expertise to process paper documents and paper checks efficiently.

Beyond the current forms and payments received at DIMC it makes sense to take advantage of the excess operational capacity DIMC currently has by bringing other potential Department workloads to the DIMC. Some of these additional efforts are already underway and are as follows:

• Benefit Overpayment Collection Automation (BOCA) Project – The implementation of this project is anticipated to increase remittances to the Department, which has a direct impact to the DIMC operations. Additionally, this project generates the need to start imaging correspondence related to benefit overpayment collections.

• UI DE 1101CZ/ER Project – The forms involved in this project are sent to employers to complete and return to the Department. DIMC will use new intelligent data extraction software to leverage data-capture technology. This results in more DIMC work and process efficiencies for the UI Branch.

• UI DE 1545 Notice of Wages Used for Unemployment Insurance Claim Project and the UI DE 1296 (Benefit Audit) Forms Project – Similar to the DE 1101CZ/ER Project, these forms will be returned to DIMC and be scanned using the intelligent data extraction software to create more work for DIMC and provide efficiencies for the UI Branch.

Leveraging and merging DIMC operations with ODPD accomplishes the following:

• Aligns with Strategic Goals of “Fiscal Stewardship”, “Sustainable Operations” and “Enabling Innovation”.
• Generates cost savings due to the DIMC’s high volume production capability.
• Allows electronic viewing of documents by multiple users, sharing and routing capabilities to any employee at any EDD location, which results in better customer service to the State's claimant and employer community.
• Reduces EDD’s carbon footprint through electronic imaging.
• Greatly reduces the need for mail delivery to EDD facilities.
• Eliminates storage space needed for hard copy file storage.
• Allows the legal paper document to be confidentially destructed and maintain electronic images.
• Improves disaster recovery – protects documents from disaster – fire, flood, theft, etc.
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 Chief, Document Management Division (DMD) will be the principle policy maker for a division of over 320 employees engaged in, high volume print, imaging/data capture, design, mail, fulfillment, records management and customer service operations.

Some examples of policy areas are:

Policies in regards to High Volume Publication Operations for both static and data transactional print operations. The DMD produces millions of documents annually and the Chief, DMD is responsible to ensure efficient operations, the adherence to best practices, and the continual improvement to these operations to safeguard resources. Policy impacts include adherence to statewide policy such as language requirements and DMD policies regarding the style, and compliance with EDD's digital capture standards.

Data Capture Policies are another area of concern for the Chief, DMD. The Document Information Management Center (DIMC) scans and captures millions of documents annually. The safe, accurate and efficient capture of these documents is critical to ensure successful EDD operations. Policies must be created to reflect the sensitive and important workload. Policy impacts include prioritization of sensitive workloads, data governance, and classification of sensitive documents.

Design Service Policies, the Chief, DMD ensures that departmental guidelines are established to produce documents efficiently, that can be imaged in the future by capture facilities at the DMIC. Policy impacts include, fee structure, cost recovery, copyright, and design ownership related policies.

Mail Services Policies, the Chief, DMD ensures that all Mail operations both internal and external are meeting department needs. The Chief works with all appropriate vendors and the US Post Office to ensure that departmental policies in regards to mail operations are compliant with industry leading best practices and procedures. Policy impacts include fulfillment operations, inventory requirements, warehousing, service levels, and adherence to federal and state policies.

Record Management Policies are critical to ensure EDD stakeholders have access to the documents they need when they need them. The DIMC captures documents for multiple program areas including Tax, Disability Insurance and Unemployment Insurance. The successful retrieval, storage, and retention of these documents is important for continued success.
C. ROLE IN POLICY INFLUENCE (continued)

13. What is the CEA position's scope and nature of decision-making authority?
The Chief, DMD (CEA) will develop, recommend and implement policies and procedures for the Document Management Division. The CEA will have full decision making authority and be the primary policy maker in regards to print, digital capture/imaging, design, and mail policies. The Chief, DMD will also play a role in departmental efforts in respect to strategic planning, performance metrics, business process improvement and process re-engineering. The CEA position will have the authority for making high level policy decisions that have broad impact beyond the program area; whereas, other civil service positions would develop operational procedures or standards to implement policy that was developed at a higher level.

14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?
The Chief, DMD will be developing new policy as well as implementing current policy. The Chief will be responsible for implementing policies created by the Department of General Services, other areas of EDD, and other control agencies. The DMD would be one of the largest public document management operations with customers across the state. As such, will be responsible for creating policy to address operational and business requirements for the EDD.