

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

2025-05-01

2. Department

California Department of Corrections and Rehabilitation

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

Division of Administrative Services / Human Resources

4. CEA Position Title

Associate Director, Strategic Policy and Compliance

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

The California Department of Corrections and Rehabilitation (CDCR) proposes to allocate the above CEA position, with the Division of Administrative Services/ Human Resources. The Associate Director (AD) over Strategic Policy and Compliance provides leadership and direction over the areas of Statewide Classification and Hiring, Workforce Development, and the Compliance and Audit Support unit. In addition to overseeing the Strategic Policy and Compliance activities for CDCR, the AD is responsible for statewide HR compliance oversight, reporting and mitigation, and HR responses to external audits by such entities as the California State Auditor, and the State Personnel Board, as well as centralized oversight of HR policy and procedures to ensure HR policies are compliant with California/Federal laws, control agency and departmental regulations and policy, and Memorandums of Understanding (MOU).

6. Reports to: (Class Title/Level)

Assistant Deputy Director, Human Resources (CEA Level 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 Associate Director, Strategic Policy and Compliance assists in the day-to-day administration and management of CDCR's HR functions and serves as a subject matter expert on a variety of HR services, to include training, change management, statewide audits, statewide policy, statewide telework benefits, strategic planning and special projects.

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.

Under the general direction of the Assistant Deputy Director, Human Resources (HR), the Associate Director, (AD) is responsible for planning, organizing, and directing the activities of the California Department of Corrections and Rehabilitation's (CDCR) Strategic Policy and Compliance. In addition to overseeing the Strategic Policy and Compliance activities for CDCR, the AD is responsible for statewide HR compliance oversight, reporting and mitigation, and HR responses to external audits by such entities as the California State Auditor, and the State Personnel Board, as well as centralized oversight of HR policy and procedures to ensure HR policies are compliant with California/Federal laws, control agency and departmental regulations and policy, and Memorandums of Understanding (MOU). The AD has extensive involvement in the formulation and implementation of policy, procedures and programs related to personnel management and works closely with other HR executive management team members in the development, review, revision, and ongoing maintenance of departmental HR policies and procedures to ensure statewide consistency between CDCR HR programs. In addition, the AD provides functional supervision and direction to personnel staff in the Department's adult institutions as well as operations and plays a key role in helping to build and maintain a dynamic and diverse employee culture where employees are engaged and find long term success.

Independently oversees and directs a multidisciplinary unit responsible for complex special projects, departmental policy, training and compliance and audit support activities; provides consultative services to departmental management on these areas; interacts and negotiates on behalf of the Department with control agencies such as the California Department of Human Resources, State Personnel Board and Office of the State Controller. Has extensive involvement in the formulation and implementation of statewide policy, procedures and programs related to organizational effectiveness, workforce development, compliance and operational efficiency. Plays a pivotal role ensuring that CDCR's Strategic Policy and Compliance Unit is in full compliance with California state laws and adheres to Human Resources policies and procedures. Performs high level administrative and policy functions, provides leadership and guidance to professional staff to carry out complex, specialized, and critical functions. Provides project management oversight, design, implementation, and evaluation of policies and programs. Guides and supports institutional personnel offices on a statewide basis, requiring strong and thorough knowledge of appropriate laws, rules, regulations, and contract language pertaining to special projects, policies, training, compliance and audit support. Reviews pending legislation and provides input on the impact to HR programs and services. Responds to internal and external audits, acts as designated primary contact for all related issues; testifies at depositions, trials and administrative hearings involving the department.

Develops, recommends and implements policies and procedures and/or regulations on personnel management related issues; recommends policy and procedural changes and identifies needed training for HR staff based on external audit findings. Directs and provides strategic oversight of position allocation, hiring practices, merit-related issues, employee grievances, organizational design, and other classification and pay initiatives. Responsible for centralized oversight of HR policy and procedures to ensure HR policies are compliant with state of California and Federal laws, control agency and departmental regulations and policy, and MOUs; monitors the implementation of departmental policies and procedures to determine impact on HR operations; works closely with other HR administrators to ensure policy and procedural standardization on personnel management practices at headquarters, institutions and field offices.

Liaison to departmental leadership, offering consultative guidance on workforce and organizational matters. Represents the department in high-level discussions and negotiations with control agencies, ensuring alignment with regulatory standard and organizational priorities. Works collaboratively with Labor Relations on strategizing collective bargaining issues and developing management strategies for personnel management-related collective bargaining issues; ensures employee bargaining contract provisions related to personnel management are implemented in compliance with MOUs.

Plan, organize, direct, and evaluate the work and performance of staff. This includes, but is not limited to, the following: Comply with state and federal laws, rules, regulations, bargaining unit contracts, and policies in all personnel practices, including, but not limited to hiring, employee development, and management. Recruit, hire, train, develop, and provide leadership to a diverse staff. Monitor, evaluate, and create written performance appraisals of staff. Counsel staff and initiate disciplinary actions, as necessary. Identify appropriate long-range plans and goals to address succession planning and knowledge transfer.

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: The mission of the California Department of Corrections & Rehabilitation (CDCR) is to facilitate the successful reintegration of the individuals in our care back to their communities equipped with the tools to be drug-free, healthy, and employable members of society by providing education, treatment, rehabilitative, and restorative justice programs, all in a safe and humane environment. Without accurately compensated and trained staff, the mission of the Department cannot be fulfilled.

The mission of CDCR's Human Resources is to provide a positive employee experience through the delivery of excellent customer service. Our goal is to have a trusted human resources management program that is service-oriented and policy compliant to: recruit and retain top talent, ensure proper compensation, provide meaningful wellness programs, empower professional development, and create innovative solutions to deliver a diversified high performing workforce. We cannot rise to that challenge without dedicated focus or expertise.

This program is critical to the management and development of effective administrative policies, payroll, and benefits that comply with federal and state mandates. This position is devoted to the operational activities that streamline, automate, and innovate HR business practices for the Department. The policies set by this position have a direct impact on the successful recruitment and retention of a diverse and qualified workforce. We cannot retain employees if they are not accurately and timely compensated, trained and developed in their careers, or if we do not equip our employees with the tools, programs, and technologies needed to be efficient, effective, and successful in their role. Without retaining our most valuable asset, our employees, the Department will not be able to achieve its mission.

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.

The CDCR's Human Resources (HR) program is one of the largest, most complex and diverse in state service. The program serves approximately 58,000 employees in 88 locations statewide, with functional responsibility of the on-site HR programs at each of the 31 adult facilities and liaison responsibility for all CDCR headquarters programs, including parole regions. Additionally, the Department serves employees in 18 of the 21 bargaining units. The most complex being BU06, which represents CDCR rank and file peace officer classifications. BU06 has a variety of complex bargaining issues which impact HR policy and operations. The size of the Department, the geographic span, numerous collective bargaining issues, and other issues such as lawsuits, court mandates, control agency requirements impacting HR operations; all significantly add to the complexity of the HR function. The HR restructuring will help to ensure the Department's HR programs provide optimum focus on critical areas, are working in unity to support sustainable workforce practices for the Department and provide a more balanced distribution of our complex HR operational programs.

As outlined in the Governor's Budget for CDCR, a strategic organizational change is needed to improve operational efficiency and align with current and projected needs. The adult population has steadily declined in recent years, which has allowed CDCR to close institutions and deactivate housing units across the state. Currently there is no immediate plans to close another institution. With no institutional closures on the horizon, this impacts the Staffing Solutions and Retention Office (SSRO) workload. This unit is being dismantled due to the absence of future institutional closures, which previously drove much of its workload. With the dissolution of SSRO, this allows Human Resources (HR) to look at the overall structure of the program to better align the functional areas and provide a more equitable structure for each of the HR AD's.

In alignment with this transition, the workload will now be distributed among the three HR AD's. The restructuring of the duties will be distributed into three proposed positions:

- 1) Associate Director, Personnel Operations & Support
- 2) Associate Director, Strategic Policy and Compliance
- 3) Associate Director, Talent Management (formerly SSRO)

The proposed revision request for the AD, Strategic Policy and Compliance will be responsible for Workforce Development, Compliance & Audit Support, and Statewide Classification and Hiring which includes Strategic Planning & Special Projects, Administration, Training & Change Management, Statewide Policy, Statewide Telework, and Audits.

The proposed revision request for the AD, Personnel Operations & Support will be responsible for administering the Department's Personnel Transactions program which includes General and Specialized Transactions, Benefits, and the Statewide Support Unit. The Workforce Development unit will now be placed under the direction of the AD, Strategic Policy and Compliance Unit.

The proposed revision request for the AD, Talent Management will be responsible for Headquarters Classification and Hiring including Hiring & Preemployment, as well as Examination Services, and Recruitment and Career services statewide.

This reallocation of duties is intended to ensure continuity of service while streamlining the organizational structure. These changes justify the current request by demonstrating a thoughtful reorganization of resources to maintain critical human resources functions without the need for additional staffing or new allocations at this time. The redistribution also reflects a more efficient use of existing positions to support ongoing departmental operations and priorities.

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 AD, Strategic Policy and Compliance has extensive involvement in the formulation and implementation of policy, procedures and programs related to hiring and works closely with other HR executive management team members in the development, review, revision, and ongoing maintenance of departmental HR policies and procedures to ensure statewide consistency between CDCR HR programs and adult institutions. The AD is responsible for the Department's strategic policy and compliance services encompassing training, change management, statewide audits, statewide policy, statewide telework benefits, strategic planning and special projects. The AD will be the principle policy maker for the Department over the following areas:

1. Statewide Classification and Hiring:

The AD serves as the key policy maker and primary advisor on the administration and implementation of the State's classification and pay program, ensuring compliance with personnel laws, rules, policies, and procedures. The AD oversees the position allocation, employee classification and compensation activities of the Department promoting organizational equity by maintaining uniform application of job standards and compensation practices across headquarters and adult institutions. The AD provides consultative services to manage HR Budget, contracts, procurement and software subscriptions ensuring cost-effective and compliant procurement processes are followed. In addition to having policy setting authority over these functions for headquarters, the AD also provides functional supervision and direction to personnel staff in the Department's adult institutions.

2. Workforce Development:

The AD oversees the Department's statewide HR-related process improvements and information delivery strategies to effectively advance organizational efficiency in the following strategic areas: Training and Change Management and Policy and Communications. The AD provides strategic leadership in policy creation, guidance, and oversight regarding statewide HR-related programs, including training for HR staff to minimize the risk of payroll errors, grievances, lawsuits, or penalties related to employment practices. Develops, recommends, and implements policies, communications, and HR training to ensure operational effectiveness, consistency, and standardization of workforce development and system applications, related to programs including payroll, benefit services and statewide personnel services, in accordance with the Department's mission, strategic plan, control agencies, court-ordered mandates, and MOU.

3. Compliance and Audit Support:

The AD oversees Compliance, the Statewide Conflict-of-Interest Program, and the Statewide Telework Program. This includes ensuring uniform and compliant HR policies and procedures that align with laws and regulations and correct deficiencies as a result of grievances and internal and external audit findings. In addition, the AD oversees management of HR-related legislation and regulations, including related implementation; and development of statewide HR policies, manuals, guides, and communications. The AD also serves as the departmental liaison with a variety of control agencies. The AD's role ensures compliance in avoiding operational disruptions, such as loss of delegation, or non-compliance penalties when laws change, as well as prevents potential costly litigation related to improper personnel practices, and deters waste, fraud, and abuse.

C. ROLE IN POLICY INFLUENCE (continued)

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

The Associate Director, Strategic Policy and Compliance has full decision-making authority related to training, change management, statewide audits, statewide policy, statewide telework benefits, strategic planning and special projects and works closely with other HR executive management teams in the ongoing development of, and/or revision to critical HR policy. The AD will direct the most critical/complex reviews, as the incumbent will lead the Department's efforts in developing and implementing a robust policy and compliance program, ensuring obedience with state and federal HR laws and processes or practices to assist in meeting departmental HR needs. The AD will have a collaborative and consultative role as an advisor to the Associate Deputy Director, HR and the Deputy Director, HR as well as executive management, rendering advice and recommendations to develop action plans for aligning HR's goals with resources and civil service regulations, and address organizational, operational, staffing, and other HR-related needs.

The AD has significant responsibility to create and implement administrative policies and procedures that affects all HR staff. As laws, rules, and regulations that affect the administrative programs change, the AD must remain flexible and revise, develop, and implement new and existing policies on an ongoing basis.

The AD plans, organizes, and directs the position allocation, employee classification and compensation activities of the department. The AD provides consultative services to departmental management on the policy and compliance program, as well as interacts and negotiates on behalf of the Department with control agencies such as the California Department of Human Resources, State Personnel Board and Office of the State Controller.

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

The AD, Strategic Policy and Compliance continues to develop, recommend, and implement new policy as well as interpret, modify and execute existing policy. New policy will be developed as required to meet the operational need of CDCR, in response to state and federal law/regulation changes impacting HR; legislative or court mandates, audit findings and resultant corrective action plans, and/or collective bargaining agreements. Existing policy will be reviewed and updated as required, commensurate with program changes within CDCR, and external changes impacting California State government HR activities. Examples of new administrative policies including planning and developing the workforce and succession implementation policy, and new policies for administrative compliance.