

Agricultural Labor Relations Board

Corrective Action Plan

December 30, 2016
 7300
 William B. Gould IV, Chairman

Corrective Action Plan Submitted for:	
<input type="checkbox"/> December 31, 2015	<input type="checkbox"/> June 30, 2016
<input checked="" type="checkbox"/> December 31, 2016	<input type="checkbox"/> June 30, 2017

RISK	CONTROL	PERSON IN CHARGE, JOB TITLE	DATE OF ACTION, STATUS
<p>Operations- Internal- Organizational Structure</p> <p>The ALRB is comprised of three programs which include the Office of the Board, the Office of the General Counsel, and Administration The Administrative Unit support the departmental objectives of the Office of the Board and the Office of the General Counsel. The last organizational strategic plan was completed in 2002. Since then, several organizational, legislative, and budget changes have occurred which necessitate an updated strategic plan to align all program efforts to achieve the ALRB mission. Strategic planning assists the ALRB in identifying its goals and key steps needed towards achieving those goals.</p>	<p>Control A</p> <p>The ALRB is developing an updated overall strategic plan with the assistance of subject matter experts, i.e., the Board Members and the General Counsel. By updating the strategic plan, the agency programs can make effective decisions regarding personnel, budget, program changes, and legislation, while ensuring alignment to the overall ALRB mission.</p> <p>Control A Update - December 31, 2015 No additional information to report.</p> <p>Control A Update - June 30, 2016</p> <p>The ALRB has identified the need to conduct a workforce and business analysis to identify any structural risks in terms of policies, resources, training and assignments. The ALRB estimates this analysis will be conducted in the first quarter of the new fiscal year. The ALRB will utilize the analysis to update the agency wide strategic plan.</p> <p>Control A Update - December 31, 2016</p> <p>The ALRB received a CEA, Chief of Administrative Services position which was filled in October. With the new CEA, the ALRB is continuing its analysis and development of the strategic plan.</p>	<p>William B. Gould IV, Chairman</p> <p>William B. Gould IV, Chairman</p> <p>William B. Gould IV, Chairman</p>	<p>December 31, 2015 Not Implemented</p> <p>June 30, 2016 Partially Implemented</p> <p>December 31, 2016 Partially Implemented</p>

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<p>Operations- Internal- Staff—Key Person Dependence, Succession Planning</p> <p>The latest analysis of State employee age demographics reveals that approximately 40% of our State workforce is eligible to retire within the next 5 years, with over 20% of the workforce eligible to retire this year. Workforce planning and succession planning is necessary to prepare for this large loss of highly experienced employees. Workforce planning is the business process that aligns staffing with the strategic missions and critical needs of the agency. It also anticipates and forecasts the agency's future workforce needs to ensure our agency will continue to have a talented competent workforce. Succession planning assists management in tapping into the institutional knowledge that would be lost due to attrition. A well-prepared agency attracts, develops, and retains employees with the competencies needed in the future. The ALRB must make strategic human resource decisions based on what is needed for an effective workforce, and put in place a successful succession plan. The process will involve identifying and developing current employees with the potential to fill key leadership positions, identifying competency gaps, and developing strategies to addressing current and future needs.</p>	<p>Control A The ALRB is developing an updated overall strategic plan which will be followed by workforce planning and succession planning. This will allow for the ALRB to protect the institutional knowledge of its employees while planning for the workload/workforce changes of the future.</p> <p>Control A Update - December 31, 2015 No additional information to report.</p> <p>Control A Update - June 30, 2016 Once the strategic plan is complete, the ALRB will use it to create a succession plan which will assist the ALRB in forecasting and addressing future staffing needs due to employee retirement, organizational risks, and workload increases.</p> <p>Control A Update - December 31, 2016 ALRB Executive Management meets regularly to review the efficiency and functionality of the organization and formulates strategic planning.</p>	<p>William B. Gould IV, Chairman</p> <p>William B. Gould IV, Chairman</p> <p>William B. Gould IV, Chairman</p>	<p>December 31, 2015 Not Implemented</p> <p>June 30, 2016 Not Implemented</p> <p>December 31, 2016 Partially Implemented</p>

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<p>Operations- Internal- Oversight, Monitoring, Internal Control Systems</p> <p>A 2014 Department of Finance Office of State Audits and Evaluations (OSAE) report recommended that the ALRB, "[re]-evaluate workload tracking information systems by: (1) developing policies and procedures to maximize the usefulness of existing systems, and (2) consider alternative systems to efficiently and effectively track and manage workloads. Workload tracking system design and policies and procedures should be supported by ALRB executive management and: (a) Identify and capture the information management and employees need to perform their daily tasks and manage workloads for Case Management or an equivalent system; (b) Ensure outreach efforts are tracked within the system; (c) Provide access to all staff with appropriate levels of system security; (d) Require full employee participation in the workload time tracking system, including executive management; (e) Ensure accurate recording of employee time and workload data by category, task, or specific case regardless of classification; (f) Ensure regular supervisory review of employee time and workload data for accuracy; (g) Ensure timekeeping and workload tracking systems are integrated or reconcilable; (h) Develop customizable reports for management and employees to use in their daily tasks and to manage workloads; (i) Develop metrics such as total workload, total resources available, and total</p>	<p>Control A</p> <p>The ALRB is implementing a corrective action plan to address the operational risks identified by the Department of Finance Office of State Audits and Evaluations. The ALRB is also evaluating adding additional information technology tools to assist the e-filing of legal materials through a web-based system.</p>		

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<p>unassigned workload or resources for effective annual planning; and (j) Establish protocols to periodically review agreed-upon tracking information to ensure relevancy of data."</p>	<p>Control A Update - December 31, 2015 No additional information to report.</p> <p>Control A Update - June 30, 2016 The ALRB has addressed 11 out of the 12 recommendations outlined by Department of Finance in the OSAE Audit regarding workload tracking including the addition of agency wide employee access and participation in the current workload tracking system. The ALRB Executive Management will continue to review its policies and procedures regarding workload tracking systems to keep up to date metrics available to the ALRB, other state agencies and the public. The ALRB is also currently involved in the rulemaking process regarding the use of electronic filings.</p>	<p>Nickolas Saldivar III, Chief of Administration</p> <p>- Nickolas Saldivar, Chief of Administration</p>	<p>December 31, 2015 Partially Implemented</p> <p>June 30, 2016 Partially Implemented</p>

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	<p>Control A Update - December 31, 2016 Currently, the ALRB is tracking its workload metrics. The ALRB Executive Management will continue to review its policies and procedures regarding workload tracking systems to keep up to date metrics available to the ALRB, other state agencies and the public.</p>	<p>Nickolas Saldivar III, Business Manager</p>	<p>December 31, 2016 Partially Implemented</p>

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<p>Operations- Internal-Staff—Training, Knowledge, Competence</p> <p>Critical to fulfillment of our agency's mission and goals, the ALRB recognizes the importance of, and need for, increased staff training to ensure adequate levels of knowledge and competence are present throughout the agency. The ALRB has recognized and identified a critical need for continuous workforce training and development to bridge the gap between current staff capacity and performance expectations for the future, and to ensure maximum mission fulfillment. Failure to provide adequate training and development may harm both the employee and the agency through lowered productivity and lowered employee morale (particularly in smaller agencies). We are committed to our mission and becoming a more adaptive, efficient and productive agency.</p> <p>Workforce training and development is crucial for an agency of our size to succeed in mission fulfillment and to meet the challenges of tomorrow. This will benefit not only the employees skills and productivity but the ALRB's ability to retain knowledgeable and competent employees. Moreover, training and development will help ensure our ability to maximize our service to our primary stakeholders while simultaneously maximizing our collective efficiency as an agency.</p>	<p>Control A The ALRB SLAA Committee is currently researching the state's available training programs. The SLAA Committee will recommend multiple trainings to each program based on the program's employee classifications and needs. New employees will be given training opportunities during the onboarding process as well as offering classification specific training as continued education for existing employees.</p> <p>Control A Update - December 31, 2015 No additional information to report.</p> <p>Control A Update - June 30, 2016 The General Counsel program has hired a retired annuitant to facilitate attorney training and update attorney training policies and procedures. The General Counsel also hosted an introductory training for new staff and summer interns. The SLAA Committee is in the process of researching class specific trainings for operational staff.</p> <p>The Office of the Board will borrow two positions from the General Counsel Program to create an Outreach Program. The Board's Senior Legal Advisor will act as the lead for the outreach program and provide training to the members of the team. The Outreach team will then provide outreach to the agricultural community the ALRB serves.</p> <p>Control A Update - December 31, 2016 The Administration Division is exploring various methods of providing training timely and efficiently to all ALRB employees. A tracking and reminder system is in the development phase for tracking mandated training.</p>	<p>Nickolas Saldivar III, Chief of Administration</p> <p>Nickolas Saldivar, Chief of Administration</p> <p>Kristine Rodrigues, Chief of Administrative Services</p>	<p>December 31, 2015 Not Implemented</p> <p>June 30, 2016 Partially Implemented</p> <p>December 31, 2016 Partially Implemented</p>

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<p>Operations- External-Technology—Data Security</p> <p>Information security is required to protect ALRB tangible and intangible assets from cyber predators. State departments are prone to cyber-attack. Cyber attackers often prey upon smaller organizations because they often do not have or allocate sufficient resources to protect their assets from attack.</p>	<p>Control A The California National Guard provides IT Security Support that has been promoted by the California Department of Technology. The ALRB will utilize the California National Guard’s support to mitigate any current or future cyber security risks.</p> <p>Control A Update - December 31, 2015 No additional information to report.</p> <p>Control A Update - June 30, 2016 The California National Guard provided IT Security Support to the ALRB. Based on the California National Guard’s recommendations, the ALRB continues to mitigate all current cyber security risks. The ALRB will continue to partner with the California National Guard to assess our cyber environment to ensure that future vulnerabilities are outlined and resolved.</p> <p>Control A Update - December 31, 2016 The ALRB is working on several additional security enhancements and anticipates they will be in place in the third quarter of the fiscal year.</p>	<p>Nickolas Saldivar III, Chief Information Officer</p> <p>Nickolas Saldivar, Chief of Administration</p> <p>Nickolas Saldivar III, Chief Information Officer</p>	<p>December 31, 2015 Partially Implemented</p> <p>June 30, 2016 Partially Implemented</p> <p>December 31, 2016 Partially Implemented</p>
<p>Ongoing Monitoring</p> <p>Through our ongoing monitoring processes, the Agricultural Labor Relations Board reviews, evaluates, and improves our systems of internal controls and monitoring processes. The Agricultural Labor Relations Board is in the process of formalizing and documenting our ongoing monitoring and as such, we have determined we partially comply with California Government Code sections 13400-13407.</p>	<p>Ongoing Monitoring Update - December 31, 2015 No additional information to report.</p> <p>Ongoing Monitoring Update - June 30, 2016 The ALRB SLAA team currently meets every month to discuss the progress of the outlined risks and potential new risks. Due to changes in executive management, the Executive Management meeting had to be rescheduled. Executive Management is aware of the risks outlined in the SLAA report and tasked the SLAA team with moving forward on the some of the recomendations made in the June 30, 2016 CAP.</p> <p>Ongoing Monitoring Update - December 31, 2016 1) The ALRB Executive Management team is evaluating all unfinished items in the SLAA report for appropriate action. Further, the General Counsel program has a fully staffed management team, and will review their ongoing monitoring.</p>	<p>Nickolas Saldivar III, Chief of Administration</p> <p>Nickolas Saldivar, Chief of Administration</p> <p>Kristine Rodrigues, Chief of Administrative Services</p>	<p>December 31, 2015 Partially Implemented</p> <p>June 30, 2016 Partially Implemented</p> <p>December 31, 2016 Partially Implemented</p>