



The average number of registrations per month between October 2007 and October 2008 was 25,000. During the month of October, the UI registrations hit a high for the year, 31,704.

The average number of UI dispositions during the last year was 23,721. Dispositions in October of 2008 were 27,396.

Open UI cases reached an all time high of 52,375 in October. There was a reduction in the open DI cases from 2,810 in September to 2,525 in October, and also a reduction in tax cases from 7,089 in September to 6,943 in October.

Despite the reduction of open cases in DI and tax, total open cases at the end of October reached an all time high of 61,843.

Time lapse in October 2008 was 3% of cases being handled in 30 days, 10% in 45 days, and 92% in 90 days.

Acting Chief ALJ Tyler reported that it is important to note that the workload reduction plan shows our maximum capacity at present to be approximately 24,000 UI cases per month, while we were actually able to process 27,396 dispositions in October, 3,000 higher than what is considered our maximum capacity. This was due primarily to mass calendars being scheduled throughout the State. This was helped by the promotion in October 2008 of 10 ALJs to the II level, thereby increasing the number of judges available for mass calendars. Eleven more ALJs are scheduled to be promoted to the II level in January, 2008, which will further increase the number of judges available for mass calendars. During the mass calendars judges are set for 40 to 45 cases a week, nearly 50% more than the 30 normally heard by ALJIs. Additionally 5 Retired Annuitants have accepted increased workloads and were promoted to ALJIs in November of 2008.

Two permanent full time administrative law judges were hired in September and trained in October. Eight limited term ALJ's were hired in November, and their training starts today. Four limited term judges have been designated to be hired within the next few weeks, and four (4) more near the end of December. It has been difficult to hire the initial phase of ALJIs as quickly as we had hoped under the Workload Reduction Plan, since they are closing practices or arranging for the job change and unavailable on such short notice.

As a result we are taking measures to accelerate the hiring of the new ALJs under the Workload Reduction Plan. We are attempting to send out Job Opportunity Bulletins for the first quarter of 2009 approximately one month earlier than was planned. This will allow each office to conduct a thorough investigation and interview with potential candidates prior to the target date for the new hires.

The training of the new ALJs has been adjusted to allow for a higher number of candidates in each class. This will not sacrifice the quality of training, but it may

place additional burdens on the Presiding Judges in the mentoring and on-the-job training process.

Acting Chief ALJ Tyler reported that a Presiding Judges meeting was conducted in Sacramento last month, and it was very productive.

The San Jose Office will be moving in early 2009, as will the Oxnard Office in late 2009. The Los Angeles Office, located in the Ronald Reagan State Building, is currently undergoing major remodeling.

b. Acting Deputy Chief Administrative Law Judge, Appellate Operations (AO), Jorge Carrillo reported that for the month of November 2008, Appellate Operations (AO) registered 1,403 cases, 6 percent below AO's calendar year average of 1,491. Dispositions were 1,352 cases, 4 percent below the calendar year average of 1,413. Due to 3 holidays, there were only 17 work days in the month of November, as compared to 22 work days in October. Given those circumstances, AO's registrations and dispositions were at very good levels.

Because registrations exceeded dispositions, AO's open balance of cases increased to 2,452 cases, 19 percent above the calendar year average of 2,059 cases.

AO's time lapse figures improved. In October, less than 5 percent of the closed cases were within 45 days of the appeal date. In November, that number improved to 20 percent. Now that AO is moving cases with time lapse dates in mind and the Board has time lapse dates as part of its e-file system, this number should improve in the coming months. AO met the Department of Labor's other time lapse standards by closing over 90 percent of cases within 75 days and over 99 percent within 150 days.

AO's case aging standard increased to 39 days, 8 percent above the calendar year average of 36 days. This number is below the Department of Labor's guideline of 40 days or less. However, the focus on time lapse dates means that AO is moving both new and older cases at the same time and as such, some of the older cases will take a few days longer to process.

Acting Chair Aguiar stated that Jorge is working with the ALJs to change some of their scheduling, so that there are an equal number of judges from Monday through Friday in order to get the workload out.

Acting Chief ALJ Carrillo reported that at his request, IT has successfully completed a report that measures the time it takes an appeal to be processed throughout AO and the Board. This report will give an idea of how long it takes AO and the Board to perform certain processing tasks and where AO can look to eliminate delays.

Member Figueroa asked if there were any areas where they as a Board could assist in reducing the time to get the cases through the process.

Acting Chair Aguiar stated the Board could help to shave the amount of time a case is before a panel for decision, and hopefully enable AO to meet the 45-day standard.

Acting Chief ALJ Carrillo explained that when someone files an appeal, it is verified to make sure it is valid and then a letter is sent to the parties advising them of their rights. They are given 12 days to request the record or if there is some additional evidence they want to offer, they have that right. The parties are given 12 days, and then the Agency has to wait for the mail to come in. This eats up 18 days of the 45 days automatically.

Acting Chair Aguiar commented that was significant that 18 of the 45 days is potential down time waiting for the party to respond. Acting Chair Aguiar is hoping that once the processes is refined and we get it down to understandable level for the average person to look at, that during this workgroup with DOL it may become more clear to DOL that the 45 days, based on the 18-day requirements and other things, may not be realistic.

Member Montañez commented that the additional dates on the time lapse date help. She stated she was confused because she would see the statutory date and that is so much further ahead, but that there is an earlier date. She stated that so even if they are meeting the statutory date, they are not meeting the 45 day. Acting CALJ Carrillo responded that the statutory date is California requirement and that the earlier dates are Federal requirements.

c. Deputy Director Pam Boston reported that over the last few months there has been discussion about whether they wanted to administer a new ALJ exam. The existing exam is about 2 years old. Recently she had the pleasure to sit on an interview panel with Ron Dietrich, director and CALJ of the Office of Administrative Hearings. They had discussions about the exam that they created which is an on-line exam, relying upon education and experience. The individual goes online, takes this test and can be ranked in about 30 minutes. There was a conference call with the PALJs and Ron Dietrich, where he explained the whole process they went through in developing the exam, the thought behind the exam, and a lot of background information for the PALJs. She stated that the PALJs were rather receptive to using this new exam instead continuing to use our own lengthy (six month) process.

Acting Chair Aguiar commented that that call lasted a little more than an hour and that the PALJs, in a very diplomatic way, drilled Ron Dietrich on all the issues. When it was all done there were many comments from the PALJs about wanting to do it and do it now.

Deputy Director Boston stated that in order for the CUIAB to use this exam the

current list will need to be abolished. They have targeted the beginning of the year to start using the OAH exam, coinciding with the beginning of the next quarter of hiring under the Workload Reduction Plan. That will allow Personnel time to close out some of the current recruitments that are now going on and hopefully make job offers during the month of December. Deputy Director Boston stated that in addition Personnel will be notifying everybody that is on CUIAB's list that the Agency will start using OAH's list so they can go online and take that exam.

Acting Chair Aguiar commented that one of the points of discussion that was important to him was to continue to have a written element in the hiring process, which will now take place during the interview portion. There needs to be something that an applicant taking the test has got to do to show the applicant understands what this agency does and demonstrates the applicant has the skills necessary to accomplish the work requirements.

Acting Executive Director Flagg commented that this is a continuous online exam available at any time. So on any given day there can be several hundred applicants who get automatically ranked.

Acting Chair Aguiar stated he thinks this is a real step forward in terms of saving four to five months in time.

Deputy Director Boston reported on support staff hires. During October CUIAB hired 12 support staff and one student assistant, and currently there are 21 support staff positions that are at various stages in the recruitment process.

#### **8. Chief Counsel's Report:**

Chief Counsel Ralph Hilton reported from the Workload Report that each board member received an average of 27 cases per day in October and 29 per day in November.

Chief Counsel Hilton also reported that in litigation we are carrying 177 cases. Seven new cases were filed last month, and one case was closed, and the Board's decision was affirmed in that case.

#### **9. Unfinished & New Business:**

Acting Executive Director Flagg reported on the Bureau of State Audit Report. She stated that the BSA report was released to the public on November 20, with a copy mailed to each board member. Recapping how this all came about, the Board agreed to ask for the audit at the end of last year, and in December 2007/January 2008 CUIAB approached the Joint Legislative Audit Committee and asked them to conduct an audit for us. The BSA began their audit in March of 2008 and here we are several months later with their findings in a report.

Acting Executive Director Flagg reported that there were several recommendations that the BSA made, with which CUIAB has agreed to comply. Primarily the BSA found some issues with the Agency's travel and paid parking. BSA thought that the CUIAB lacked certain procedures and standards and asked that we put some procedures in place and adopt better practices. They also took issue with our EEO hiring, interview policies and practices and recommended that we put together procedures manual, conduct more training and education, and take special care with regard to documentation. We have already started taking significant steps toward meeting BSA's recommendations. One of the benefits of going through the audit process with them was they were often holding mini-meetings with us with regard to each of the respective branches or units. So CUIAB knew long before the report came out where the issue areas were and so staff had already started to address those. We will be working to meet their requests for the 30 day, 6 month and one year status reports.

Acting Executive Director Flagg also reported that BSA also found CUIAB's Nepotism Policy #6 and Hiring of Board Members Policy #24 were probably overreaching and suggested that we adopt them as regulations through the Office of Administrative Law. We agreed with them but prior to starting the regulation process it is probably wise for us to check with DPA to make sure we are doing everything properly from a State perspective. Then we will take whatever measures we need to take to address those issues.

Acting Executive Director Flagg reported that BSA also took issue with the discrepancies in IT equipment accounting. We agreed with them that we will work with Business Services to put procedures in place to do a better job of record keeping.

Lastly, Acting Executive Director Flagg reported that BSA took issue with several of the previous Executive Director/Chief ALJ's travel expenses and found that they were not necessarily always in the best interests of the State. BSA strongly recommended that CUIAB look through all of his travel expenses starting from November 2000 through the time he was in that capacity in October of 2008, and that the Board seeks reimbursement if any irregularities or overspending is found.

Acting Chair Aguiar stated that we told BSA that we would definitely pursue that issue to some degree. He stated that we did not commit to the whole thing. He stated that his recommendation is that the Board directs the staff to do the analysis, go back and find out what happened, what we are talking about in terms of scope. We can work with the Agency people to see if we can get some resources to do this because he does not know which in-house they could pick to do this, and at that point come back in January or February with a report and the Board can make a decision whether to pursue repayment or not. He stated he just does not know the scope of it and BSA does not know the scope of it either.

Member Figueroa asked that in addition to documents, who approved the travel.

Acting Executive Director Flagg replied that different staff members have different supervisors or managers who approve their travel. She stated that various people on our staff approved Jay Arcellana's travel.

Member Figueroa stated that the Board also needs to know what is available, what types of agreements were there. When he was hired were there certain agreements regarding his travel.

Acting Chair Aguiar stated that is the point. We do not know how long it would take or to what extent we will have to allocate resources. We don't even know if the documents exist back to 2000. He stated that he does not think the Board should rush to judgment to seek reimbursement or not until they have all the facts.

Member Figueroa questioned whether it would cost more to get the information than the reimbursement.

Acting Chair Aguiar commented that if there was some wrongdoing the Board should pursue it regardless of the cost. He reiterated that that would be his recommendation and if there is no objection the direction to the staff would be to do the analysis, get the information, start the process and if in January it is not ready they will report back to the Board how it is going.

Acting Chair Aguiar moved on to the next item which was the Strategic Plan. He stated that Member Richardson and Acting Executive Director Flagg made some minor changes to the Plan which included typos, reference to the BSA audit, and reference to the Workforce Development and Succession Plan in reference to the UI Inventory Reduction Plan.

Acting Chair Aguiar stated that they are asking the Board this morning to adopt this plan as presented.

Acting Executive Director Flagg reported on the Strategic Plan 2008-2013. (See Attachment A) She stated that essentially the plan presented was an update to the first 5 year Strategic Plan that was adopted for 2003-2008. Other than what was already in the plan it has been updated to reference those three items; the BSA Audit, the Workforce Development Plan and Succession Planning, and referencing the UI Inventory Reduction Plan.

Acting Chair Aguiar stated that a motion will be entertained to approve as amended and presented today.

Member Montañez made the motion.

Member Richardson seconded.

Acting Chair Aguiar called for any objections. Hearing none and so ordered unanimously.

Acting CALJ FO Stephen Tyler reported on the Workload Reduction Plan. He reported that the support staff hiring was scheduled for November and that they are in various stages of that. With regard to the ALJs, there were 2 permanent judges hired in September. There have been 8 hired since September. Those 8 are Limited-Term ALJs and they are commencing their training today. There are 8 applicants that they are attempting to hire during the month of December. They are the 4 that were scheduled for November and 4 for December. They have either been designated or their offices are holding interview this week in order to finalize the selection of those judges. Also, ten ALJIs have been promoted to ALJII in October. And 11 are scheduled to be promoted at the end of December or the beginning of January.

Acting Chair Aguiar clarified that this year during the budget there were 10 ALJIs to go to IIs in the second half of this year and then 10 to go in January. He stated that he spoke with Acting CALJ Tyler that morning and they reviewed the list, determined they are qualified and they would like to have the Board's permission to add one more to that list to make it 11 in January instead of 10. If the Board so approves the PALJs would be notified today so they can start calendaring the increased workload for the new ALJ IIs in January.

Acting Chair Aguiar commented that they went right down the list; they did not skip over anybody other than those individuals who were deemed not ready at this time.

Acting Chair Aguiar stated that he would like the Board to direct Acting CALJ Tyler to increase it from 10 to 11 effective January 1.

Acting Chair Aguiar called for a motion to approve the recommendation.

Motion called, seconded and approved by all Board Members.

Acting CALJ Tyler reported that they had scheduled to have 10 retired annuitants ALJI's promoted to II's and because the ALJ retired annuitant ALJs are not a full equivalent, they have promoted 5 which account for about 2.6 or 2.7 equivalent positions. They actually have 7 open positions there that they will not be able to fill.

Acting Chair Aguiar asked if the resources that were not used for the 7 equivalent retired annuitants ALJs can be used to hire additional ALJI's.

Deputy Director Boston responded they could as long as they could be put under the temporary help blanket. She stated we cannot move temporary help money into the permanent help money.

Acting Chair Aguiar asked if we can take those same resources to hire limited term ALJ 1's.

Deputy Director Boston responded yes.

Acting Chair Aguiar stated that they should do the homework on that and in January come back to the Board with the options.

Acting Deputy CALJ-AO Carrillo added that he is going to be bringing a plan and that there needs to be some funds available for that.

Acting Chair Aguiar responded that we will get AO and FO together and the rest of the staff and come back to the Board with a recommendation to the Board along with the Reduction Plan in January that may take some of those resources.

Acting Chair Aguiar commented that the point of all this is that they are trying just about everything they can think of to make this Reduction Plan work and to get the caseload down.

Acting CALJ-FO Tyler reported that there is a telephone pilot project that was introduced at the PALJs meeting, being headed up by the Tax Unit. The presentation was very good and they have some good ideas on how to streamline the process and hopefully achieve some efficiency.

Acting Chair Aguiar reiterated that the Board is committed to in-person hearings, but there are a number of situations where in-person hearings are just not feasible.

Acting Chair Aguiar clarified that they are not changing the Board's direction or desire but are trying to figure out how to streamline some of the issues to get to some of these cases faster.

**10. Public Comment:**

There was no public comment.

**11. Closed Session:**

No votes were reported.

**Adjournment**



California Unemployment Insurance Appeals Board

# STRATEGIC PLAN 2008-2013

**State of California**

Arnold Schwarzenegger, Governor

**California Labor & Workforce  
Development Agency**

Doug Hoffner, Acting Secretary

**California Unemployment Insurance Appeals  
Board**

Jehan Flagg, Acting Executive Director

California Unemployment Insurance Appeals Board

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ATTACHMENT A

## Director's Message

CUIAB devised its first Strategic Plan five years ago, as required by the State Government Code and a Governor's Executive Order. The intent of the exercise was to capture on paper our vision for where we wanted to be; what type of staff we wanted to cultivate; how we wanted to serve the public; and define for ourselves how we would achieve these.

Happily, I can say that we have interpreted this vision by building the necessary infrastructure to help us achieve our goals – from a business perspective and a human investment perspective.

The Strategic Plan update for the next five years not only reflects on what we originally set out to accomplish – such as expanding the role of technology to enhance our service levels -- but also identifies some successes and new challenges.

The California Unemployment Insurance Appeals Board is committed to serving the public in a quick, fair and effective manner; we are committed to a healthy work environment for our staff; and we are committed to being good State partners.

Sincerely,

Jehan Flagg  
Acting Executive Director

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## History of CUIAB

- ❖ Pursuant to authorization under the Social Security Act of 1935, the State of California enacted the Unemployment Reserves Act in July 1936. The purpose of the new law was to relieve the economic hardship of those unemployed through no fault of their own and to stimulate the general economy by providing funds the unemployed would spend in the local economy.
- ❖ Beginning in August 1936, both employers and employees began to pay into the Unemployment Fund so that benefits could be paid to eligible unemployed claimants beginning on January 1, 1938. One-third of the cost of the program was funded by employees and two-thirds by employers. Today, employers pay the entire cost.
- ❖ In 1943, new legislation created the California Employment Stabilization Commission. This was a five-person commission appointed by the Governor. Three of the five commissioners made up what is now the California Unemployment Insurance Appeals Board to review and decide appeals relating to disputed unemployment and disability benefit determinations, as well as employer tax liability.
- ❖ In 1946, the position of Principal Referee (now Chief Administrative Law Judge), was officially established. Appeals during this early period were heard by referees, and appeals from referees' decisions were decided by the commission.
- ❖ In 1949, the Board became the appointive authority for its staff and was designated as a separate Division within the Employment Development Department (EDD). Since 1949, the Board and its adjudicative staff have exercised an independent review of appeals and petitions from administrative actions of EDD.
- ❖ The result of this reorganization established referee offices in Sacramento, San Francisco, and Los Angeles to cover the entire state. In 1960, decentralization began with the establishment of the Burbank Referee Office.
- ❖ In 1967 the Legislature increased the membership of the UI Appeals Board from three to five members, and in 1982 the membership increased from five to seven.

## CUIAB Today

- ❖ The Governor appoints five members to the California Unemployment Insurance Appeals Board. The Speaker of the Assembly and the Senate President Pro Tem each appoint one member.
- ❖ The Executive Director, the Chief Administrative Law Judge/Chief Executive and the Chief Counsel serve the Board and are supported by four branches: Executive, Appellate Operations, Field Operations, and Administrative Services.
- ❖ At the present time CUIAB operates 12 regional offices which support an additional 19 off-site hearing facilities located throughout the State. This allows CUIAB to better serve the public by providing all parties the opportunity for in-person hearings.
- ❖ CUIAB currently employs over 300 Administrative Law Judges (ALJS) with qualifications which include a law degree with five years of prior practice. In addition, CUIAB has access to approximately 40 active Retired Annuitant ALJS on an as-needed basis.
- ❖ CUIAB uses two levels of review:  
Field Operations: This level is composed of 12 regional offices where Administrative Law Judges hear testimony, receive evidence and render decisions based on the information provided at the hearing. In 2008, the field operations rendered decisions in over 237,000 cases.
- ❖ The Appeals Board: This level reviews the decisions rendered by the Field Administrative Law Judges. The Board may affirm, reverse, modify, set aside or remand a field decision. In 2008, the second review level has rendered in over 12,000 cases. All decisions of the Appeals Board are final unless a Writ of Mandate is filed in Superior Court.
- ❖ The Board, acting as a whole, may designate its decisions as precedent decisions, which constitute the foundations of the various benefit programs that fall within the Board's jurisdiction. Precedent decisions are published and made available to the public. They are binding on the field Administrative Law Judges and the Employment Development Department (EDD).
- ❖ CUIAB remained part of the Health and Human Resources Agency until 2002. As part of the Governor's Reorganization Plan, CUIAB is now part of the newly created Labor and Workforce Development Agency.

## Executive Branch

- ❖ The seven-member Board is the governing body of the CUIAB, although often, the Board has fewer than seven members. By statute two of the Board members must be attorneys. In addition to the daily duties of reviewing and deciding appeals of field decisions, the Board sets policy, approves the major activities of the Agency and approves/adopts the budget. The Executive Director is appointed by the Governor and reports to the Chair, while the Chief Counsel reports directly to the Board.
- ❖ The Executive Director position is also the point of contact for government affairs and legislative matters.
- ❖ The Executive Director directly oversees the Information Technology division, Information Security Office, Appellate Operations Branch and Administration Branch.

## Information Security

- ❖ Information Security Office areas of responsibility include: Information Security Oversight of agency compliance with policies and procedures on the security of information assets; oversight for ensuring the integrity and security of automated files and databases; oversight of the development of the agency Operational Recovery Plan, to include annual certification; tracking and submission of Security Incident Reports; approval of all proposals to use Workgroup Computing Configurations and certify such proposals are in compliance; and responsibility for the Information Security Awareness Training Program.

## Information Technology

- ❖ The Information Technology (IT) Division provides technical expertise and support to ensure mission-critical processes are available to CUIAB and its staff. The IT Division is divided into three major units: Network Operations, consisting of the Server and WAN/LAN units; Software Development, consisting of CATS, E-File and the Web development units; and Technical Support, consisting of the Help Desk and the Telecommunications units.

## Appellate Operations Branch

- ❖ Appellate Operations processes appeals from decisions issued by administrative law judges in Field Operations on unemployment, disability and tax cases. At least two Board members review and issue a decision for each appeal. The appellate review is based on the board appeal, any written argument submitted and the record of the prior administrative hearing without the need for an additional hearing. A transcript may be prepared for review on an as needed basis. When appropriate, the Appeals Board may allow the taking of new or additional evidence or remand the case to Field Operations for an additional hearing. Appellate review provides claimants and employers with a fair, efficient and cost effective review process.
- ❖ The Appeals Board also issues precedent decisions to provide consistency in decisions by administrative law judge decisions in Field Operations and in determinations, rulings and tax assessments issued by the California Employment Development Department. Additionally, Appellate Operations prepares transcripts for any appeals taken by parties in a writ mandate. The Deputy Chief Administrative Law Judge for Appellate Operations reports to the Chair and the Executive Director through delegated authority.

## Administrative Services Branch

- ❖ **The Administrative Services Branch** is composed of the Budget/Fiscal unit; Personnel Services; and Business Services.
- ❖ **The Personnel Services Division** provides responsive and professional support to CUIAB employees by delivering essential and comprehensive services in the areas of payroll, benefits, career advancement, labor/management relations, and health, safety and wellness.
- ❖ **The Business Services Division** areas of responsibilities include agency-wide facilities management, lease management, procurement; buy recycled and waste diversion, contracts, asset management, emergency preparedness, and Americans with Disabilities Act compliance.
- ❖ **Fiscal/Budget** areas of responsibility include CUIAB budget; budget reports of various kinds; staff and Personnel Years reports; salaries & wages reports and position action packages.
- ❖ **Strategic Planning** areas of responsibility include the agency's Strategic Plan and all it encompasses; Upward Mobility Plan; and Supervisory Transition Training.
- ❖ **Training Programs** areas of responsibility include Support Staff Program Training; Software Training; In-Service & Out-Service Training; Support Staff Conferences; Bilingual Services and Interpreter Services Program; Statewide Language Program; Bilingual Fluency Exams; Interpreter Expenditure Reports; ALJ Bios; and the agency's News & Views publication.

## Field Operations Branch

- ❖ The Chief Administrative Law Judge manages and directs the twelve regional field offices and numerous satellite offices, the entire staff under Field Operations, and its associated budget. In the field offices administrative law judges hear testimony, receive evidence, and render decisions based on evidence provided at the hearing. Each office has a Presiding Administrative Law Judge who is responsible for managing the Administrative Law Judges, legal support supervisors, staff, and the daily operations of his/her field office.
- ❖ The Chief Administrative Law Judge's office also oversees, organizes and coordinates day-to-day operations of the field offices, including administration of the HUB, overtime for centralized services, central processing of Board appeals, and the handling of complaints, among other operational functions. A few ALJs have specialized areas of expertise such as conducting hearings for multiple claimant cases, trade disputes, and tax cases (under the Tax Unit). The Tax Unit registers tax cases, disposes of timeliness issues, tax rulings and special rate group cases. Additional work areas under the Chief ALJ include: Workload Operations whose staff is responsible for Facility Usage Reports; UI/DI and Tax Workload Reports; Department of Labor Reports; CATS assigned functions; Trade Dispute Analytical Support; UI/DI/Tax Program Support Teams.

## Mission Statement

- ❖ The California Unemployment Insurance Appeals Board serves the people of California as an independent adjudicative agency. We conduct impartial hearings and issue prompt decisions to resolve disputed unemployment, disability and tax determinations of the Employment Development Department.

## Vision Statement

- ❖ The California Unemployment Insurance Appeals Board holds inviolate the principles of due process, justice and respect for each person we serve. Through innovative leadership and unity of effort, we will consistently provide timely, fair, and accessible hearings and decisions.

# Values & Principles

- ❖ **Due Process:** A course of legal principles that protects the rights of individuals.
- ❖ **Impartiality/Fairness:** Acting without bias or preconceptions to ensure that parties have received a fair hearing.
- ❖ **Promptness:** Acting efficiently to ensure quickly scheduled hearings, careful review, timely decisions while maintaining the highest level of quality in every case brought before us.
- ❖ **Excellence:** Continuously striving to achieve the highest standards of quality in the performance of our mission.
- ❖ **Accessibility:** Ease of use of our services to meet the diverse needs of the people we serve.
- ❖ **Consistency:** Uniform application of legal principles and laws to achieve reliable results.
- ❖ **Independence:** Providing hearings without influence from any parties. Acting without bias or undue influence from any party to a hearing.
- ❖ **Knowledge:** Providing employees with the tools and skills necessary to enhance their abilities and job performance.
- ❖ **Leadership:** Initiate and promote successful and creative ideas in order to achieve our vision while carrying out our mission.
- ❖ **Teamwork:** Staff working together to improve the quality of the organization.
- ❖ **Strong Work Ethic:** A dedicated and loyal workforce that values diligence, initiative, punctuality and courtesy.
- ❖ **Flexibility:** A resilient workforce that adapts well to political and economic changes while working with fluctuations in workload and advances in new technology.
- ❖ **Courtesy:** Remaining sensitive to the needs of the people we serve in a culture that is streamlined and automated.

## Goals at a Glance

### Goal 1

Continue to improve the quality of CUIAB's services

*The focus of this goal is the continuous improvement of the quality and timeliness of our work product and services to the public, while maintaining the highest degree of public confidence in the integrity, efficiency, in-person accessibility, and fairness of CUIAB.*

### Goal 2

Continuously develop and improve the interpersonal and professional skills and expertise of employees

*The focus of this goal is to promote harmony among employees, improve the skills and abilities of CUIAB staff and provide a better service to the public.*

### Goal 3

Provide a secure, healthy, and environmentally responsible workplace for employees and the public

*The focus of this goal is to reduce workplace injuries, prevent illness, protect the environment, and ensure employee and public safety.*

### Goal 4

Ensure protection of information assets and continuity of business operations

*The focus of this goal is to ensure the proper use of confidential information, prevent loss of information assets, and to ensure effective backup and recovery technology.*

### Goal 5

Plan for and manage change in the future

*The focus of this goal is to promote an organizational culture that facilitates teamwork and innovation at CUIAB during times of change.*

## **Goal 1 – Continue to improve the quality of CUIAB’s services.**

### **Objective 1-A – Special Assistance Program**

Develop and implement a program to facilitate access to the public who are disabled and/or require additional language services. Maintain and update as needed.

#### Performance Measure

Annual review of Special Assistance Program to ensure compliance

Identify and correct deficiencies revealed through the biennial Language Survey

### **Objective 1-B – Due Process & Quality Review**

Every party to a proceeding before CUIAB shall be afforded a fair and in-person hearing or review by an impartial decision maker in full accordance with the principles of due process.

#### Performance Measure

External – Annual U.S. Department of Labor Quality Review scores

Internal – Number of written and verbal complaints sent to the Office of the Chief Administrative Law Judge

Internal – Annual training on quality review and due process criteria

### **Objective 1-C – Time Lapse Standards**

Meet USDOL measurement standards

Field Operations: Meet Time Lapse standards as defined by the US Department of Labor. CUIAB will monitor and update workload reduction plans to meet federal criteria and the CUIAB’s own “Workload Inventory Reduction Plan” adopted by the Board on October 14, 2008.

Appellate Operations: Meet Time Lapse standards as defined by US Department of Labor. Meet time limits set by California Statute. CUIAB will monitor and update all workload reduction plans to meet federal criteria and CUIAB workload reduction goals.

#### Performance Measure

Statutory timeliness standards (AO only)

Implementation of CUIAB workload reduction plans and working in collaboration with USDOL and EDD

## **Goals 2 – Continuously develop and improve the interpersonal and professional skills and expertise of employees.**

### **Objective 2-A – Agency wide Training and Recruitment Programs**

Provide and enhance the training programs and recruitment to meet the agency's business needs and recommendations made by CUIAB in response to the California Bureau of State Audits report on November 20, 2008.

#### Performance Measure

Increase the percentage of staff receiving internal training

### **Objective 2-B – Employee Performance Measurements**

Evaluate and enhance employee performance using personnel-related tools to maximize production and efficiencies.

#### Performance Measure

Probationary Reports

Individual Development Plan Completed annually by staff as directed by Personnel Services

Performance/production reports

### **Objective 2-C – Cultural Diversity**

Provide all employees with education and training on cultural diversity.

#### Performance Measure

The percentage of employees who have received the cultural diversity awareness presentation

### **Objective 2-D – Upward Mobility Program**

Provide state service advancement opportunities for qualified employees through the Upward Mobility Program.

#### Performance Measure

The percentage of staff requesting to participate in the program

The percentage of staff successfully completing outsourced training

The amount of monetary reimbursements provided

## **Goal 3 - Provide a secure, healthy, and environmentally responsible workplace for employees and the public.**

### **Objective 3-A – Internal/External Security Needs Assessment**

Conduct security assessments for all offices, outstations, and parking facilities as needed.

#### Performance Measure

Security assessment performed during tenant improvements on existing facilities

Security assessment performed on newly acquired facilities

Security assessment performed following a security related incident

### **Objective 3-B – Health and Wellness**

Provide latest health and wellness information to all employees.

#### Performance Measure

Frequency and quantity of distributed health and wellness publications

Number of participants and campaigns conducted annually

Percentage of change of injury and illness occurrences annually

Distribute Annual Injury and Illness Prevention Program Plan (IIPP) to all employees

### **Objective 3-C – Emergency Plan and Evacuation Procedures**

Update the Emergency Plan and Evacuation Procedures for all offices to ensure the safety of employees and the public.

#### Performance Measure

Number of staff trained on emergency evacuation procedures (frequency – at least once each year)

Tested plans for all facilities

Improved timeframes for facility evacuations

**Goal 3 – (cont.) Provide a secure, healthy, and environmentally responsible workplace for employees and the public.**

**Objective 3-D – Facility Safety Plan**

Update the Facility Safety Plan for facilities, equipment and work areas.

Performance Measure

Safety assessment performed during tenant improvements on existing facilities

Safety assessment performed on newly acquired facilities

Safety assessment performed following a safety related incident

**Objective 3-E – Eco-Friendly Plan**

Develop and implement an Eco-Friendly plan for energy efficiency, conservation, sustainability, green building and green purchasing practices.

Performance Measure

Identify results of reuse, reduce, and recycle efforts

## **Goal 4 – Ensure protection of information assets and continuity of business operations.**

### **Objective 4-A – Business Continuity Plan**

Develop a plan to ensure Business Continuity in the event of a disaster or operational failure.

#### Performance Measure

Operational Recovery Plan is maintained and tested

Continuity of Operations – Continuity of Government (Coop-cog) is developed and tested

### **Objective 4-B – Information Security Training**

Provide latest information Security and Awareness Training to ensure measures are practiced to protect information assets.

#### Performance Measure

Percentage of employees who have been certified as successfully completing the annual training

### **Objective 4-C – Technology Compatibility**

Ensure implementation of the Information Technology (IT) Project Management Policy and Methodology.

#### Performance Measure

Annual review of risk analysis and management practices are implemented

Review of projects to ensure they are still meeting the practices outlined in the policy

## **Goal 4 – (cont.) Ensure protection of information assets and continuity of business operations.**

### **Objective 4-D – Systems Access Standards**

Develop and implement internal and remote network access security standards and practices.

#### Performance Measure

Identify the access requirements for specific job functions based on management recommendations

Annual review of implemented standards and practices

### **Objective 4-E – Vulnerability Assessment**

Conduct computer and network systems vulnerability assessments and implement corrective actions.

#### Performance Measure

Monthly vulnerability assessment reports

### **Objective 4-F – Information Security Policies: Approval Practices**

Establish a defined procedure for the approval and introduction of new and modified information security-related policies. A documented and repeatable framework must be devised to allow for necessary State policies to be integrated into CUIAB's security program.

#### Performance Measure

Monthly status reports outlining the progress made achieving this objective

## **Goal 5 - Plan for and manage change in the future.**

### **Objective 5-A – Cross Branch Budget Advisory Committee**

The Budget Advisory Committee (BAC), with Branch managers representing their respective branches, will administrate the budgetary process to identify staffing and OE&E needs, innovations, and technological advancements consistent with the agency's priorities and goals.

#### Performance Measure

Conduct quarterly BAC meetings

Conduct annual Budget Call Letter workshops

Annual preparation of agency budget for board approval based on cost center call letter requests

Monthly/Quarterly monitoring of expenditures against allocations and adjustments in earnings and resources issued

### **Objective 5-B – Workforce & Succession Planning**

Ensure a strong, competency based workforce through planned recruitment, retention, and training techniques.

#### Performance Measure

Annual percentage of projected attrition verses actual attrition

Mentoring and education of staff to cultivate strong, capable leaders

Transfer of knowledge and information from individuals to written form

### **Objective 5-C – Protect Delegated Authorities**

Preserve our ability to direct our mission in a streamlined and prompt manner by maintaining our delegated authority independent from control agencies.

#### Performance Measure

Increased authority and control with USDOL reporting systems

The percentage of independent responses to directives

### **Objective 5-D – Annual Strategic Plan Review**

Annually evaluate and report to the Board on the status of goals and objectives in the Strategic Plan.

#### Performance Measure

Percentage of objectives met

## CONCLUSION (APPENDIX A)

### Methodology Statement

Our Strategic Plan presented here represents the efforts for the California Unemployment Insurance Appeals Board and specific measurable objectives for the next five-year period. This plan is the by-product of a collective employee effort from all levels in our organization. Our plan reflects a commitment to fair, impartial, and quality services to those we serve, as well as, an ongoing commitment to continuous improvement. This Strategic Plan identifies 5 goals and 21 objectives that support the mission and vision of CUIAB.

### Resource Assumptions

This plan will be implemented through existing CUIAB resources.

## THE STRATEGIC PLANNING PROCESS FOR CUIAB (APPENDIX B)

This Strategic Plan covers the period from 2008 to 2013. It depicts how we look and function as an organization, how we want to achieve our mission and accomplish all of our strategic goals. We feel this is an ideal worth striving for, a goal, but not a guarantee.

This Strategic Plan represents but one element of planning. While the Strategic Planning Team sets the overall direction of the agency through the strategic planning process, every Branch is involved in developing the plan to make that vision a reality and every employee is an agent of change.

In order to respond to emerging strategic issues, each Branch within the California Unemployment Insurance Appeals Board (CUIAB) will meet on an annual basis to review its individual direction within our agency. It will determine if the current Strategic Plan is meeting its vision; whether the current objectives fit into the overall direction of our agency; and what current action plans and tasks can be reasonably accomplished in the upcoming fiscal year.

Each Branch will then report its findings and submit its recommendations to the Strategic Planning Committee for additions or changes to objectives, performance measures, or action plans.

## INTERNAL AND EXTERNAL ANALYSIS (APPENDIX C)

### STRENGTHS

- ❖ Commitment to due process
- ❖ Actively striving for excellence in serving the public
- ❖ Skilled employees loyal to the mission
- ❖ Dedicated, experienced management
- ❖ Accessible management
- ❖ Good working conditions
- ❖ CUIAB commitment to employee training and development
- ❖ Nationwide recognition of CUIAB leadership and expertise in its field
- ❖ Senior staff encourages management to utilize Continuous Improvement principles

### WEAKNESSES

- ❖ Achievement of some goals and objectives dictated by economy
- ❖ Minimal control of funding
- ❖ Limited promotional opportunities
- ❖ State salary structure impedes competition for qualified staff
- ❖ Resistance by some employees to changes in procedures and technology
- ❖ Delays in implementing action plans
- ❖ The degree of control over CUIAB exercised by other agencies and departments

## INTERNAL AND EXTERNAL ANALYSIS (APPENDIX C – cont.)

### OPPORTUNITIES

- ❖ Provide consistently high levels of adjudicative services
- ❖ Personal and professional growth through education, training and access to a variety of work-related skills
- ❖ Participate in CUIAB processes in a culture of Continuous Improvement
- ❖ Effectively use Federal and State governments resources to provide excellent public service
- ❖ Provide more efficient services by increasing technology

### CHALLENGES

- ❖ Accomplishing goals with limited resources
- ❖ Reduction in Federal and/or State revenues
- ❖ Training and developing replacement workforce for large numbers of future retirees
- ❖ Controls on CUIAB budget by other agencies and departments
- ❖ Keeping pace with developing technology
- ❖ Maintaining high employee morale, creativity and innovation during times of change and uncertainty