

Department of Human Resources Implementation Plan

January 05, 2023
Eraina Ortega, Director

Implementation Plan Submitted for:
December 31, 2022

RISKS AND CONTROLS

Risk: CalCareers Support Needs

The CalCareers website is the state's job recruitment and hiring website. Today there is a one half-time staff member working on the technical side of the website/web application. Without proper funding and/or resources, continual support cannot be guaranteed. If the staff member left the department, there would be significant loss of knowledge of the system as there are no backups or additional staff working on the solution. Lack of adequate staff to dedicate to development have resulted in slowing down the improvement of the website. Additional resources were pursued, but were recently cut as a result of pandemic related budget shortfalls. CalCareers lost its only devoted programmer in October 2019. We are currently not able to fill the vacancy due to budget cuts. Staff are being redirected from other assignments to provide minimal bug fixes only until such time as new resources may be acquired to focus on CalCareers.

Control: Increase Funding

CalHR is working to acquire additional resources and funding for the system. The system is in the same architecture and follows the same coding standards as the Examination and Certification System (ECOS). If urgent, ECOS staff can help maintain the CalCareers system in the interim since the architecture and code are similar. Lack of resources causes potential delay in bug fixes.

Update With Progress—December 31, 2022

CalHR ITD is actively recruiting to fill the positions acquired in the 2022-2023 BCP. However, with the labor shortage and the high demand for the required skills, ITD is experiencing longer than usual times to recruit qualified staff.

Contact Person(s): Hence Phillips

Is the control put into practice: Partially

Is this control reducing the risk as expected: No

What's Next

CalHR ITSD hopes to have qualified candidates who can be trained who will eventually contribute to the improvement and maintenance of the system. CalHR ITSD will continue its efforts to work towards filling the new positions, and once filled, start new staff training to familiarize the new staff in stabilizing the current platform, and any needed system maintenance. Unfortunately, it has been difficult to recruit and find qualified candidates.

Next Milestone: June 30, 2023

Update With Progress—June 30, 2022

Over the last six months, BCP efforts towards obtaining resources have been partially approved and new staff positions become available in FY 22/23.

Contact Person(s): Hence Phillips

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

Two developer positions have been added to support and enhance the current CalCareers system. The added positions will be applied to add features and stabilize the current platform, and any needed system maintenance. Hiring, onboarding training of new personnel. Identification of areas for improvement according to business team priorities. Creating tasks and plans for which to execute their development.

Next Milestone: June 30, 2023

Risk: Information Security

Currently CalHR receives millions of records every month from various resources. Some of these records contain personally identifiable, financial, and medical information. The following are identified risk drivers: an inability to complete data governance; an inability to properly identify and protect all business systems, applications, and information assets; a failure of cascading effect causing potential issues to timely detect an information security event, which would hamper the ability to contain, respond, and recover from the information security incident; and the potential failure to communicate an information security event to the appropriate parties effectively and timely. If any of these risks were to occur, the privacy and the safety of CalHR's information assets, and the privacy and security of the individuals tied to this body of information, could be compromised.

One or more components of this section were addressed in a prior Implementation Plan and, therefore, the related information does not carry forward.

Control: Governance Project

A project was established to formalized data governance, data tracking, identify ownership and monitor has been agreed upon by CalHR's IT Steering Committee and is next in the queue of projects to begin. CalHR ITD continues to work on a plan to establish data governance, data tracking, and identify ownership policies. CalHR has also assigned a part-time resource to begin the data inventory process. The inventory of all data must be completed to understand and inform next steps in the process.

Update Without Progress—December 31, 2022

The CalHR ITD ISO had left CalHR on November 2022. CalHR ITSD expedited its efforts in the recruitment of a new Chief ISO.

Contact Person(s): Enrique Parker

Is the control put into practice: No

Is this control reducing the risk as expected: No

What's Next

CalHR ITSD will continue its efforts to work towards filling the Chief ISO vacancy. Unfortunately, it has been difficult to recruit and find a qualified candidate.

Next Milestone: June 30, 2023

Update With Progress—June 30, 2022

CalHR ITD has assigned resources to develop various policies to create an Enterprise Content Management (ECM) to set standards and for data retention, disposition, data access, data taxonomy, and data archival to name a few. Additionally, CalHR ITD is also working on governance, standards, and policies for Information Lifecycle Management (ILM) so that CalHR's information assets are properly accessed; properly indexed; information is can easily be searched and found; information is backed up; information assets are properly migrated digitized when necessary, and information assets are also retired when they have served their purpose and no longer have any organizational value. CalHR's ITD focus the next six months is implementing ECM, and ICM policies and procedures.

Contact Person(s): Tadesse Chekol

Is the control put into practice: Partially

Is this control reducing the risk as expected: Yes

What's Next

CalHR's ITD focus the next six months is implementing ECM, and ICM policies and procedures.

Next Milestone: December 31, 2023

Control: Classification and Proper Labeling of Data

It is imperative that CalHR Divisions appropriately inventory, classify and label data in order to properly secure and protect data as well as comply with appropriate State Administrative Manual (SAM), and Security and Privacy Laws throughout all CalHR data's useful lifecycle.

CalHR ITD continues to make significant progress with regards to data classification and inventory, however a significant chunk of work towards centralizing data management process work is still work in progress which will be the focus for the next six months.

Update With Progress—December 31, 2022

CalHR implemented a manual solution to maintain data inventory relying on operational system logs and legacy processes such as service desk tickets and telephone or direct interactions.

Contact Person(s): Enrique Parker

Is the control put into practice: Partially

Is this control reducing the risk as expected: Yes

What's Next

CalHR will submit a fiscal year 2023-2024 BCP to fund the procurement and implementation of a management system that will scan, catalog, map, and monitor data at scale while enforcing data governance through zero-trust access and demonstrating compliance.

Next Milestone: June 30, 2023

Control: Communication

Continue ITD's efforts to inform business areas that own certain data sets to:

- Classify data sets
- Ensure the proper data security controls are in place
- Correctly safeguard their data
- Ensure data is reliable

CalHR ITD continues to caution CalHR Divisions of state security and privacy laws, to ensure CalHR business divisions are properly classifying/labeling their data sets to ensure proper security and data integrity are maintained. CalHR ISO continues to ensure 'Privacy Notice of Collection' is appropriately reflected on Forms used by CalHR divisions. CalHR will continue to focus its efforts in the next six months of ensuring all CalHR business divisions have the appropriate and correct information on 'Privacy Notice of Collection' on forms.

Update Without Progress - December 30, 2022

The CalHR ITD ISO had left CalHR on November 2022. CalHR ITSD expedited its efforts in the recruitment of a new Chief ISO.

What's Next

CalHR ITSD will continue its efforts to work towards filling the Chief ISO vacancy. Unfortunately, it has been difficult to recruit and find a qualified candidate.

Risk: Technology—Support, Tools, Design, or Maintenance

Enterprise Human Resources (EntHR) data sharing architecture between CalHR, the California Department of Technology (CDT), and the State Controller's Office (SCO) that communicates with vendor cloud solutions. CalHR is in need of additional resources to support the development and implementation of this complex and large-scale statewide solution. CalHR is using its limited resources to assist with some of this workload, but it is not enough to maintain or sustain this project.

Control: Maintain Existing Efforts

CalHR and CDT continue to maintain the system with limited existing resources and are working toward acquiring the proper resources to support a large-scale statewide architecture. With 20 departments having procured Learning Management System (LMS) through CDT's Vendor Hosted Subscription Services (VHSS) and 18 departments have successfully implemented integration with EntHR (an increase of 3 departments), CalHR continues conducting onboarding meetings and providing

integration support with departments procuring VHSS – LMS.

CalHR and CDT are continuing to support Vendor management and department's VHSS-LMS integration with EntHR and have operationalized the maintenance and operations processes. CalHR continues to seek additional resources for system support and on behalf of other departments to aid them in the procurement of the LMS through the VMSS, including implementation of maintenance and operations processes with each department adding the LMS.

Update With Progress—December 31, 2022

An additional ten departments procured LMS through CDT's VHSS (30 departments in total) and seven more departments have successfully implemented integration with EntHR (25 departments total).

Contact Person(s): Hence Phillips

Is the control put into practice: No

Is this control reducing the risk as expected: Partially

What's Next

The anticipated new positions gained through the fiscal year 2022-23 BCP process will give us resources to support the development and implementation of the statewide LMS solutions. We are in the process of recruitment.

Next Milestone: June 30, 2023

Update With Progress—June 30, 2022

BCP were developed and approved for position fills. No BCPs have been officially approved, pending approval through the the Governor's Budget. We anticipate final approval to permit ITD to start the process of filling needed positions to manage the identified risk.

Contact Person(s): Frolan Aguilin

Is the control put into practice: No

Is this control reducing the risk as expected: Partially

What's Next

The anticipated fills of new positions gained through the BCP process will give us resources to support the development and implementation of the complex and large-scale EntHR statewide solutions.

Next Milestone: September 30, 2022

Risk: FI\$cal Implementation

Effective July 1, 2018, CalHR implemented FI\$Cal. The implementation process has presented

numerous obstacles for the department. To date, CalHR has not closed fiscal year 2018-19 resulting in accounting staff being unable to determine accurate fund balances, budget staff being unable to monitor and project expenditures for the department, and the department has been unable to submit estimated prior year expenditures posted in the 2020-21 Governor's Budget.

One or more components of this section were addressed in a prior Implementation Plan and, therefore, the related information does not carry forward.

Control: Fill Vacant Positions

CalHR Administrative Service Division will recruit and fill the vacancies within the accounting unit. Filling existing vacancies will ensure CalHR Administrative Services Division can control and complete all workloads efficiently and timely, as well as maintaining continuity of knowledge within the division.

Update With Progress—December 31, 2022

CalHR Accounting is actively recruiting to fill current vacancies, including those new positions received from 2022-2023 approved BCPs. These positions will provide ongoing support for current and expected increases in workloads going forward.

Contact Person(s): Robyn Malin

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

CalHR Accounting will continue to work toward filling new positions, and once filled, start new staff training to prepare for expected new increased workloads. Unfortunately, it has been difficult to recruit and find qualified candidates.

Next Milestone: June 30, 2023

Update With Progress—June 30, 2022

CalHR Accounting has filled all current vacancies. CalHR Accounting Office will recruit and fill the three new positions received during the BCP process for the 2022-2023 year. These positions will provide ongoing support for current and expected increases in workloads going forward.

Contact Person(s): Robyn Malin

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

CalHR Accounting will work toward filling new position, and once filled, start new staff training to prepare for expected new increased workloads.

Next Milestone: December 31, 2022

Control: Ongoing Collaboration with Department of Finance and FI\$Cal Staff

CalHR has constant communications with Finance and FI\$Cal staff, and is making some progress. CalHR staff will continue to work with FI\$Cal and FSCU staff to reconcile and close the remaining eleven months of the current year for CalHR and the remaining seven months for SPB and close year end by September 30, 2021.

Update With Progress—December 31, 2022

The CalHR Accounting Office successfully closed the 2021-2022 fiscal year on August 10, 2022, for the California Citizens Compensation Commission (CCCC), and August 30, 2022, for the State Personnel Board (SPB). Currently, the Accounting Office is waiting for the closure of the final Budget Legal Ledger (BLL) report for CalHR. Once completed, CalHR will be closed for the 2021-2022 fiscal year. Additionally, the CalHR Accounting Office has successfully closed CCCC and SPB through October 2022, and CalHR will be completed through September 2022 by December 31, 2022. The Accounting Office is on track to close out current year (2022-2023) by August 31, 2023.

Risk: Leave Balances Over the 640 Hour Cap

Employees with significant leave balances over the allowed maximum 640 hours present a significant financial risk to the department should the employees separate from State service. If the department had to pay out lump sum payments to multiple employees, this would create a significant financial impact to the department's operating budget.

Control: Ensuring the Development and Enforcement of Leave Plans

CalHR having reinstated the leave plan reduction policy with the ending of the 2020 PLP policy, CalHR will be ensuring the stricter enforcement of leave plans to systematically reduce high leave balances (over the 640 hour cap). Although workloads for departmental staff remain high, systematic reduction of over-cap balances is critical to reducing financial risk to the department. Starting in October 2021, all departmental employees over the cap will be resuming the practice of producing and submitting leave plans, with leave plans due by December 1, 2021, and to diligently work toward to goal of overall reduction over cap leave balances. Managers will be accountable for demonstrating reductions in overall balances. Also, the department continues to experience some attrition through retirement of employees who also have high leave balances. As these employees run their leave time out prior to retirement, overall leave balance liability will be reduced.

Update With Progress—December 31, 2022

In July 2022, CalHR participated in a Leave Buy-Back program which allowed employees to receive cash payment in exchange for applicable leave credits. A total of 84 employees participated and cashed out 6,688.25 hours, which assisted reducing CalHR's leave balance overages.

Contact Person(s): Stephanie Hees

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

The Human Resources Office (HRO) plans to send an email to all of their staff by the end of December 2022 requiring all staff who are currently over or projected to go over the 640-hour cap of annual leave/vacation hours to submit a 'Leave Plan' to HRO by January 31, 2023. To ensure even a greater response rate, HRO has also implemented a new process where all CalHR divisions have designated HR liaison/coordinator to gather all respective HRO requested documents within the set timeframes. This will enable the coordinators to work closely with their division's management team to track all leave reduction plans in a timely manner, allowing HRO to focus on ensuring the submitted plans are being implemented.

Next Milestone: June 30, 2023

Update With Progress—June 30, 2022

The Human Resources Office (HRO) emailed all employees and notified them that since PLP2020 had ended 6/30/2021, the suspension of leave-reduction plans was no longer in effect. All employees who exceeded or were projected to exceed the 640-hour cap were required to complete and return a leave plan to the Human Resources Office (HRO) by 12/1/2021 for the 2022 calendar year. From the HRO leave reduction plan request, 76 plans were requested and 60 were submitted to HRO. HRO continues to remind managers and supervisors on the need to continue to prompt staff with leave plans to continue to reduce leave hour overages, as workloads allow.

Contact Person(s): Stephanie Hees

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

The following steps will continue as part of HRO's strategy to continue to work toward full compliance of affected staff.

- HRO will continue monitoring plans and reminding managers, supervisor, and staff regarding the need to reduce excess leave hours.
- CalHR will be participating in leave buy back, allowing employees to cash out up to 80 hours. HRO at this time anticipates a further reduction in overall risk with leave balance overages.

Next Milestone: December 31, 2022