

STATE OF CALIFORNIA
Budget Change Proposal- Cover Sheet
 DF-46 (REV 03/13)

Fiscal Year 2014/15	BCP No. 3	Org. Code 7730	Department Franchise Tax Board	Priority No. 3
Program Tax Programs			Element N/A	Component N/A

Proposal Title
Sustaining Workloads

Proposal Summary
 The Franchise Tax Board (FTB) is requesting 72 positions and \$3.4 million in order to sustain our ability to generate projected General Fund revenue for the state of California in 2014/15. This proposal requests to convert 32 permanent intermittent to permanent full time positions and 40 new positions in order to mitigate significant impacts as a result of the vacancy sweep in 2008/09 and the loss of positions associated with Budget Letter 12-03.

Requires Legislation <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed
---	--

Does this BCP contain information technology (IT) components? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, departmental Chief Information Officer must sign.</i>	Department CIO	Date
---	----------------	------

For IT requests, specify the date a Special Project Report (SPR) or Feasibility Study Report (FSR) was approved by the California Technology Agency, or previously by the Department of Finance.
 FSR SPR Project No. Date:

If proposal affects another department, does other department concur with proposal? Yes No
Attach comments of affected department, signed and dated by the department director or designee.

Prepared By	Date	Reviewed By	Date
Department Director	Date	Agency Use Only	Date

Pending Board Approval

Department of Finance Use Only	
Additional Review: <input type="checkbox"/> Capital Outlay <input type="checkbox"/> ITCU <input type="checkbox"/> FSCU <input type="checkbox"/> OSAE <input type="checkbox"/> CALSTARS <input type="checkbox"/> Technology Agency	
BCP Type:	<input type="checkbox"/> Policy <input type="checkbox"/> Workload Budget per Government Code 13308.05
PPBA	Date submitted to the Legislature

Fiscal Summary
(Dollars in thousands)

BCP No 3	DATE August 14, 2013	Proposal Title: Sustaining Workloads	PROGRAM Tax Programs
-----------------	--------------------------------	--	--------------------------------

	Positions			FY 2013/14	FY 2014/15	FY 2015/16
	CY	BY	BY + 1	CY	BY	BY + 1
Total Salaries & Wages /1	.0	72.0	72.0	\$ 0	\$ 1,972,000	\$ 1,972,000
Total Staff Benefits /2				\$ 0	\$ 1,002,000	\$ 1,002,000
Total Personal Services				\$ 0	\$ 2,974,000	\$ 2,974,000

Operating Expenses and Equipment

General Expense /3	\$ 0	\$ 91,000	\$ 36,000
Printing /4	0	1,000	1,000
Communications /5	0	26,000	26,000
Postage	0	0	0
Travel-In-State	0	0	0
Travel Out-of-State	0	0	0
Training	0	0	0
Facilities Operations /6	0	152,000	0
Utilities	0	0	0
Cons & Prof Svs - Interdept'l	0	0	0
Cons & Prof Svs - External	0	0	0
Data Center Services	0	0	0
Information Technology /7	0	152,000	62,000
Equipment	0	0	0
Other/Special Items of Expense	0	0	0
Total Operating Expense & Equipment	\$ 0	\$ 422,000	\$ 125,000

TOTAL STATE OPERATIONS EXPENDITURES

<u>Fund Source</u>	<u>Item No.</u>					
	Org	Ref	Fund			
General Fund	7730	001	0001	\$ 0	\$ 3,396,000	\$ 3,099,000
				0	0	0
				0	0	0
				0	0	0
				0	0	0
				0	0	0
				0	0	0
				0	0	0
Totals				\$ 0	\$ 3,396,000	\$ 3,099,000

Total Local Assistance Expenditures

<u>Fund Source</u>	<u>Item No.</u>					
	Org	Ref	Fund			
General Fund	7730	001	0001	\$ 0	\$ 0	\$ 0
				0	0	0
				0	0	0
				0	0	0
				0	0	0
				0	0	0
Totals				\$ 0	\$ 0	\$ 0

Grand Total, State Operations and Local Assistance

\$ 0	\$ 3,396,000	\$ 3,099,000
-------------	---------------------	---------------------

- /1 Itemized positions by classification on the Personal Services Detail worksheet.
- /2 Benefit detail on the Personal Services Detail worksheet.
- /3 General Expense @ \$910 per position. Plus minor equipment @ \$1184 per new position.
- /4 Printing Costs @ \$27 per position.
- /5 Communication costs @ \$644 per position.
- /6 Facilities Costs.
- /7 Software and Hardware for PCs for new positions.

PERSONAL SERVICES DETAIL
(Whole Dollars)

BCP No 3	DATE August 14, 2013	Proposal Title: Sustaining Workloads	PROGRAM Tax Programs
-----------------	--------------------------------	--	--------------------------------

Positions		Positions			Salary Range	CY	Dollars		
		CY 2013/14	BY 2014/15	BY + 1 2015/16			BY	BY + 1	
Administrative Services Division									
Assoc Personnel Analyst	PERM	0.0	1.0	1.0	\$ 4,400	\$ 5,508	\$ 0	\$ 59,000	\$ 59,000
Total Administrative Services Division		.0	1.0	1.0			\$ 0	\$ 59,000	\$ 59,000
Adjust for Part Year Positions		.0	.0	.0					
Net Positions		.0	1.0	1.0					
Legal Division									
Tax Counsel III Spec	PERM	0.0	3.0	3.0	\$ 7,682	\$ 9,762	\$ 0	\$ 314,000	\$ 314,000
Total Legal Division		.0	3.0	3.0			\$ 0	\$ 314,000	\$ 314,000
Adjust for Part Year Positions		.0	.0	.0					
Net Positions		.0	3.0	3.0					
Finance & Executive Services Division									
Assoc Operations Spec/Ftb	PERM	0.0	1.0	1.0	\$ 4,400	\$ 5,508	\$ 0	\$ 59,000	\$ 59,000
Key Data Operator - Rg B	PERM	0.0	3.0	3.0	\$ 2,450	\$ 3,064	\$ 0	\$ 0	\$ 0
Staff Info Sys Analyst Spec	PERM	0.0	1.0	1.0	\$ 5,065	\$ 6,660	\$ 0	\$ 70,000	\$ 70,000
Total Finance & Executive Services Division		.0	5.0	5.0			\$ 0	\$ 129,000	\$ 129,000
Adjust for Part Year Positions		.0	.0	.0					
Net Positions		.0	5.0	5.0					
Filing Division									
Tax Technician, Ftb - Rg B	PERM	0.0	6.0	6.0	\$ 2,817	\$ 3,528	\$ 0	\$ 228,000	\$ 228,000
Assoc Tax Auditor	PERM	0.0	2.0	2.0	\$ 4,619	\$ 6,074	\$ 0	\$ 128,000	\$ 128,000
Tax Program Supervisor	PERM	0.0	1.0	1.0	\$ 3,101	\$ 3,884	\$ 0	\$ 42,000	\$ 42,000
Staff Serv Analyst Gen - Rg C	PERM	0.0	1.0	1.0	\$ 3,658	\$ 4,580	\$ 0	\$ 49,000	\$ 49,000
Tax Program Tech I, Ftb	PERM	0.0	9.0	9.0	\$ 2,638	\$ 3,305	\$ 0	\$ 321,000	\$ 321,000
Tax Program Assistant - Rg B	PERM	0.0	4.0	4.0	\$ 2,074	\$ 2,594	\$ 0	\$ 112,000	\$ 112,000
Tax Technician, Ftb - Rg B	PERM	0.0	29.0	29.0	\$ 2,817	\$ 3,528	\$ 0	\$ 0	\$ 0
Tax Technician, Ftb - Rg B	PERM	0.0	5.0	5.0	\$ 2,817	\$ 3,528	\$ 0	\$ 190,000	\$ 190,000
Staff Serv Analyst Gen - Rg B	PERM	0.0	1.0	1.0	\$ 3,050	\$ 3,819	\$ 0	\$ 41,000	\$ 41,000
Total Filing Division		.0	58.0	58.0			\$ 0	\$ 1,111,000	\$ 1,111,000
Adjust for Part Year Positions		.0	.0	.0					
Net Positions		.0	58.0	58.0					
Technology Services Division									
Assoc Info Systems Analyst	PERM	0.0	1.0	1.0	\$ 4,619	\$ 6,074	\$ 0	\$ 64,000	\$ 64,000
Staff Info Sys Analyst Spec	PERM	0.0	2.0	2.0	\$ 5,065	\$ 6,660	\$ 0	\$ 141,000	\$ 141,000
Sys Software Spec II Tech	PERM	0.0	2.0	2.0	\$ 5,561	\$ 7,310	\$ 0	\$ 154,000	\$ 154,000
Total Technology Services Division		.0	5.0	5.0			\$ 0	\$ 359,000	\$ 359,000
Adjust for Part Year Positions		.0	.0	.0					
Net Positions		.0	5.0	5.0					
Total Salaries and Wages									
	Positions	.0	72.0	72.0			\$ 0	\$ 1,972,000	\$ 1,972,000
	Part Yr Adj	.0	.0	.0					
	Net Positions	.0	72.0	72.0					

Staff Benefits Detail

	2013/14	2014/15	2015/16
OASDI /8	\$ 0	\$ 122,000	\$ 122,000
Health/Dental/Vision Insurance /9	0	434,000	434,000
Retirement - Miscellaneous /10	0	404,000	404,000
Worker's Compensation /11	0	11,000	11,000
Industrial Disability Leave/12	0	1,000	1,000
Non Industrial Disability Leave /13	0	1,000	1,000
Unemployment Insurance /14	0	0	0
Medicare /15	0	29,000	29,000
Total Staff Benefits	\$ 0	\$ 1,002,000	\$ 1,002,000

- 8/ For permanent and overtime, 6.2% of salary.
- 9/ Health - For Permanent \$10,150 per position; Dental - For permanent \$587 per position;
Vision - for permanent \$106 per position.
- 10/ For permanent, 20.503% of salary.
- 11/ 0.55% of salary for permanent.
- 12/ 0.03% of salary for permanent.
- 13/ 0.06% of salary for permanent.
- 14/ 8.8% of salary for temporary help.
- 15/ 1.45% of salary for permanent.

**FISCAL YEAR 2014/15
 SUPPLEMENTAL INFORMATION
 (\$ in Thousands)**

Identify all proposed items which fit into the categories listed below.

	<u>Current Year</u>	<u>Budget Year</u>	<u>Budget Year + One</u>
<u>Proposed Equipment</u>	\$ 0	\$ 0	\$ 0
Total	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
<u>Proposed Contracts</u>	\$ 0	\$ 0	\$ 0
Total	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
<u>One-Time Costs</u>			
General Expense - Minor Equipment (chair, calculator, telephone, data connection)	\$ 0	\$ 47	\$ 0
Information Technology (PC's and Software)	0	90	0
Communications - Minor Equipment	0	7	0
Total	<u>\$ 0</u>	<u>\$ 144</u>	<u>\$ 0</u>
<u>Future Savings</u>	\$ 0	\$ 0	\$ 0
Total	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
<u>Full-Year Cost Adjustments</u>	\$ 0	\$ 0	\$ 0
Total	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
<u>Facilities/Capital Costs</u> - indicate one-time or ongoing			
One-Time Facilities - modular reconfiguration; electrical modifications, relocation of staff	\$ 0	\$ 152	\$ 0
Total	<u>\$ 0</u>	<u>\$ 152</u>	<u>\$ 0</u>

A. Proposal Summary

The Franchise Tax Board (FTB) is requesting 72 positions and \$3.4 million in order to sustain our ability to generate projected General Fund revenue for the state of California in 2014/15. This proposal requests to convert 32 permanent intermittent to permanent full time positions and 40 new positions in order to mitigate significant impacts as a result of the vacancy sweep in 2008/09 and the loss of positions associated with Budget Letter 12-03.

B. Background/History

At the end of 2008/09, FTB lost 290 positions related to a vacancy sweep and in subsequent years lost the funding associated with these positions. At the end of 2011/12, FTB lost another 324 positions related to the elimination of salary savings as directed under Budget Letter 12-03. While the latter loss of positions was a neutral event, it, combined with the earlier vacancy sweep, caused FTB to lose a substantial number of positions used to conduct our revenue producing and service providing operations.

	290 Vacancy Sweep – Fiscal Year 2009/10	BL 12-03 – Elimination of Salary Savings Fiscal Year 2012/13 – Neutral Event	Total Negative Impact to Positions Previously Authorized to Conduct Compliance Activities
Audit	20	65	20
Collections	67.5	76	67.5
Filing	88	79	88
Administrative Services	28.5	25	28.5
Financial Services	15	11	15
Technology Services	58	60	58
Legal	12	8	12

As a result of these position losses, FTB has implemented a plan across the department to redirect resources to the most productive and cost beneficial workloads. With this effort, to a great extent, significant impacts to revenue have been avoided or delayed. In other areas backlogs have been created, levels of service have been reduced with impacts to business operations, and in many areas, sufficient staffing levels no longer exist to pursue and adopt efficiencies within our existing operations. Further redirection of resources is not possible and both our baseline and Enterprise Data to Revenue (EDR) Project responsibilities are showing strain as a result of these position cuts.

This position loss has most notably impacted our Filing Division and our service providing operations including Administrative Services, Finance and Executive Services, Legal, and the Technology Services divisions.

	Total Negative Impact to Positions Previously Authorized to Conduct Compliance Activities	Positions Requested to Sustain Existing Baseline Compliance Work
Audit	20	0
Collections	67.5	0
Filing	88	58
Administrative Services	28.5	1
Financial Services	15	5
Technology Services	58	5
Legal	12	3

Analysis of Problem

Resource History
(Dollars in thousands)

Conversion of Permanent Intermittent to Permanent Full Time

Program Budget	2008/09	2009/10	2010/11	2011/12	2012/13
Filing Division					
Authorized Expenditures	\$55,027	\$48,146	\$55,941	\$56,703	\$52,640
Actual Expenditures	\$50,708	\$46,464	\$51,968	\$53,392	\$52,630
Revenues	\$2,884,719	\$2,659,696	\$2,764,944	\$3,148,539	\$3,525,652
Authorized Positions	1,293.5	1,282.5	1,289	1,279.5	1,242.5
Filled Positions	1,185.8	1,188.7	1,181	1,178.7	1,185.4
Vacancies	107.7	93.8	108	100.8	57.1
Economic & Statistical Research					
Authorized Expenditures	\$3,731	\$3,659	\$3,708	\$3,803	\$3,739
Actual Expenditures	\$3,460	\$3,083	\$3,533	\$3,621	\$3,656
Authorized Positions	39	40	43	42	40
Filled Positions	39.6	37.8	38.7	38.6	37.2
Vacancies	0	2.2	4.3	3.4	2.8

New Position Requests

Program Budget	2008/09	2009/10	2010/11	2011/12	2012/13
Filing Division					
Authorized Expenditures	\$55,027	\$48,146	\$55,941	\$56,703	\$52,640
Actual Expenditures	\$50,708	\$46,464	\$51,968	\$53,392	\$52,630
Revenues	\$2,884,719	\$2,659,696	\$2,764,944	\$3,148,539	\$3,525,652
Authorized Positions	1,293.5	1,282.5	1,289	1,279.5	1,242.5
Filled Positions	1,185.8	1,188.7	1,181	1,178.7	1,185.4
Vacancies	107.7	93.8	108	100.8	57.1
Equal Employment Opportunity Office					
Authorized Expenditures	\$341	\$287	\$293	\$335	\$379
Actual Expenditures	\$283	\$210	\$246	\$323	\$410
Authorized Positions	4	4	4	4	4
Filled Positions	3.2	3.1	3.2	3.8	4.6
Vacancies	0.8	0.9	0.8	0.2	0
Legal Division					
Authorized Expenditures	\$16,800	\$13,975	\$15,822	\$15,720	\$16,211
Actual Expenditures	\$16,126	\$13,972	\$16,208	\$15,702	\$16,080
Authorized Positions	146	134	135	137	129
Filled Positions	135.8	129	130.6	128.4	126.2
Vacancies	10.2	5	4.4	8.6	2.8
Project Oversight and Guidance					
Authorized Expenditures	\$2,058	\$2,053	\$2,178	\$2,396	\$2,320
Actual Expenditures	\$1,883	\$1,803	\$2,297	\$2,193	\$2,412
Authorized Positions	19	19	19	22	21
Filled Positions	17.8	18.7	20.8	19.2	19
Vacancies	1.2	0.3	0	2.8	2
Procurement					
Authorized Expenditures	\$2,460	\$2,338	\$2,350	\$2,398	\$2,257
Actual Expenditures	\$2,478	\$2,113	\$2,228	\$2,197	\$2,167
Authorized Positions	27	26	26	27	25
Filled Positions	26.2	25.4	23.9	23.9	23
Vacancies	.8	0.6	2.1	3.1	2

Analysis of Problem

Resource History
(Dollars in thousands)

Program Budget	2008/09	2009/10	2010/11	2011/12	2012/13
Web & IVR Applications					
Authorized Expenditures	\$2,813	\$2,813	\$2,813	\$2,813	\$3,073
Actual Expenditures	\$2,740	\$2,740	\$2,740	\$2,740	\$3,218
Authorized Positions	45	45	44	37	40
Filled Positions	44	44	43	37	39
Vacancies	1	1	1	0	1
Network Operations Command Center Services					
Authorized Expenditures	\$4,279	\$4,153	\$5,315	\$5,334	\$4,606
Actual Expenditures	\$4,000	\$4,082	\$5,311	\$5,176	\$4,707
Authorized Positions	76	80	84	78	74
Filled Positions	74	79	84	75	72
Vacancies	2	1	0	3	2
Database Support					
Authorized Expenditures	\$2,367	\$1,863	\$2,402	\$2,773	\$2,636
Actual Expenditures	\$2,026	\$1,858	\$2,390	\$2,663	\$2,666
Authorized Positions	30	27	31	35	34
Filled Positions	26	26	31	34	32
Vacancies	4	1	0	1	2

Workload History

Conversion of Permanent Intermittent to Permanent Full Time

Workload Measure	2008/09	2009/10	2010/11	2011/12	2012/13
Taxpayer Services Center					
Calls Offered	2,907,724	2,603,248	2,106,976	1,857,785	1,980,217
Calls Answered	1,366,687	1,151,968	1,355,120	1,274,634	1,093,582
Correspondence, Analysis, Support and Education					
Live Chat – Offered	NA	NA	36,738	120,432	132,686
Live Chat - Answered	NA	NA	35,581	115,808	129,148
Economic & Statistical Research					
Corp and Cap Asset Returns Coded - Hours	15,353	12,887	13,062	13,362	13,803
Associated Hours	4,990	4,189	4,255	4,352	4,484

New Position Requests

Workload Measure	2008/09	2009/10	2010/11	2011/12	2012/13
Withholding Services and Compliance					
Calls Offered	N/A	39,000	64,000	37,000	43,000
Calls Answered	N/A	38,000	62,000	36,000	38,000
External & Internal Communication Products	N/A	N/A	N/A	N/A	66
Outreach Events	N/A	N/A	N/A	N/A	7
Tax Forms Design & Development					
Calls Offered	47,000	49,000	44,000	37,000	33,000
Calls Answered	36,000	40,000	34,000	32,000	28,000
Tax Forms Updated	190	187	189	191	194

Analysis of Problem

Workload History

Workload Measure	2008/09	2009/10	2010/11	2011/12	2012/13
Taxpayer Services Center					
Calls Offered	2,907,724	2,603,248	2,106,976	1,857,785	1,980,217
Calls Answered	1,366,687	1,151,968	1,355,120	1,274,634	1,093,582
Correspondence, Analysis, Support and Education					
Incoming Power of Attorney	64,471	73,169	94,478	99,630	113,335
Outgoing Power of Attorney	58,998	62,493	105,573	99,575	97,841
Information Validation					
Validated Returns	1,637,531	1,670,927	1,921,931	2,162,733	2,129,994
Fraud & Discovery					
Cases Reviewed	97,000	130,000	162,000	255,000	400,000
Cases Denied	N/A	N/A	40,000	73,000	79,000
Equal Employment Opportunity Office					
Complaint Processing					
Hours	1,724.5	1,600	2,106	1,936	3,217
Volumes	9	20	39	55	67
Reasonable Accommodation					
Hours	566	541	900	1,448	3,613
Volumes	7	10	35	51	105
Legal Division					
Docketed Protest Acknowledged	101	137	201	117	130
Docketed Protest Closed ¹	64	62	67	109	64
Project Oversight and Guidance					
IT FSR/Project costing/support	15,000	15,000	15,000	10,000	10,200
Process Documentation/Annual Mandates	4,000	4,000	4,000	5,100	3,200
Facilitation Services/External & Internal Support Efforts	NA	NA	NA	NA	600
Procurement					
Non IT Purchase Requests/Agreements	1,276	1,137	1,218	1,391	1,060
Web & IVR Applications					
Technical Business Analysis	900	1,200	1,200	1,500	600
Design & Development	1,260	1,680	1,680	2,100	840
Security & Load Testing	192	256	256	320	128
System Testing	1,620	2,160	2,160	2,700	1,080
System Interface Testing	900	1,200	1,200	1,500	600
Maintenance & Operations	1,500	3,500	5,500	8,000	12,872
Network Operations Command Center Services					
Incident & Problem Management, Monitoring of website & applications	73,743	146,860	121,232	114,131	106,816
Establish appropriate agreements and contracts between customers, IT Service Provides, and Third Parties.	2,223	7,442	11,677	9,814	8,218
Database Support					
Develop, test, and deliver database components.	40,307	37,998	24,473	26,694	27,016
Maintenance and support for database components.	676	1,167	16,213	17,624	13,118

¹Increase in Docketed Protest Closed in 2011/12 is a result of VCI 2

C. State Level Considerations

This proposal supports FTB's mission to fairly and effectively administer the State's tax system. The FTB mission is "to provide the services and information to help taxpayers file accurate and timely tax returns and pay the proper amount owed. To accomplish this mission, we develop knowledgeable and engaged employees, administer and enforce the law with fairness and integrity, and responsibly manage the resources allocated to us." This proposal also supports FTB's Strategic Plan Goal for Operational Excellence.

D. Justification

Conversion of Permanent Intermittent to Permanent Full Time (32 positions)

We are requesting to convert 32 permanent intermittent to permanent full time positions. We are not requesting any funding for these positions. As a result of the position losses we began to use more permanent intermittent staff in our Filing Division and our Finance and Executive Services divisions. Due to operational needs we routinely request an extension of hours each year and work the permanent intermittent staff on a full time basis. The utilization of the permanent intermittent classification for full time permanent work is not in line with recommended Human Resources practices and the appropriate permanent positions are being requested to recognize the ongoing workload that continues to be part of the department's responsibilities.

Filing Division (29 positions) – Request for Permanent Intermittent to Permanent Position Authority

Taxpayer Services Center Section (15 positions)

The Taxpayer Services Center Section (TSCS) is California's primary contact for taxpayers and tax practitioners seeking information regarding the state's extensive Personal Income Tax (PIT) and Business Entity (BE) laws and policies. The call center is necessary in order to help taxpayers who are already compliant stay compliant, and to assist those who are not yet compliant to become compliant with the tax law. FTB encourages voluntary compliance through taxpayer education by providing pre-filing assistance such as providing general information, processing forms requests, explaining filing requirements, tax law and return preparation and providing account specific information such as payments made. Offering this service up front is less costly than pursuing tax compliance via involuntary collection methods. It can also be strongly argued that when you increase opportunities for taxpayers to file correctly, it increases overall compliance with the tax law. Increased compliance translates to a reduction in the Tax Gap and a corresponding increase in revenue.

FTB produces more than 10 million billing notices annually, many of these generating contacts to the contact center. The contact center is responsible for responding to the voluntary compliance notices sent by the department. This equates to more than 60 percent of the taxpayer inquiries associated with the 10 million notices the department produces. Since the notices request immediate payment and/or filing of tax returns, delays in responding not only frustrate taxpayers and tax practitioners, but ultimately impact revenue by the delay of filing returns and revenue collection. Taxpayer service is further diminished because delayed responses to FTB notices result in additional penalties and interest. Although call volumes increase during filing season (January – April), notices and statements are issued throughout the year by return processing areas, collections, audit and filing enforcement. This causes the demand for service in our contact center to remain constant, and as a result, the need to remain fully staffed throughout the year. Throughout the year, staff answer phone calls, educate taxpayers, gain compliance, and resolve accounts. TSCS receives over 2 million calls a year, and answers 1.1 million of these calls.

TSCS began using permanent intermittent staff over four years ago as a result of budget cuts to permanent full time staff. Fifteen permanent intermittent staff has worked over 1,500 hours a year for more than two consecutive years due to operational needs. If we are unable to convert these 15 positions to permanent full time positions this would have a dramatic effect on the call center. Our annual average level of access would decrease from 56 percent to 47 percent. The reduction of staff decreases taxpayer access to information they need to resolve their tax issues – whether related to filing their return or paying their existing liabilities by entering into an installment agreement. Unanswered calls represent a significant number of missed opportunities for the department to minimize filing errors and increase revenue collection at the first point of contact where it is most

convenient for the taxpayer to answer, and where costs are at their minimum to resolve the issue. Costs to assist a taxpayer in the earliest stages of their seeking assistance are far less than the costs incurred by the department to address their issue after they have filed incorrectly or failed to pay.

Correspondence, Analysis, Support and Education (14 positions)

In 2011, FTB launched a six-month Live Chat pilot program. Live Chat provides the public with an opportunity to ask a FTB representative general personal income tax and business entity tax questions, to find forms, and to help with website issues. Due to overwhelming positive public response, the pilot was deemed successful and Live Chat became a permanent year round public service communication channel. In consideration of its pilot status, Live Chat is currently staffed with temporary staff.

Live Chat was a tremendous success and welcome tool for taxpayers to use to resolve their questions. Taxpayers were able to get a quicker resolution and FTB was able to assist more callers on our phone line due to the reduction in phone traffic by those taxpayers choosing to use Live Chat. In 2013, we are on track to hit 136,000 chats completed for the year. This is a 13 percent increase in service and is being met with the same number of staff. Live Chat staff helps taxpayers to file their tax forms correctly and in a timely manner by answering their questions or guiding them to the correct area. Because these staff members are in a permanent intermittent classification, we are finding it harder to maintain this level of service as staff are seeking permanent jobs elsewhere. At times, we have found it necessary to redirect staff from our correspondence area to maintain the level of service expected. This has caused greater backlogs in correspondence processing, which means other taxpayers are not being timely responded to on their inquiries. Of the 14 staff that began with the Live Chat pilot in 2011 in the permanent intermittent classification, only four remain. If we have to continue using permanent intermittent staff, this will increase staffing inefficiencies as the amount of time and resources it takes to go through the hiring and training process is costly and lengthy.

Initially FTB absorbed this workload when implemented. However, with prior position sweeps, FTB no longer has sufficient position authority to move these staff members to permanent positions. If positions are not approved, FTB will not be able to continue offering Live Chat services year round or we will have to scale back the hours of operations throughout the year thus decreasing public assistance via Live Chat and likely increasing calls to our telephone contact centers which may not be able to be answered as quickly as they would be with the Live Chat service.

Finance and Executive Services Division (3 positions) Request for Permanent Intermittent to Permanent Position Authority

Economic and Statistical Research (3 positions)

These individuals are responsible for extracting data for the Corp Sample, Capital Assets Sample, and various other workloads which are relied upon by numerous internal business areas as well as external oversight organizations such as Department of Finance, Legislative Analyst's Office, and the Legislature. In 2009, the Bureau had multiple retirements and departures and was intending to recruit for their replacements. Instead, FTB was subject to position sweeps and the vacancies were eliminated. As a result, three permanent intermittent staff were utilized to support existing workloads. However, this is not a long term solution as the workload requires a full time staff person to accomplish the various workloads as mandated. The inability to work full time hours and the unavoidable turnover associated with a temporary classification, hinder effective and ongoing business operations. The conversion of these permanent intermittent classifications to permanent classifications is being requested to ensure FTB is able to timely and accurately complete the various reports and samples these staff members support.

New Position Requests (40 positions)

In 2008/09, when FTB lost the 290 positions, these were all of our vacancies being held open to fund salary savings. Historically, FTB has a very low vacancy rate (5 – 6 percent average over the year) as FTB is required by budget control language to keep all positions filled to maximize our revenue producing activities. Initially, FTB was able to operate without these positions until the funding also began to be swept from our budget. This required us to delay or avoid hiring to re-establish vacant positions to fund salary savings. Before FTB was able to re-establish vacant positions sufficient to

cover salary savings, BL 12-03 was implemented and caused FTB to abolish an additional 324 positions. Upon abolishment, FTB was forced to put over 100 permanent employees into the Temp Help blanket and fund these individuals until a vacancy was found or workloads were modified so as to no longer require the previous level of staff. As previously noted, FTB has implemented a plan across the department to redirect resources to the most productive and cost beneficial workloads. With this effort, to a great extent, significant impacts to revenue have been avoided or delayed. In other areas backlogs have been created, levels of service have been reduced with impacts to business operations, and in many areas, sufficient staffing levels no longer exist to pursue and adopt efficiencies within our existing operations. Over the last year, FTB has removed a large portion of permanent staff from the Temp Help blanket and redirected those supporting funds back to the critical activities previously supported. However, to date, permanent staff remains in the Temp Help blanket and many of the requests for position authority discussed in the remainder of this document are necessary to remove those individuals from the Temp Help blanket and avoid the cessation of these activities these individuals are currently doing.

Further redirection of resources is not possible and both our baseline and Enterprise Data to Revenue (EDR) Project responsibilities are showing strain as a result of these position cuts.

Filing Division (29 positions)

Withholding Services and Compliance (6 positions)

The Withholding Services and Compliance (WSCS) program relies heavily on educating withholding agents regarding the nonwage withholding requirements. Voluntary compliance suffers if we are unable to spread the word regarding the law and requirements. We've been receiving increasing pressure from stakeholders to boost our education and outreach efforts so that taxpayers are not caught off guard with penalties when they do not comply with the law. We are requesting one position to allow us to continue our education efforts by maintaining our external web content and engaging in outreach programs. This position is responsible for creating tools and methods to provide education and outreach to potential withholding agents of nonwage and real estate withholding. We are unable to directly track increased compliance through our education efforts, but one person can continue the number of external presentations and communication products produced. Currently, WSCS program revenues are \$1 billion per year. Assuming each education and outreach position increases self compliance by just a tenth of one percent, if this position is not approved the state could lose up to \$1 million annually in additional withholdings remitted.

When taxpayers have their monies withheld, it is critical to the administration of our laws that we timely and properly account for those monies as delays and errors undermine the foundation of a voluntary self-compliance system. WSCS workloads center around processing the payments and forms received by withholding agents so that the proper amount of credits are reflected on taxpayers' accounts. Our public facing staff is critical to accomplishing that purpose as they resolve the calls and correspondence from agents and taxpayers regarding the correct filing and application of payments. We are requesting five positions to continue to mitigate improperly holding monies not belonging to the state or erroneously penalizing taxpayers and to address the increased workloads occurring in calls, correspondence, and system work lists (transactions needed to perfect the account on the Withholding system). Calls to the WSCS call center on average has increased over 15 percent from the prior fiscal year and service levels have decreased over 8 percent, resulting in longer wait time for taxpayers. Correspondence volumes from taxpayers increased an overwhelming 41 percent from the prior fiscal year, creating correspondence backlogs and extending response time to over 30 days. This exceeds the department's standard of 21 days. Delays in response to correspondence will further increase call volumes and impact service levels. Worklists fallout inventory increased 20 percent, which delays credits availability to the taxpayer, resulting in increased call volumes, correspondence, and Advocate calls. Failure to secure these positions will result in our backlogs continuing to grow and our service levels continuing to fall. In addition, failure to secure the additional five positions will likely result in the redirection of other existing WSCS audit staff to address incoming calls and correspondence impacting their ability to accomplish their workloads resulting in an impact to revenue of up to \$2.5 million

depending on level of need. (WSCS currently has five auditors conducting audit and education and outreach. Each auditor can close about 25 cases a year worth approximately \$500,000 in revenue the state otherwise may not have gotten.)

Tax Forms Design and Development (4 positions)

Staff in the Tax Forms Design and Development area serve as phone agents for calls regarding the department's e-file and e-pay programs. The phone agents process Electronic Funds Transfer (EFT) Authorization Agreements and waiver requests. They provide information to callers regarding mandatory e-file and register practitioners for the program and assist customers with resolution of rejected e-filed returns. We do not have adequate staffing to handle the ongoing call volume. Without full staffing, we are unable to provide timely assistance to taxpayers which impacts their ability to electronically file and pay their obligations accurately and by the statutory timeframes. If taxpayers are mandated to e-file or e-pay and are unable to do so, penalties may accrue. Additionally, from the perspective of FTB processing returns most cost effectively, e-file returns cost half as much to process as paper returns.

The Tax Forms Design and Development area also includes staff that are responsible for updating and developing FTB's tax forms, schedules, instructions, booklets, and publications to accurately reflect state and federal law revisions, improving FTB's processing, and considering taxpayers' needs in having the most simplified forms as possible. The tax forms change every year to discuss new and expiring state and federal legislation, federal conformity, new procedures adopted by FTB, and public needs of taxpayers, tax software developers, and tax professionals. In addition, we have significant form changes due to the Enterprise Data to Revenue project.

Staff analyzes all reviewer comments from stakeholders to determine impacts to the forms and then prepare forms for departmental review. These staff are critical in validating the department's tax products are accurate and completing the annual update to all tax forms by December 15th of each year. They are also responsible for ensuring final forms are printed and distributed to internal and external stakeholders and ensuring these forms are accessible on FTB's website. Currently, we do not have adequate staffing to handle these workloads. If appropriate staffing levels are not maintained, this could potentially result in errors on our tax forms which would impact millions of taxpayers. If we provided inaccurate or incomplete information to tax practitioners and tax software providers this would result in significant processing issues and transmit inaccurate information to the department's accounting systems and data warehouse.

Both of these processes are driven by taxpayer populations not easily modified to allow for reducing levels of staff supporting these workloads. With prior position cuts, this business area has absorbed as much work as they are able to and additional resources are necessary to accommodate the remaining workload, or activities will need to be decreased causing undue impacts as discussed above.

Taxpayer Services Center Section (4 positions)

The Taxpayer Services Center Section (TSCS) is California's primary contact for taxpayers and tax practitioners seeking information regarding the state's extensive Personal Income Tax (PIT) and Business Entity (BE) laws and policies. The call center is necessary in order to help taxpayers who are already compliant stay compliant, and to assist those who are not yet compliant to become compliant with the tax law. FTB encourages voluntary compliance through taxpayer education by providing pre-filing assistance such as providing general information, processing forms requests, explaining filing requirements, tax law and return preparation and providing account specific information such as payments made. Offering this service up front is less costly than pursuing tax compliance via involuntary collection methods. It can also be strongly argued that when you increase opportunities for taxpayers to file correctly, it increases overall compliance with the tax law. Increased compliance translates to a reduction in the Tax Gap and a corresponding increase in revenue.

In 2012/13, the Level of Access (LOA) was 56 percent for Account Resolution and General Information (toll-free) calls. In 2011/12, the LOA was 68 percent. The unanswered calls were either deflected

(callers received a busy signal and were forced to hang up) or abandoned (callers hung up after waiting for their call to be answered).

Incoming calls to TSCS have decreased in prior years upon implementation of Live Chat and Virtual Hold, however, calls are increasing again and calls answered by agents have become more complex resulting in increased talk time. Average talk time per call has increased from three and a half minutes in 2010 to five minutes in 2012. Though some taxpayers are able to self-serve via the website on simple issues, many still prefer speaking to an agent as their first method of seeking assistance.

The contact center is requesting these four positions to maintain or increase our level of access to be more effective in minimizing filing errors and responding to inquiries related to pre-filing assistance and arranging payment against taxes due. In this way, FTB would increase tax revenues, reduce the tax gap, and minimize the higher costs and inconvenience to the taxpayer associated with more intrusive audit and collection actions.

If these positions are not approved this will result in returns being filed incorrectly and balance due notices are then unnecessarily generated causing taxpayers and tax practitioners to call for explanations and/or payment options. Returns will not be filed, which generates filing enforcement notices causing additional calls and/or additional notices that can ultimately result in collection actions. Taxpayers will not receive necessary assistance with Head of Household letters, automated audit letters, etc. If not responded to timely and accurately, these letters can result in balance due notices being issued and can ultimately result in collection actions.

Correspondence, Analysis, Support and Education (6 positions)

Staff in Correspondence, Analysis, Support and Education section is responsible for processing Power of Attorney declarations (POAs) filed by tax practitioners and representatives to taxpayers. Staff review the POAs filed and process them into the current database if complete. This database is accessible by all departmental staff. Up to date POA information is critical, as FTB staff are able to work with the POA representative regarding specific taxpayer accounts when a POA is on file, and resolve the tax issue within the earliest possible timeframe and over the least amount of time.

FTB originally was able to accomplish the workload with prior resources; however, with position sweeps, redirections within the department, and expansion of the program to accommodate new laws, procedures, and increased customer levels, the POA unit no longer has adequate staffing to handle incoming POAs. As of July 1, 2013, the current backlog is 19,000 POAs to process, the oldest POA received by fax is May 22, 2013 and the oldest POA received by mail is April 25, 2013. Our timeframes state we are to complete faxed POAs within 7 days and mailed POAs within 15 days. The longer the amount of time for processing by our staff, the more likely the taxpayer or their representative will send in a duplicate copy which we must also analyze. This causes additional backlogs. We are currently processing POAs that are seven to eight weeks old. In the past few years, other areas have loaned resources to process POAs. Each time, once POA processing is caught up to goal dates, only the staff primarily allocated to the POA workload continues processing and falls behind again.

We are requesting six positions to bring this workload within our stated timeframes for customer processing. POAs are a critical piece to resolving taxpayer accounts. Many taxpayers prefer to have a representative work with FTB rather than working to resolve their own account. Staff throughout the department relies upon this unit to process POAs timely.

If these positions are not approved the POA backlog will grow, prompting delays in account resolution, and increased contacts to the department by taxpayers and their representatives requesting the status of their POA. FTB will also periodically continue to redirect resources temporarily off of other critical workloads to manage the backlogs causing detrimental impacts in the loaning business area.

Information Validation (5 positions)

Information Validation staff validate e-filed, imaged and paper tax returns via the routine and complex validation systems, fiduciary returns, amended returns and apply payments to the proper accounts. We

are requesting four positions to ensure we continue with timely processing of tax returns and payments. If these resources are not approved, there will be a delay in processing of tax returns, which would cause FTB to not be able to meet established processing timeframes (five days for e-filed returns; 45 days for all other returns; and three days for payments). A delay in meeting established processing timeframes results in a loss of revenue, potential interest paid on refunds, slower processing time resulting in increased calls and correspondence to TSCS and the Advocate, trigger of multiple returns being submitted, as well as an increase in priority processing requests.

We are also requesting a technical system support position. This position is the only position within the Information Validation Section responsible for serving approximately 200 employees as a first line technical system support. This position is responsible for troubleshooting system issues, obtaining user access for staff to various tax processing systems, and resolving system glitches. If the position is not granted there are no other resources to perform this function. Without this position, there will be increased system downtime and delays in staff being granted user access to the various tax systems needed to perform their duties. Increased system downtime will result in loss of revenue, potential interest paid on refunds, slower processing time resulting in increased calls and correspondence to TSCS and Advocate, causing multiple returns to be submitted, as well as an increase in Priority Processing requests.

Fraud and Discovery (4 positions)

The Fraud and Discovery Section (FADS) uses innovative selection methods and conducts studies to detect and prevent fraudulent claims and discover taxpayers who file false claims, underreport their taxes, or do not file their tax returns. FADS have a robust modeling system and highly skilled technicians to identify fraud patterns. This identification is done by thoroughly analyzing accounts using both manual and automated methods. These efforts result in FADS stopping tens of millions of dollars in fraudulent refunds from being issued each year. However, the amount of accounts entering the Fraud inventory has increased between 2010/11 and 2011/12 by over 47 percent. Refund fraud specific to identity theft has grown from 900 cases in 2009/10 to over 7,000 reviewed cases in 2011/12. Cases related to W-2 fraud have increased from 129,000 cases to over 248,000 cases.

With the increase in accounts entering the Fraud inventory this impacts the state's abilities to stop refund fraud and identity theft cases. Fraud technicians review work lists with refunds that are currently on hold in order to determine if the refund is fraudulent or not. With fewer staff, FTB must balance the need to issue refunds in a timely manner with holding refunds for fraud or identity theft review. With fewer staff the potential for a fraudulent refund to be released increases. For example, if the potential for fraud is 24 out of 100 accounts on a given model, FTB may release the refunds on hold for this pattern because we do not have enough staff to work them all. Once a refund has been issued, the collectability of a fraudulent refund (i.e. not stopped by fraud) is 30 percent or less and for fraudulent refunds attributed to identity theft it is almost impossible to collect. In 2012/13, a fraud technician stopped approximately \$600 in fraudulent/identity theft refunds per hour worked.

- In 2009/10, FADS identified and stopped \$21 million in fraudulent returns, working 130,000 cases.
- In 2010/11, FADS stopped over \$22.5 million in fraudulent returns, working over 162,000 cases; denying over 40,000 cases.
- In 2011/12, FADS staff identified and stopped \$54 million in fraudulent returns. Staff reviewed over 255,000 returns, identifying over 73,000 cases denied due to some type of fraud.
- In 2012/13, FADS identified and stopped \$58 million in fraudulent returns. Staff reviewed over 400,000 cases, of which over 79,000 cases were denied.

FTB has absorbed workload increases over the last years, however, with the loss of prior positions FTB is no longer able to accommodate growth patterns projected without additional resources. We are requesting additional resources to handle the increase in Fraud workloads related to W-2 fraud and identity theft. If the positions are not approved, FTB could release potentially fraudulent refunds resulting in a loss of approximately \$4.2 million in General Fund revenue annually.

Administrative Services Division (1 position)

Equal Employment Opportunity Office (1 position)

With the loss of positions and the growth of this unit's workload, we are requesting one position for additional work hours for Complaint Processing and Reasonable Accommodations workloads. Although this unit received a position in 2013/14, existing staff of four EEO Investigators are currently working beyond capacity for Complaint Processing and Reasonable Accommodation issues for the entire department of over 5,000 employees. This is a result of a steady and continual increase in volumes for Complaint Processing and Reasonable Accommodation workloads for the past five years. This steady increase has created a backlog for both workloads, which has resulted in the unit not meeting mandated response deadlines for discrimination complaints. Additionally, the Reasonable Accommodation workload has become increasingly complex due to the influx of reassignment accommodations. Reassignment accommodations require constant monitoring of the department's vacant positions as well as interaction with multiple departmental parties to ensure proper placement of the respective employee. Volumes are projected to increase in 2014/15 for both workloads by 50 percent. With the increase of new departmental staff, there will be an increase in the amount of Equal Employment Opportunity related training provided, as well as an increase in the discrimination complaint and Reasonable Accommodation workloads.

Discrimination complaints and related lawsuits can cost the state millions of dollars annually. Constant attention is required to meet and maintain state and federal civil rights obligations. Departments must invest in prevention of discrimination by adequately staffing EEO offices with trained personnel. By doing so, departments will avoid costly lawsuits by keeping departmental managers and supervisors informed and trained about the latest EEO requirements, quickly identifying inappropriate employment policies and practices, and providing effective employee counseling and complaint resolution.

Per California Code Regulations, tit. 2, § 64.4, discrimination complaints must be resolved within 90 days from the date filed. This position is critical to ensure the EEO Office will be able to meet the mandated deadlines associated with completing discrimination and harassment investigations as well as being able to address Reasonable Accommodation requests in a reasonable amount of time. Failure to secure an additional position will result in increased risks to the department and the state related to our inability to timely address complaint and reasonable accommodation requests.

Legal Division (3 positions)

Prior position sweeps has created an imbalance in legal workloads and staff is working beyond capacity and cannot handle current workloads from existing inventory and increasing backlogs.

Docketed Protest (2 positions)

A taxpayer that receives a Notice of Proposed Deficiency Assessment may request an administrative review by the department of that proposed assessment by filing a "protest" as provided for in Revenue and Taxation Code section 19041. Protests assigned to the Legal Division are designated as docketed protests. FTB Notice 2006-6 guidelines on docketed protests, state that legal staff evaluate the merits of the protest of the proposed deficiency (and any included claims for refund), conduct a hearing if requested, and issue a Notice of Action within 24 months or less of the filing date of the protest.

Incoming protests have increased 35 percent in the past three years, and those requiring docketing have increased 28 percent. Despite maintaining historical closing rates, the time required to close docketed protests has increased 25 percent from an average of 35 to 44 months. More new protests and longer closing times have resulted in more cases being resolved outside departmental guidelines. Sixty three percent of current inventory is older than the guidelines set forth in Notice 2006-6, up from 55 percent only two years ago.

We are requesting two staff to manage existing inventory including growing backlogs in an effort to promptly and fairly determine correct amounts owed. Prompt handling of protest inventory accelerates revenue and minimizes interest expense for taxpayers and the state (refund claims for personal income taxpayers).

Ability to provide advice and guidance on new and ongoing matters will be impaired if these positions are not approved. If these position requests are not approved this will result in the following:

- Protests must be de-prioritized because other work, such as appeals and litigation, must take precedence due to external statutorily imposed deadlines. This, together with increased protests and longer closing times will result in more delays and backlogs.
- Audit staff will need to provide additional resources to address the less complex protest cases. Audit staff would be redirected from revenue producing audit work.
- Because of increased backlogs, additional interest will accrue for taxpayers with balances due, which in turn results in more requests for interest abatement.
- Delays will cause FTB to incur additional interest on personal income tax claims for refund that are granted.
- Revenue will be delayed on those cases with proposed assessments.
- An increasing number of cases will not meet the department's guidelines under FTB Notice 2006-6, which will continue to increase.
- Delays will affect quality of work and availability of records for taxpayers.

Litigation Bureau (1 position)

The Litigation Bureau, General Counsel Group provides legal advice and guidance, represents the FTB at the State Personnel Board (SPB), and assists the Department and the Attorney General on FTB litigation matters on Human Resources/Equal Employment Opportunity related issues. Employee related Hearing deadlines are determined by the State Personnel Board. Discrimination complaints must be resolved within 90 days from date filed per California Code Regulations, tit. 2, § 64.4.

We are requesting one position to work Human Resources/Equal Employment Opportunity related cases and provide legal advice. The department projects Equal Employment Opportunity complaints and accommodation issues to increase by 50 percent. Existing staff of two Legal Counsels are working beyond capacity for Human Resources/Equal Employment Opportunity related issues for the entire department of over 5,000 employees.

This position is critical to ensure FTB employees' equal employment opportunity is in compliance with federal and state laws and regulations, including (but not limited to):

- Title VII of the Civil Rights Act of 1964
- Americans with Disabilities Act of 1990
- Government Code sections
- California Fair Employment and Housing Act
- Departmental policies and practices

If this position request is not granted this will result in an increase backlog of human resource cases, response times will increase, disciplinary actions will take longer to administer, and unintended consequences related to union or legal actions may occur and expose FTB or the state to unwarranted consequences.

Finance and Executive Services Division (2 positions)

Project Oversight and Guidance (1 position)

The Project Oversight and Guidance staff provides comprehensive IT project management support and guidance throughout the enterprise. Staff is responsible for tracking and monitoring expenditures, schedule and scope for IT projects on a monthly basis. They also ensure compliance with departmental processes and internal and external reporting requirements.

With prior positions sweeps, and due to the complexity of our current workload and external requirements, we have exceeded our staff's capacity. The Feasibility Study Report workload continues to grow and become more complex each year with the updates from Department of Technology. It is necessary that the team remain fully staffed due to the complexity and long learning curve to handle the ongoing Feasibility Study Report volume and new projects that support FTB's infrastructure that

administers the tax laws that generate \$75 billion of general fund dollars. FTB has already delayed the development of two approved concepts on the IT Capital Plan due to resource constraints.

This position is critical in providing comprehensive project management support and guidance to our customers and provide the direct liaison support with our control agencies. FTB staff will be ill-equipped to perform their tasks in a timely and quality manner and without this position we may not be able to meet the department's goals by ensuring that we successfully implement our current and new projects.

Existing staff are not be able to absorb all the incoming work without compromising their ability to meet the required due dates of their current workload. If the position is not granted, it could result in the department failing to meet our mandated requirements and provide the necessary guidance and support for our current and new workloads. This could result in a backlog of our workload in responding and completing the work for both our internal and external customers in a timely and quality manner. In addition, we would not be able to maintain any additional projects that are critical in maintaining our revenue generating systems which are a priority for the department to continue with our normal operations.

Procurement (1 position)

Non-IT procurement staff is responsible for procuring non IT equipment, consulting services, office furnishings, training, subscriptions, and supplies, necessary for departmental staff. Over the last two fiscal years (2011/12 and 2012/13), the non-IT staff have processed 2,451 purchase transactions, totaling approximately \$18 million in awarded contracts. These workloads are diverse and many are complex and directly related to the collection of revenue (i.e., contracts for outside collections and abusive tax shelters). Many procurement requests require hundreds of hours to complete, along with on-going follow up required where one analyst may be responsible for multiple years. Additional internal and external procedural requirements, oversight and approvals of all agreements have inflated the time required for contract processing and completion. Procurement Bureau staff work extremely hard to balance the multiple workloads, prioritize the varied needs of the department, and address the emergency procurements requests as they arrive. Procurement is required to competitively bid all acquisitions, and be able to justify that the cost is fair and reasonable and is the best value to the state.

In consideration of prior position sweeps, existing staff are overloaded and without adequate staff our ability to contract for goods and services in a timely manner, while at the same time meeting all the legal requirements of state contracting, is compromised. Without adequate staffing in the Procurement Bureau we will be unable to support our mission critical tax programs and the enterprise is at risk. If maintenance contracts for our critical non-IT equipment (i.e. mailing machines, etc.) are not renewed timely, FTB could be faced with not having adequate support in case of equipment failures. This can result in numerous issues, including lost or delayed revenue, problems with providing services to taxpayers, being out of compliance with manufacturer requirements and health and safety concerns. If we are not able to process our procurements in accordance with the multitude of rules and regulations (i.e. Public Contract Code, Government Code, Military and Veterans Code, State Administrative Manual and State Contracting Manual(s)) FTB's reputation with our overseers and delegation authority would be at risk. FTB may also face legal risk if contracts are not processed appropriately and we will fail to meet our customer's deadlines and that prevents FTB employees from having the goods and services required to collect revenue. The quality of our work, reputation with our overseers and contracts that have direct impacts to revenue will be delayed or processed inefficiently.

Procurement probably does not fit the same matrix or criteria as other divisions. Other divisions may have a backlog of cases to be worked, which may lead to possible loss of revenue to the state. In Procurement, we cannot (and do not) have a backlog. If an agreement expires before a renewal agreement is completed and approved, then receipt of that service must be discontinued immediately otherwise FTB is at legal risk. Everything would be on hold, no services could be provided, and any services received/provided outside of the agreement cannot be compensated. This also holds true for product acquisitions - nothing can be received until an agreement is completed and approved. If the departmental demand/requests exceed procurement staff capacity, then those purchase requests will be delayed. The majority of the time the goods and services are needed by a specific date in the near

future, and sometimes the requests are urgent and are needed immediately, especially for legal or health and safety concerns. If there is a backlog, then project needs or operational activities will be on-hold until an agreement can be initiated and completed.

We are requesting one position to enhance our ability to process non-IT procurement contracts and seek to consolidate single-year agreements into multiple-year agreements. Consolidating agreements is more complex and requires more hours, but will be beneficial to the department due to the growing number of contracts we manage annually. Another position will enable us to manage our complex workload better and give us the flexibility to spread the work out, ensure the quality of work, protect our reputation with our overseers and delegation authority, and will work with our internal customers to meet their expectations and deadlines. We also acquire the goods, services, training, and tools that FTB staff need to perform their jobs. Without sufficient staffing in Procurement, FTB staff will be ill-equipped to perform their tasks in a timely and quality manner and that places FTB at risk.

Technology Services Division (5 positions)

Web and IVR Applications (2 positions)

The department has experienced an increase in web application requests from businesses and taxpayers requesting self-services. As FTB moves toward modernizing its IT systems, our goal is to increase self-service offerings and functions. For example, we have been requested to create self-service applications that allow for Exempt Organizations to be searched (Exempt Organization Lookup), support applications that integrate with the External Taxpayer Folder, Withholding Services & Compliance Section (WSCS) withhold agent self-test, and an Accounts Receivable mobile application allowing taxpayers to make payments from mobile devices. In addition to creating these new services, the maintenance of these applications continues to grow as programs such as CalFile, Web Pay, Court Ordered Debt (COD) and Head of Household (HOH) continue to be enhanced. With every new tax year, new and existing web applications require many hours of programming and testing to make annual changes. The Contact Center platform (CCP) workload also is growing to include texting services and other contact services.

With recent position sweeps, technology staff is no longer able to absorb growth workloads such as these as we have in the past. Without the ability to provide the taxpayer with self-service options which are not only requested but expected in our technological culture, customers will provide information by paper and the call centers will continue to receive more calls than they are staffed for or won't provide information at all which impacts revenue to the state and costs of FTB to pursue these taxpayers for noncompliance.

Network Operations Center (2 positions)

The Network Operations Center (NOC) ensures the health and availability of the FTB's eServices operations. During the past year, FTB has seen a 68 percent increase in our website traffic, with increased expectations by the public for our online services to be available 24X7, 365 days a year. This growth is further compounded by the demand to further expand our suite of online services. Our growth is in line with the public sector growth and expectations for on-line 24x7x365 self-services.

With prior positions sweeps, NOC has been unable to keep up with monitoring our system and troubleshooting problems. When system malfunctions occur, they either impact taxpayers who are unable to conduct their business with us, or it impacts staff that is unable to do their job without the support of our technology products. Two positions are being requested to support our workloads in FTB's NOC to enhance the monitoring and operations of FTB's critical 24X7 operations. In order for FTB to provide this level of around the clock availability, we need two additional staff to provide monitoring and operations for the increased services during our grave shift operations, weekends, and holidays. This position request also allows FTB to provide a more proactive response to service availability versus only our reactive capabilities of today. This is needed due to our concurrent growth with more online services for external outages (300 percent growth from 2011/2012, 97 hours to 381 hours) and the number of external users impacted due to these outages (1000 percent growth from 2011 to 2012, 2,400 users to 24,000 users).

Without these positions, FTB will be unable to support the growing demand for online services such as new Electronic Commerce (ECOM) applications (i.e.; external taxpayer folder) or remaining platinum and gold services (Enterprise Email, Court Ordered Debt, and Electronic Funds Transfer). Support for these services such as 24X7X365 proactive monitoring and incident resolution would be reduced. The consequences of this would be extended service disruptions impacting taxpayer's ability to interact with FTB resulting in FTB's inability to process returns timely and collect revenue or impacting staff that would not be able to perform their work.

Windows Database Software Maintenance (1 position)

During the past year, FTB has seen a 20 percent increase in our data, supporting both existing and new workloads, and the expectations of the availability of the data to our critical business operations. This growth is further compounded by ever increasing database security requirements, 24x7x365 expected system availability, and tighter uptime and patching windows. Together these have exhausted FTB's capabilities to further absorb database work with our current resources and staffing. We have been limited in our ability to perform preventative maintenance and proactive performance tuning leading to increased risk of downtime, reactive actions to issues and a degraded user experience to both internal and external customers. Delays in patching and implementation of new security features such as encryption and policy services expose the department to undue risk.

An example of a failure we were not adequately able to respond to occurred on Tuesday, May 28, 2013 when our automated telephone system experienced an outage for six hours. This outage resulted in:

- FTB calls answered were only 32 percent of normal capacity for a Tuesday following a Monday holiday.
- Accounts Receivable Management (ARM) estimated potential revenue impacts of up to \$203,000 per hour for Personal Income Tax (PIT) and Business Entities (BE) collection contact centers. This totaled \$1.2 million impact for the day not including Non Tax Debt (NTD) and Account Resolution and Recovery Team (ARRT). These impacts could result in the delay of revenue or ultimately a loss of revenue if we are unsuccessful in contacting that taxpayer in the future.

We are requesting one position to support workload growth in FTB's Windows database team to perform system database administration, patching, maintenance and upgrades. This position request will enable FTB staffing levels to meet the security and availability requirements and also expand to 24x7x365 of our critical business functions. Without this position, FTB will be unable to support the growing demand for database services to meet the availability, security, and support levels now required by our database staff to meet our critical business functions impacting both revenue and services provided by FTB.

E. Outcomes and Accountability

FTB's Governance Council and Resource Allocation Action Committee (RAAC) are assigned the responsibility of monitoring the use of resources associated with this proposal. The Governance Council, comprised of the Executive Officer, Chief Counsel and Division Chiefs, and RAAC, comprised of bureau directors and budget managers across the organization administers a formalized framework that ensures effective decision making for resource and budget planning on risks and issues that cross over program and administrative lines.

Projected Outcomes

Conversion of Permanent Intermittent to Permanent Full Time

Workload Measure	2013/14	2014/15	2015/16
Taxpayer Services Center			
Calls Offered	1,991,206	2,021,125	2,059,002
Calls Answered	1,254,460	1,273,309	1,297,171
Correspondence, Analysis, Support and Education			
Live Chat – Offered	139,000	141,780	144,615
Live Chat - Answered	133,500	136,110	138,830
Economic & Statistical Research			
Corp and Cap Asset Returns Coded - Hours	14,000	14,000	14,000
Associated Hours	5,213	5,213	5,213

New Positions

Workload Measure	2013/14	2014/15	2015/16
Withholding Services and Compliance			
Calls Offered	46,000	48,000	48,000
Calls Answered	39,000	45,000	45,000
External & Internal Communication Products	66	70	70
Outreach Events	7	10	10
Revenue	\$1,000,000	\$1,000,000	\$1,000,000
Tax Forms Design & Development			
Calls Offered	40,000	42,000	44,000
Calls Answered	31,000	31,000	33,000
Tax Forms Updated	200	203	208
Taxpayer Services Center			
Calls Offered	1,991,206	2,021,125	2,059,002
Calls Answered	1,254,460	1,273,309	1,297,171
Correspondence, Analysis, Support and Education			
Incoming Power of Attorney	170,000	178,500	134,000
Outgoing Power of Attorney	147,000	147,000	147,000
Information Validation			
Validated Returns	2,486,430	2,480,806	2,490,337
Fraud & Discovery			
Cases Reviewed	400,000	404,000	408,000
Cases Denied	80,000	81,000	82,000
Revenue	\$61,000,000	\$63,000,000	\$65,000,000
Equal Employment Opportunity Office			
Complaint Processing			
Hours	4,000	5,000	5,500
Volumes	80	100	110
Reasonable Accommodation			
Hours	4,900	5,600	6,300
Volumes	140	160	180
Legal Division			
Docketed Protest Acknowledged	146	156	167
Docketed Protest Closed ¹	64	74	74
Project Oversight and Guidance			
IT FSR/Project costing/support	11,400	13,000	13,000
Process Documentation/ Annual Mandates	3,400	3,615	3,615
Facilitation Services/External & Internal Support Efforts	600	875	875

Projected Outcomes

Workload Measure	2013/14	2014/15	2015/16
Procurement			
Non IT Purchase Requests/ Agreements	1,166	1,189	1,213
Web & IVR Applications			
Technical Business Analysis	900	1,200	1,200
Design & Development	1,260	1,680	1,680
Security & Load Testing	192	256	256
System Testing	1,620	2,160	2,160
System Interface Testing	900	1,200	1,200
Maintenance & Operations	13,872	15,372	16,872
Network Operation Command Center Services			
Incident & Problem Management, Monitoring of website & applications	122,720	123,760	123,760
Establish appropriate agreements and contracts between customers, IT Service Provides, and Third Parties.	8,320	9,360	9,360
Database Support			
Develop, test, and deliver database components.	29,120	31,200	31,200
Maintenance and support for database components.	12,480	14,560	14,560

¹Acknowledged and closed docketed protest do not reconcile because volumes do not include settlement cases

F. Analysis of All Feasible Alternatives

Alternative #1: *Approve full request of \$3.4 million and 72 positions.*

This request allows us to restore our ability to generate projected General Fund revenue for the state of California in 2014/15 and mitigate significant impacts as a result of the position losses in 2008/09 and 2011/12.

Alternative #2: *Approve funding of \$3.4 million and 72 limited term positions.*

This alternative mirrors Alternative #1 with the exception of providing limited term positions for two years rather than making them permanent. These positions are critical to our ability to manage our workloads efficiently and effectively. FTB will re-evaluate our staffing needs in two years but does not believe this work to be short term in duration.

Alternative #3: *Approve the conversion of the 32 permanent intermittent to permanent positions.*

This alternative recognizes that these workloads are ongoing and should be staffed with permanent positions. We are not requesting any funding for these 32 positions. This alternative will not mitigate the impacts of the position losses. FTB does not have existing resources available to redirect without impacting our ability to generate baseline revenue and fulfill our EDR project responsibilities.

Alternative #4: *Do not approve this request.*

This approach fails to mitigate significant impacts as a result of the vacancy sweep in 2008/09 and the loss of positions associated with Budget Letter 12-03. Without these resources our baseline revenue and completing our EDR project responsibilities will be at risk.

G. Implementation Plan

June 2014 - 607 documents to establish the 72 positions are prepared and approved by the FTB Budget Officer and forwarded to the Department of Finance.

June 2014 – Department of Finance notifies FTB of position approval.

July 1, 2014 – Positions are established and FTB begins hiring.

H. Supplemental Information

None Facility/Capital Costs Equipment Contracts Other One –Time

- Facilities – Modular Reconfiguration, Electrical Modification, and Relocation of Staff.
- Other – Minor Equipment.

I. Recommendation

Alternative 1 is recommended. This alternative will sustain our ability to generate projected General Fund revenue for the state of California in 2014/15 and mitigate significant impacts as a result of the position losses in 2008/09 and 2011/12.

Administration Services Division
 Equal Employment Opportunity Office
 PUC 187
 Proposed July 2014

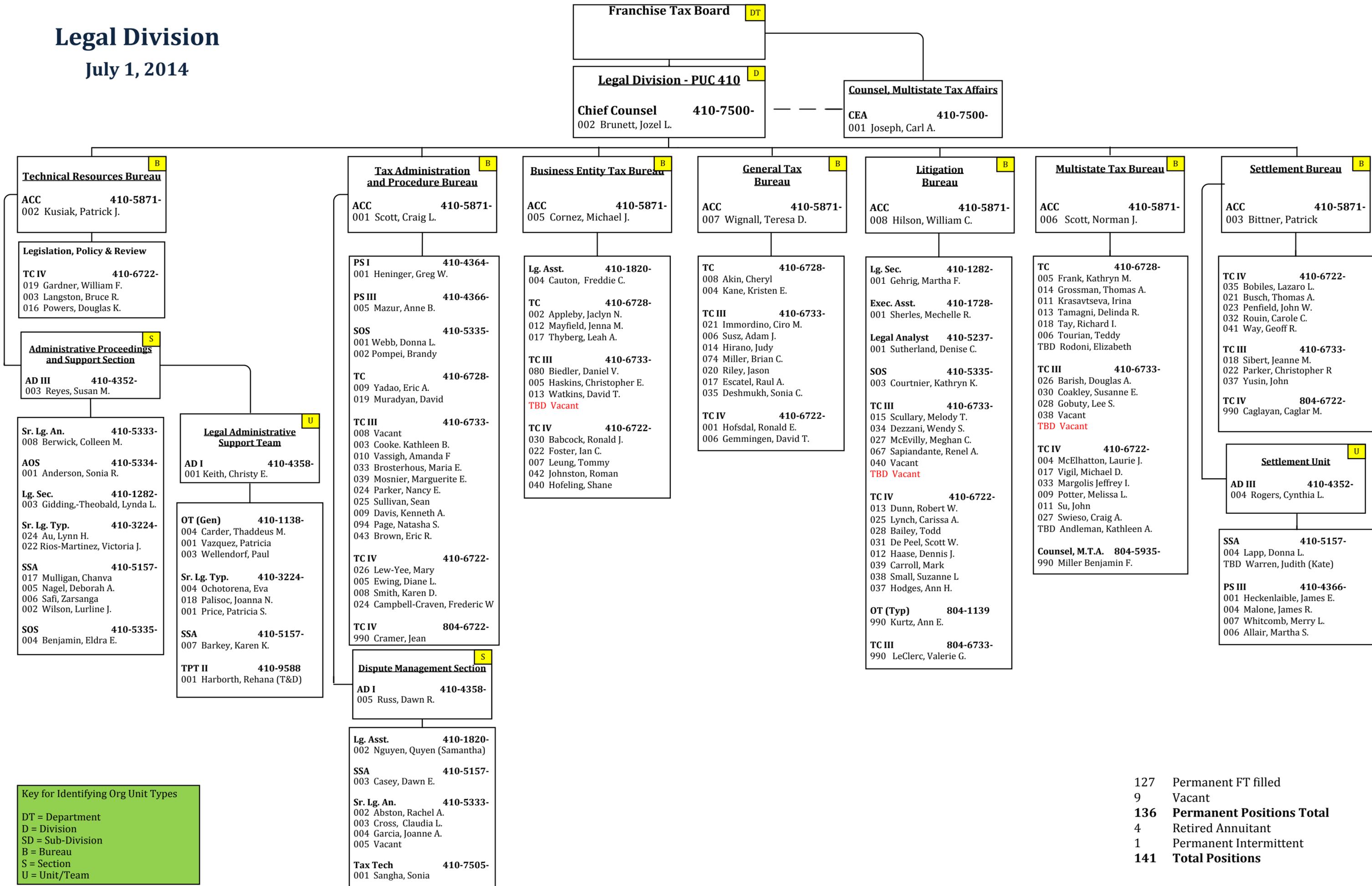
4 Permanent FT filled
 0 Vacant
 5 Permanent Positions Total
 1 Vacant
 1 Permanent Intermittent Positions
 0 Retired Annuitant
 0 Student Assistant
 0 Seasonal Clerk
 6 Positions Total

Equal Employment Opportunity		S
PUC 187		
AD II		4357
002 Ellen L. Clemente		

APA		5142
001 Wendy Ebro		
002 Christina Chaw		
003 Shyla D. Wimple		
005 Po-Wen Leung		
xxx Vacant		
SSA		5157
990 Serena Diaz		

Legal Division

July 1, 2014



Key for Identifying Org Unit Types
 DT = Department
 D = Division
 SD = Sub-Division
 B = Bureau
 S = Section
 U = Unit/Team

127 Permanent FT filled
 9 Vacant
136 Permanent Positions Total
 4 Retired Annuitant
 1 Permanent Intermittent
141 Total Positions

**Economic & Statistical
Research Bureau
Unit 516**
Proposed 07/01/2014

Economic & Statistical Research Bureau B
PUC 516
CEA III 7500
001 Scott Reid

Position Key
38 Filled Perm Positions
2 Vacant
01 Retired Annuitant
03 Temp Help

Sr Prog Analyst 1583
001 Suchada Hall
003 Blake Beaudry
Tax Res Spec III 5036
001 Teresa Lovell

Statistical Research And Modeling Section S
AD III 4352
001 Lawrence Gilbert

Revenue Analysis Section S
AD II 4357
002 Mandy Hayes

Tax Policy Section S
AD III 4352
002 Allen Prohofsky

Personal Income Tax Unit U
AD II Proposed

Business Entities Unit U
AD I 4358
001 Jame Eiserman

Revenue Analysis Section
Prog Spec II 4365
002 Anna Lok
Tax Research Spec II 5030
005 Bagher Modjtahedi
Assoc. Tax Auditor 4361
001 Tammy Gobuty
007 Raquel Guarin
Program Spec I 4364
002 Carol Eley
005 Janice Berg
003 Wendy Cramer
006 Jessica Deitchman
AGPA 5393
001 Vacant

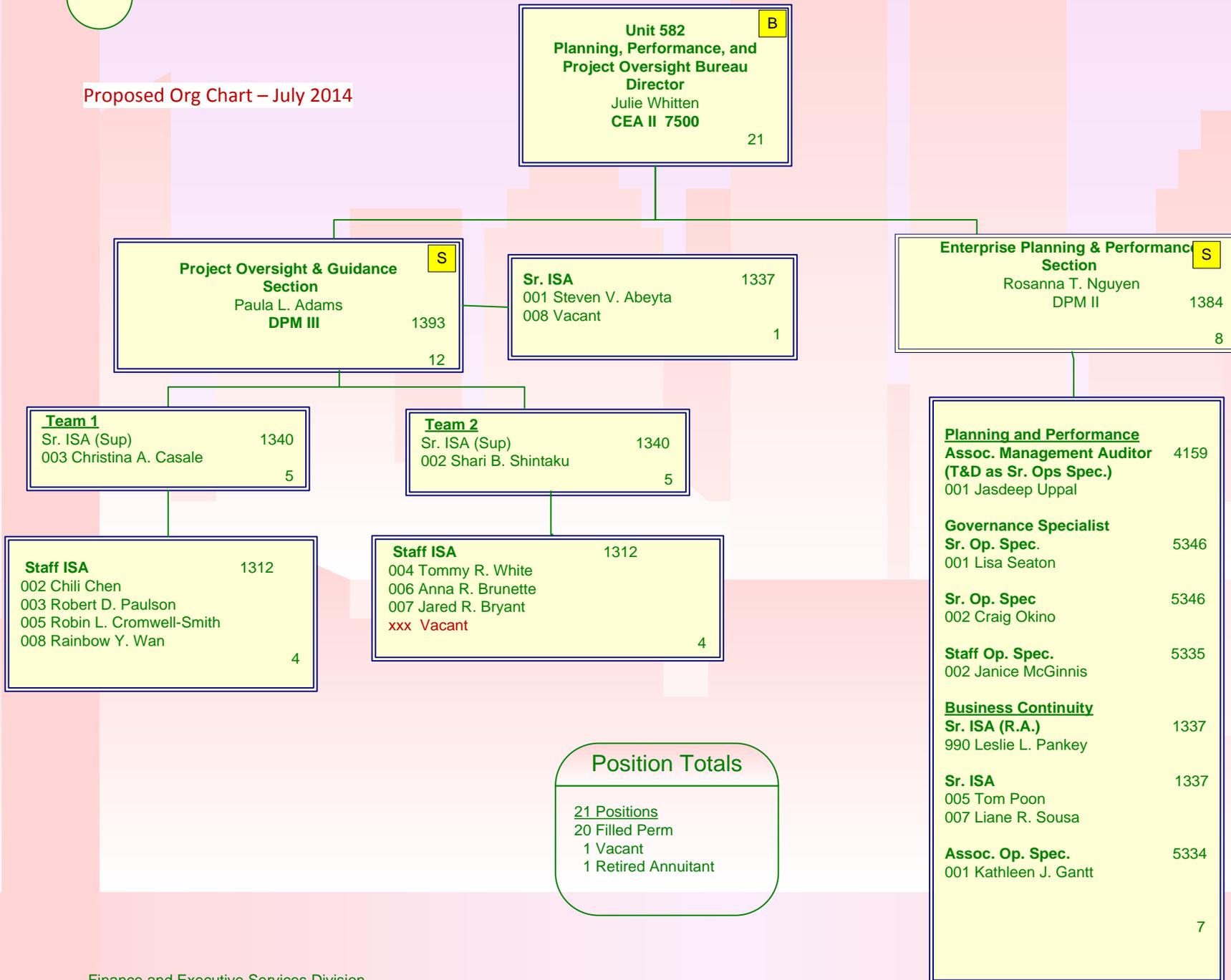
Tax Policy Section
Reviewers
AD III 4352
004 Mari Aday
Tax Res Spec III 5036
003 Hoang Nguyen
990 Jeff Garnier (RA)
Assoc. Tax Research Sp. 5022
006 Sean Lawrence
005 David Kauper
Staff Services Analyst 5157
005 Bernadette Daugherty

Personal Income Tax Unit
Sr Prog Analyst 1583
002 Bill Wade
Tax Res Spec I 5023
001 Larry Vittitow
Tax Res Spec II 5030
003 Loi Quan
Res Prog Spec I 5742
001 Shannon Speaks
Assoc Ops Spec 5334
003 John Williams
Research Analyst II 5731
008 Melissa Jakabosky
004 Pam Brentlinger
006 Aveena Jones
002 Lisa Lakin
Research Analyst I 5729
007 Vacant

Business Entities Unit
Staff Prog Analyst 1581
003 Bill Hackett
Tax Res Spec I 5023
007 Berhanie Abebe
Research Analyst I 5729
003 Sofia Kuzmin
002 Kevin Banks
005 Gregory Radke
MST 5278
001 Gloria Argueta
Tax Prog Tech II 9588
002 Devendra Prasad
Tax Prog Tech I 9587
002 Kristi Marx
KDO 1419
xxx New
xxx New
xxx New

Planning, Performance, and Project Oversight Bureau

Proposed Org Chart – July 2014



TECHNOLOGY SERVICES DIVISION
 INFRASTRUCTURE SERVICES BUREAU
 PUC 772
JULY 2014 PROPOSED

DATABASE SUPPORT SECTION S
 PUC 772
 DPM III 1393
 002 Susanna P Chung
 (34/1)

Database Architecture & Project Management
 (1) SSS III 1367

U
DB2 & ADABAS & ORACLE DATABASE SUPPORT
 (1) SSS III (Sup) 1559
 002 Harry J. Ezray
 (16)

U
SQL SERVER & SYBASE DATABASE SUPPORT
 (1) SSS III (Sup) 1559
 004 Mark D Cooley
 (16)

(1) DPM III 1393
 990 Mahmood Sitarian
 (1)

ADABAS & DB2 z/OS Database Support
 (5) SSS III 1367
 (10) SSS II 1373

SQL Server Database Support
 (1) SSSIII 1367
 (6) SSS II 1373
 (1) SSS I 1587
 (1) SSSII 1373
SYBASE Database Support
 (2) SSSIII 1367
 (3) SSS II 1373
 (1) SSS I 1587

Total Positions: 34

COMMAND CENTER SERVICES SECTION **S**
 Jared C Johnson
 DPM III
 774-1393-004
 (76)

OPERATIONS UNIT – SWING **U**
 (1) DPM II 1384
 003 Robert B Landingham
 (20)

OPERATIONS UNIT – DAYS **U**
 (1) DPM II 1384
 001 Vacant
 (28)

OPERATIONS UNIT – GRAVE **U**
 (1) DPM II 1384
 002 Jeffrey F Madeira
 (20)

ADMINISTRATIVE & FACILITIES SUPPORT UNIT **U**
 (1) DPM II 1384
 004 Toni D Fowler
 (7)

**Data Exchange
 Production and Services**
 (2) Staff ISA 1312
 (3) Assoc. ISA 1470
 (1) Asst. ISA 1479

LEADS/SME
 (1) Staff ISA 1312
 (1) Sr. ISA (Scheduling) 1337
 (1) Sr ISA/Lead (DG) 1337
 (1) Sr ISA/Lead(NOC) 1337
 (2) Sr. ISA (Spec Proj) 1337

**Enterprise Output Support
 and Services- DAYS**
 (1) Sr. ISA/Lead 1337
 (3) Assoc. ISA 1470

Facilities Management **U**
 (3) Staff ISA 1312
Admin Support
 (1) M&S Specialist 1506
NOC
 (1) Staff ISA 1312
 (1) Asst. ISA 1479

SWING 1 **U**
 (1) DPM I 1381
 005 Paul D Smith
 (6)

SWING 2 **U**
 (1) DPM I 1381
 009 Dwayne M Thomas
 (7)

DAYS 1 **U**
 (1) DPM I 1381
 007 Anthony C Robinson
 (9)

DAYS 2 **U**
 (1) DPM I 1381
 010 Ricky Felix
 (12)

GRAVE 1 **U**
 (1) DPM I 1381
 008 Robert Lopez
 (10)

GRAVE 2 **U**
 (1) DPM I 1381
 003 Michael Allan R Keh
 (5)

NOC SWING
 (3) Assoc. ISA 1470
 (1) Asst ISA 1479
 (1) Asst ISA/Assoc ISA 1479/1470

Command Center SWING
 (3) Assoc ISA 1470
 (3) Asst. ISA 1479

Data Guidance Support - Days
 (1) Staff ISA 1312
 (7) Assoc. ISA 1470

NOC -Days
 (6) Assoc. ISA 1470
 (3) Asst. ISA 1479
Command Center – Day
 (2) Staff ISA 1312

Command Center GRAVE
 (4) Assoc ISA 1470
 (2) Asst. ISA 1479
 (1) CO 1353
NOC GRAVE
 (1) Asst ISA 1479
 (1) Staff ISA 1312

Data Guidance Support - Graveyard
 (1) Staff ISA 1312
 (3) Assoc. ISA 1470

**TECHNOLOGY SERVICES
DIVISION
PUC 777
JULY 2014 Proposed**

**ENTERPRISE SERVICES
SECTION**
Daryl C Lee
DPM III
777-1393-002
(45)

S

**SERVICE REQUIREMENTS
& TESTING**

U

(1) DPM II 1384
001 Rayna L. Zanzi
(18)

(2) Sr ISA 1337
(7) Staff ISA 1312
(7) Assoc ISA 1470
(1) Staff ISA 1312

INTERNET SERVICES

U

(1) SSS III (Sup) 1559
002 Robert L Silvey
(15)

(1) SSS III 1367
(7) SSS II 1373
(1) SSS I 1587

(1) SR ISA 1337
(1) Staff ISA 1312

(1) Sr PA 1583
(1) Staff PA 1581

(1) SSS II 1373

**CCP ARCHITECTURE &
DEVELOPMENT**

U

SSS III (SUP) 1559
004 Christine W Wu
(11)

**Developers & Framework
Support**

(1) SSS III 1367
(4) SSS II 1373

(2) Sr. PA 1583
(3) Staff PA 1581

Total Positions: 45

Filing Methods and Budget Bureau
 Phillip Gray
 CEA II
 735-7500-001
 67.5

Perm Filled Positions:	60.5
Perm paid from temp help:	7
Temp Positions:	0
Total Positions:	67.5
14/15 WG BCP	4

e-Programs and Budget Section
PUC 735
 Allen Wilson
 AD III
 735-4352-002
 35.5

Tax Forms Development And Distribution Section
PUC 723
 Holly Browning
 AD III
 723-4352-001
 31

e-Programs Project Specialist
 Sr. ISA 735-1337
 002 Alison Adams
 1

e-Programs Service and Analysis Unit
 Chris Reali
 DPM II
 735-1384-001
 12

e-File Processing and Analysis Unit
 Sean E McDaniel
 DPM II
 735-1384-002
 10

Filing Analysis and Budget Unit
 Amelia Russell
 AD II
 735-4357-001
 11.5

Tax Forms Development Unit
 Leander Jones Jr.
 AD II
 723-4357-001
 13

Customer and Publication Services Unit
 Mark Roth
 AD I
 723-4358-001
 15

Tax Forms Policy Specialists II
 PS II 723-4365
 002 Hope S Jones
 003 Tsion S Getachew
 2

e-Services Project Specialist
 Sr. ISA 1337
 006 Jonna J Pedrioli

Interactive e-Services
 Sr. ISA 1337
 Henry Barrientos

Staff ISA 1312
 001 Amy Clement
 002 Clifford H Fortuno
 004 Brian K Scott
 006 Kellidee S Little
 007 Diana L Hembree
 010 Donna Bartkowiak
 012 Irma Garcia
 013 Jennifer Withers

AISA 1470
 911 Sheila Schwartz 11

Staff ISA 1312
 Vacant per BL 12-03

e-Filing Project Specialist
 Sr. ISA 1337
 004 Roberta M Henry

e-File Processing Team
 Sr. ISA 1337
 003 Catherine Maydahl

Staff ISA 1312
 003 Norma Gutierrez
 011 Mary I Fuentes

AISA 1470
 011 Christine R Diller
 013 Sharon R Yamamoto
 001 Michael B Yu
 016 Jeffrey L Presler

CR 8619
 001 Heather Maire (T&D AISA)

Program Support
 SOS 5335
 004 Trent D Younger

SOS 5335
 003 Edward Matulis

SSA (-5) 5157
 500 Margaret A Mohr

Resource Management Team
 Sr. SOS 5346
 001 Alfred Lung

AOS 5334
 001 Mui Phu
 003 Abel Rodriguez
 004 Genessa R Maestas
 005 Howard N Foust

SSA 5157
 002 Alisa A Mellendez-Collier
 911 Jenny Mocc

Timekeeper
 OT (Typing) 1139
 911 Carmen Luna 10.5

SOS 5335
 Vacant per BL 12-03

AOS 5334
 Vacant per BL 12-03

OT 1139
 Vacant per BL 12-03

Tax Forms Senior Technical Specialist
 PS II 4365
 004 Richard P Padilla

Tax Forms Technical Leads
 PS I 4364
 001 Julie J Harris
 005 Clifton Sams
 006 Kim T Vo
 007 Kristee E O'Neil

Tax Forms Analysts
 ATA 4361
 001 Janet L Kawamoto
 003 Ernest Feliciano
 004 Elizabeth C Snyder
 006 Angelica M Arbis
 008 Christina Gutierrez
 911 Chanel Yates
 911 Muoi Si
 xxx Vacant
 xxx Vacant 12

ATA 4361
 Vacant per BL12-03
 ATA 4361
 Vacant per BL-12-03

Computerized Tax Processors and Publication Services
 SISA 1312
 001 Keith Kerns

SOS 5335
 004 Elsa Tovar

AOS 5334
 006 Jayson Gottman
 007 Clarita Landes

SSA 5157
 002 Lisa I Stanley

Translation Team
 SOS 5335
 001 Lupe Ramos de Flores
 002 Yessika Ramirez

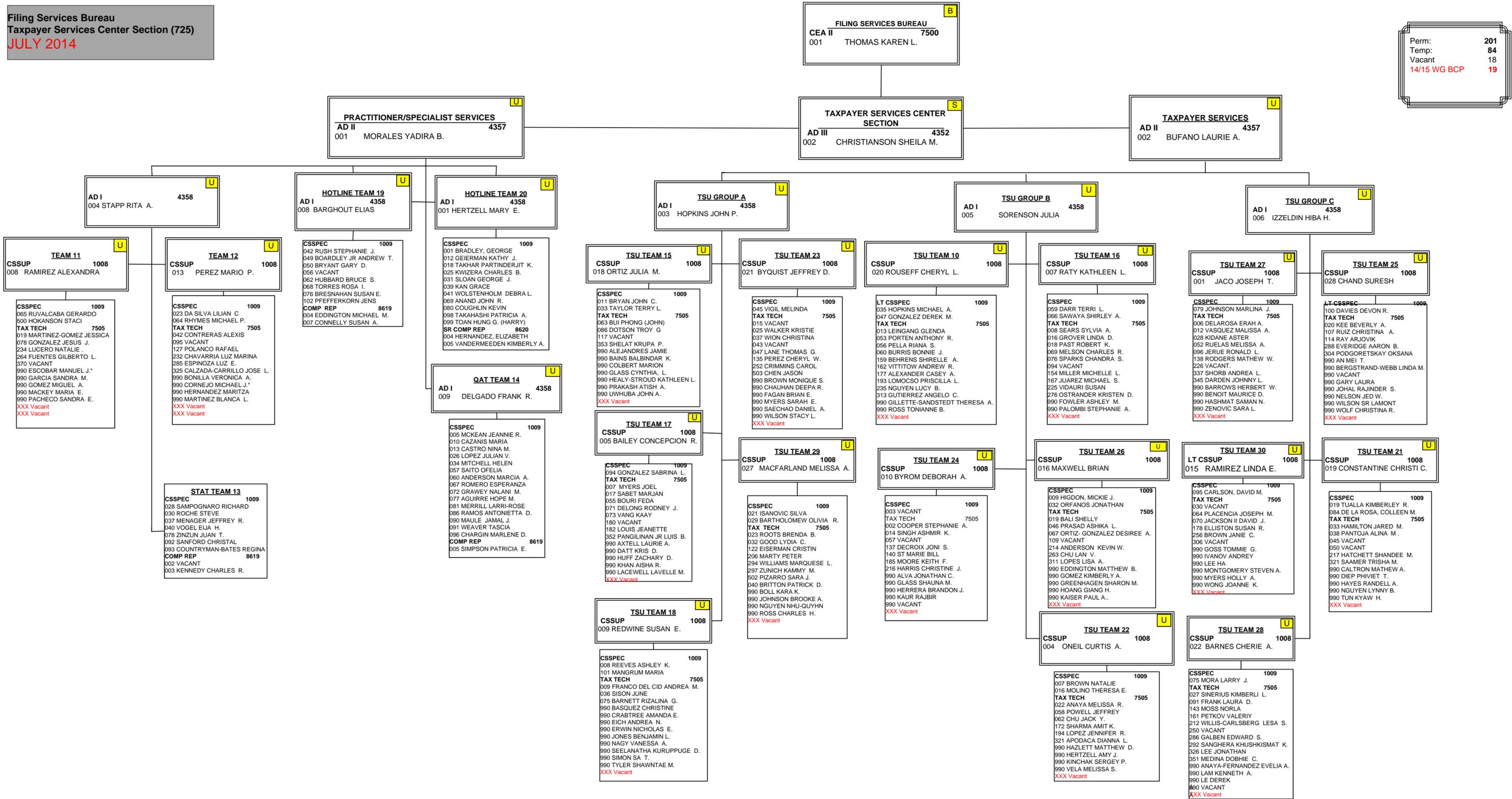
AOS 5334
 003 Marialina Zumbado

e-Programs Customer Service
 CR 8619
 004 Alfonso C Rivera

Tax Tech 7505
 001 Lisa K Locke
 002 Clifton L Nessmith
 006 Matthew D Brown
 911 Amanda Abella
 911 Raul A. Guzman
 xxx Vacant
 xxx Vacant 14

TT 7505
 Vacant per BL 12-03
 TT 7505
 Vacant per BL12-03

Perm:	201
Temp:	84
Vacant:	18
14/15 WG BCP:	19



Filing Division
Processing Services Bureau
 Information Validation Section PUC 732
 July 2014

Information Validation Section **S**
 PUC 732
 AD III 4352
 003 Simoneau, Estella L.

IVS Timekeeper
 OT (T) 1139
 001 Doty, Denise L.

IVS Production **U**
 Group 1
 AD I 4358
 004 Berthelot, Jan M.

EDR/Special Projects
 PS II 4365
 001 Medina, Rebekah J

Support **U**
 AD II 4357
 002 Ortega, Melanie M.

IVS Production **U**
 Unit 1
 OSM I 1103
 001 Rhodes, Shelton L.

IVS Production **U**
 Unit 2
 OSM I 1103
 008 Getman, Diane C.

RV/CV **U**
 Unit 1
 TPS 9589
 013 Fraumeni, Robert

Priors **U**
 TPS 9589
 004 Nasca, Robert J.

Non-Resident **U**
 TPS 9589
 031 Dixson, Patricia J.

Data Inspector **U**
 TPS 9589
 011 Terry II, Donnie

AVU **U**
 TPS 9589
 990 Frasche, Grace

FIDS **U**
 TPS 9589

TPT II 9588
 090 McQuown, Sherrie L.
 094 Brandle, David M.
 TPT I 9587
 034 Cecchettini, Jeffrey J.
 098 Lopez, Maria E.
 214 Gutierrez, Antonia
 262 Sims, Susan M.
 TPA 1474
 008 Lloyd, Christopher
 009 Neider, Lindsay E.
 012 Philipsen, Linda J.
 027 Farnworth, William
 130 McCracken, Susan
 PI TPA 1474
 990 Luna, Ruben C.

TPT II 9588
 012 Ford, Debra A.
 143 McElwain, Sheryl A.
 151 Sims, Charles D.
 TPT I 9587
 004 Lewis, Michael G.
 039 Robinson, Antoinette
 045 Pratt, Thomas
 204 Garcia, Eduardo R.
 250 Casias, Thomas L.
 TPA 1474
 072 Montero, Anna M.
 149 Collins, Tori L.
 PI TPA 1474
 990 Pena, Lupe D.
 990 Ventolieri, Shawna M.

TPT II 9588
 016 Kaanana, Jo-Venus
 083 Tiu, Gigi D.
 132 Salerno, Patricia K.
 TPT I 9587
 008 Chan, Kenny W.
 027 Lee, Nancy Y.
 138 Zermenio, Graciela
 TPA 1474
 001 Gomez, Sally M.
 004 Pacheco Linda
 005 Foster, Priscilla M.
 017 Balderas, Christina
 038 Gallardo, Andrea
 PI TPA 1474
 990 McKenzie, Melinda L.

TPT II 9588
 010 Ogle, Evelyn
 084 Silva, Kimberly D.
 150 Daniel, Elizabeth J.
 TPT I 9587
 001 Gagnon, Michele R.
 003 Hearst, Steven D.
 009 Dente, Rosa A.
 026 Branum, Joshua M.
 028 Nau, Katie M.
 030 Darula, Christopher
 086 Stark, Bonnie J.J.
 129 Rocha, Maria M.
 170 Alonza, Ermelinda
 198 Smith, Peter N.
 253 Jimenez, Barbara R.
 272 Carsey, Philip L.
 990 Goza, Christopher S.

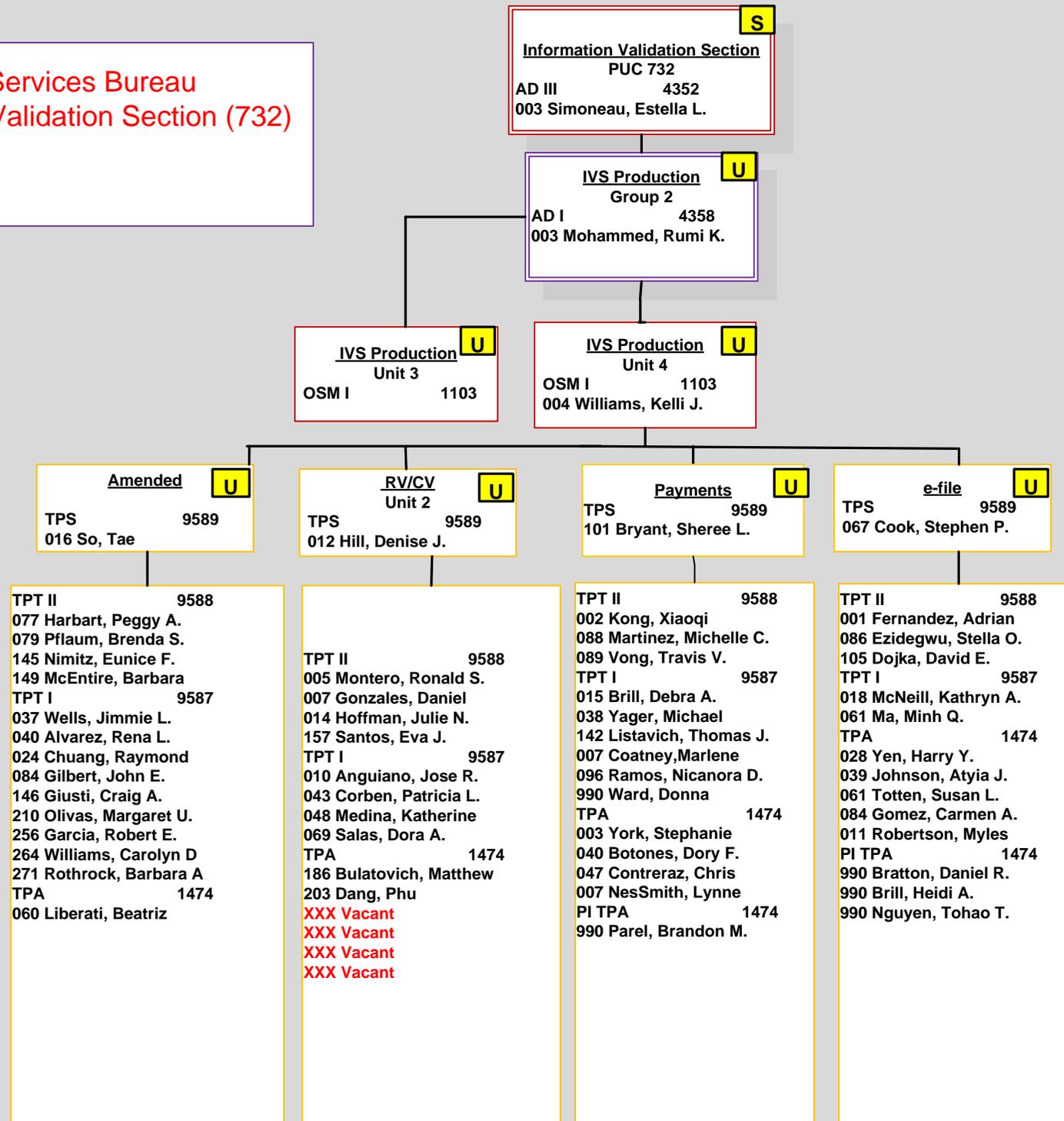
TPT II 9588
 003 Diaz, Felipe
 053 Wong Jr, Ronald
 092 Perkins, Barbara J.
 093 Franklin, Robert C.
 101 Freedman, Akemi
 TPT I 9587
 049 Sanchez, Esther Joy
 050 Chapman, Wayne L.
 093 Poe, Stephanie A.
 013 Rios-Wright, Angel
 TPA 1474
 041 Boone, April T.
 065 Rodrick, Elizabeth
 PI TPT I 9587
 990 Yui, Michael Y.

TPT II 9588
 026 Shead, Connie F.
 127 Sztamari, Martha
 TPT I 9587
 023 Lockstrom, John
 058 McGee, Ila R.
 089 Goodin, Joy C.
 179 Paz, Isabel
 251 Alejandro, Jose
 TPA 1474
 006 Savaia, Henrietta B.
 022 Sharma, Vijay K.
 024 Davis, Louise
 036 Helm, Marquelle
 PI TPT I 9587
 990 Weinzetl, James
 PI TPA 1474
 990 Benoit, Harry T.
 990 Mars, Monica K.
 990 Resendez, Jesse N.

IVS Training & Procedures
 TPT II 9588
 004 Robinson, Veronica
 030 Whisenant, Thelma D.
 055 Shaner, Gary W.
 144 Pardo, Adrian J.

Auditors/Analysts
 AOS 5334
 002 Johnson, Sheila R.
 SSA 5157
 002 Simpson, Daniel M.
 990 Kofoed, Kyle A.
 XXX Vacant
 PS I 4364
 001 Reyes, Maria V.
 004 Abero Jr. Hermogenes
 005 Hayes, Adriana G.
 990 Servando, Shannon
 TPT II 9588
 006 Bouschet, Tracy R.
 009 Jimenez, Carolyn D.
 060 Jee, Sophie

Processing Services Bureau
Information Validation Section (732)
July 2014



144 Permanent FT Filled
5 Perms in Temp Help Funds
154 Total Perm Positions
2 Permanent Intermittent TPT I
11 Permanent Intermittent TPA
0 Seasonal Clerks
0 Student Assistants
0 Retired Annuitant
13 Temporary Positions
5 14/15 WQ BCP

JULY 2014

Unit 767
Withholding Services & Compliance Section
002 Monica Trefz
Admin III 4352
(65)

Permanent:	60
Vacant:	02
Temps:	02
Total Positions:	64
14/15 WG BCP	6

Withholding Service Program U
ADM II 4357
001 Yvonne M Crankfield
(41)

Withholding Compliance Program U
ADM II 4357
005 Sunu Clera Yen
(23)

Wass Project Team
Sr Ops Spec 5346
001 Elizabeth A Kilby
Staff Ops spec 5335
002 Michelle M Watson
011 Karen Dillin

Public Service U
ADM I 4358
009 Jacqueline Logan
(19)

Operations Support U
ADM I 4358
911 Sara Brooks
(17)

Discovery and Education & Outreach Team U
ADM I 4358
002 Elizabeth Cates-Gentry
(14)

Audit Team U
ADM II 4357
005 Kenneth J Verdon
(7)

Program Support
Prog Spec II 4365
001 Linda Castles
(1)

Public Service Team I
Comp Rep 8619
010 Cody Flowers
Tax Tech
008 Attija Brewer
009 Debra L Davis
015 Analisa B Espinoza
095 Lawrence W O'connor
103 Kirk G Willis
092 Megan Karnesky
911 Jennifer R Bowman
911 David Pham
XXX Vacant
XXX Vacant
Public Service Team II
Comp Rep 8619
003 James Mike Bailey
Tax Tech
003 Kashma Rikhye
017 Brian Barnes
021 Kasey Velez
049 Yelena I Sushch
067 Elizabeth A Godzick
097 Raul U Fernandez
911 Kasey Burns
911 Paola Basso
XXX Vacant
XXX Vacant
XXX Vacant
(23)

Technical Support
Sr Comp Rep 8620
001 Diane K Brown
Comp Rep
011 Robert E Carter
Tax Tech
013 Vacant
065 Mark Feist
070 Robert K Phelps
Bureau Support
Comp Rep 8619
018 Chad Overstrom
TPTI 9587
005 Enriqueta Gallegos
007 Gloria R Lagpacan
009 Latia E Smith
015 Hemlata J Patel
032 Tracey L Nielson
036 Bobby Finch
500 Kamini K Patel
911 Reina Mapa
Seasonal 1120
990 Tanisha Knox
990 Stephanie G McLaughlin
(16)

Discovery Team
Sr Comp Rep 8620
003 Connie Childs
Comp Rep 8619
001 Brian D Maydahl
002 Jose Gutierrez
005 Robert P Rabang
007 Sonia A Caramazza
008 Jessica K Pham
013 Bethany G Kinney
015 Vacant
016 Deidra A Cervantes
Education & Outreach Team
Staff Ops Spec 5335
007 Mona Lorenzo
002 Maureen E Feaster
Assoc Ops Spec 5334
001 Eugene Hao
Sr Comp Rep 8620
002 Prenita Devi
Staff Services Analyst
XXX Vacant
(13)

Audit Team
Program Spec 4364
002 Tiffaney Armstrong
ATA 4361
002 Daisy Sanchez
001 Megha Gupta
Tax Auditor 4362
003 Georgina N Fong
004 Becky Gong
NITS
Comp Rep 8619
004 Carol Anderson
(6)

JULY 2014

Unit768 S
Fraud & Discovery Section
 001 Jennifer Roussel
 Admin III 4352
(87)

Permanent:	86
Retired Annuitant:	2
Temp:	8
Total:	96
14/15 WG BCP	4

