

Per California Code of Regulations, title 2, section 548.5, the following information will be posted to CalHR's Career Executive Assignment Action Proposals website for 30 calendar days when departments propose new CEA concepts or major revisions to existing CEA concepts. Presence of the department-submitted CEA Action Proposal information on CalHR's website does not indicate CalHR support for the proposal.

**A. GENERAL INFORMATION**

1. Date

June 23, 2017

2. Department

California State Lottery

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

Security/Law Enforcement Division (SLED)/Field Investigations

4. CEA Position Title

Deputy Director Field Investigations

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

The proposed Chief, Field Investigations (CFI) will be the third-in-command executive position within Security/Law Enforcement Division/Field Investigations (SLED). The CFI will be responsible for overseeing and administering the functions of statewide field investigations which include five regions; Los Angeles Basin Region, San Diego/Santa Ana Region, Inland Rancho Region, Bay Area Region and Sacramento/Valley Region. The CFI will provide strategic planning, policy direction, and goals for field Investigations to ensure effective, efficient and consistent management of SLED's operations throughout the five regions. Within Lottery field operations, the CFI will administer staffing, budgeting, training and coordination of the law enforcement and security programs. Additionally, the CFI will be directly responsible for highly complex and sensitive law enforcement issues. In this role, the CFI will prioritize issues, direct the most sensitive and/or complex security operations and related investigative projects; and establish and maintain cooperative relations with local, state and federal law enforcement agencies. The CFI will report directly to the Assistant Deputy Director of SLED.

6. Reports to: (Class Title/Level)

Assistant Deputy Director, Security/Law Enforcement Division

7. Relationship with Department Director (Select one)

- Member of department's Executive Management Team, and has frequent contact with director on a wide range of department-wide issues.
- Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(Explain): The nature and sensitivity of the work performed by the SLED field operations staff who report to the CFI will necessitate frequent contact between the CFI and members of the Executive Management Team including the Director.

8. Organizational Level (Select one)

- 1st  2nd  3rd  4th  5th (mega departments only - 17,001+ allocated positions)

**B. SUMMARY OF REQUEST**

9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

The Chief, Field Investigations will be responsible for the oversight and administration of the functions of Field Investigations which includes five (5) regions – Los Angeles Basin Region, San Diego/Santa Ana Region, Inland Rancho Region, Bay Area Region and Sacramento/Valley Region. The incumbent will be directly responsible for the development and implementation of the statewide policies, procedures, guidelines and safeguards that are required to facilitate highly complex and sensitive law enforcement and administrative functions. This leadership position will play a pivotal and critical role within the Lottery and the program by providing administrative direction and guidance to Security/Law Enforcement Division (SLED) field investigative staff.

The Chief, Field Investigations will be responsible for the planning, policy creation and enforcement, direction, and formulation of goals for SLED Field Investigations statewide. This oversight will ensure efficient and consistent management of the Lottery's statewide enforcement and security operations.

The Chief, Field Investigations will provide management direction and advise Division personnel on policies, procedures and resources in the areas of law enforcement, workload data and security and communications systems to ensure the policies and procedures of SLED and the Lottery are implemented. The Chief, Field Investigations will administer and direct the planning, staffing, budgeting, training and coordination of the enforcement and security programs within Field Investigations. The incumbent is also responsible for the development of cooperative working relationships with the media, law enforcement, public, community organizations, State, Local or Federal governments.

The Chief, Field Investigations is responsible to prevent unauthorized removal of Lottery equipment and records from Lottery premises and buildings. The Chief, Field Investigations will evaluate, coordinate and direct necessary changes in all areas of the California State Lottery's (Lottery) Field Investigations and make recommendations to the Assistant Deputy Director and Deputy Director as warranted. In the absence of the Assistant Deputy Director, the Chief, Field Investigations will represent the program at executive meetings.

**B. SUMMARY OF REQUEST (continued)**

10. How critical is the program's mission or purpose to the department's mission as a whole? Include a description of the degree to which the program is critical to the department's mission.

- Program is directly related to department's primary mission and is critical to achieving the department's goals.
- Program is indirectly related to department's primary mission.
- Program plays a supporting role in achieving department's mission (i.e., budget, personnel, other admin functions).

Description: The mission of the Lottery is to provide supplemental funding for public education through the sale of Lottery products. As the Chief of Field Investigations, the incumbent is responsible for the administration and oversight of the statewide field investigations staff who deal with oftentimes complex and sensitive law enforcement issues related to the sale of Lottery products. The Chief, Field Investigations will provide strategic organizational direction and oversight to the Lottery's field investigation operations and manage an operations budget in excess of \$5.5 million.

The Chief, Field Investigations will oversee the functions of statewide field investigations which include five regions – Los Angeles Basin Region, San Diego/Santa Ana Region, Inland Rancho Region, Bay Area Region and Sacramento/Valley Region. The work of SLED field investigative staff is to investigate criminal activity that could threaten or impugn the credibility and/or integrity of Lottery operations. Accordingly, the administrative direction and policy guidance provided by the Chief, Field Investigations is pivotal to the implementation of the consistent operational policies, processes and procedures required for the successful completion of the Lottery's mission.

The Chief, Field Investigations is a member of the SLED senior management team and is the third-in-command executive position within SLED.

The absence of this mission critical position would have an adverse impact on the Division's effectiveness and jeopardize the fairness, objectivity, honesty and integrity of Lottery operations throughout the State.

**B. SUMMARY OF REQUEST (continued)**

11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

The Lottery was contacted in January 2016 by the California Department of Human Resources (CalHR) regarding the Chief, Lottery Agent, a civil service classification. CalHR recommended that the Chief, Lottery Agent position be abolished and re-classified to a Career Executive Appointment (CEA) position due to the Class Consolidation Project, a civil service initiative intended to reduce the number of civil service classifications. At CalHR's request, the Lottery agreed to re-classify the Chief, Lottery Agent to a CEA position (Chief, Field Investigations) once the position was vacated. The position was vacated in July 2016 and there is a need to fill it as soon as possible. Temporarily, the position is being filled via an Interagency Agreement with the California Highway Patrol. The Chief, Lottery Agent classification has been designated for elimination and is currently in the process of being abolished by CalHR.

### C. ROLE IN POLICY INFLUENCE

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principle policy maker. Each example should cite a policy that would have an identifiable impact. Include a description of the statewide impact of the assigned program.

**\*Use of Force Policy:**

This policy has a direct impact on the overall operation and daily activities of sworn personnel throughout the State. This policy has a substantial impact on the way sworn personnel interact with the public in a variety of situations. This policy has historically been of very high scrutiny by lawmakers, media, and the public. This policy and implementation has a tremendous impact on potential liability for the Lottery.

**\*Vehicle Use policy – (emergency vehicle operation, pursuits, etc.):**

This policy has a direct impact on the overall operation and daily activities of sworn personnel throughout the State. This policy has a substantial impact on the way sworn personnel interact with the public. This policy has historically been of very high scrutiny by lawmakers, media, and the public. Safe, professional, and courteous vehicle operation is essential as sworn personnel regularly travel several hundred miles per day to perform their duties.

**\*Search and Seizure – (4th Amendment Rights):**

This policy has a direct impact on the overall operation and daily activities of sworn personnel throughout the State. This policy has a substantial impact on the way sworn personnel interact with the public and this policy has historically been of very high scrutiny by lawmakers, media, and the public. This policy requires periodic updating as case law evolves the implementation of Search and Seizure.

**\*Investigations:**

Direct statewide impact on the efficiency and effectiveness of Investigators as they perform their primary duty, investigations of both criminal and administrative violations.

**\*Firearms:**

This policy is officer and public safety critical. This policy has a direct impact on the overall operation and daily activities of sworn personnel throughout the State. This policy has a substantial impact on the way sworn personnel interact with the public in a variety of situations, and this policy has historically been of very high scrutiny by lawmakers, media, and the public. This policy and implementation has a tremendous impact on potential liability for the Lottery.

**\*Workplace Violence and Substance Abuse Programs:**

Chief, Field Investigations oversees the policy related to these two critical programs which are directly related to Lottery employee safety and well-being.

The above policies require the Chief, Field Investigations to function as a risk manager related to these policies as there is potential for significant liability to the Lottery and decisions made by the Chief, Field Investigations can have a broad effect.

**C. ROLE IN POLICY INFLUENCE (continued)**

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

The mission of the Security and Law Enforcement Division (SLED) is to protect the assets of the Lottery - both human and fiscal - while ensuring the highest level of operational integrity, security, honesty and fairness. The proposed Chief, Field Investigation's scope and nature of decision-making authority will play a pivotal and critical role in the achievement of SLED's mission. This leadership position will provide administrative direction and policy guidance to SLED field investigative staff to ensure effective, efficient and consistent management of a key area within SLED's operations. Field Investigations consists of five (5) regions within Northern and Southern California which includes nine (9) district offices and the Southern Distribution Center. These investigations staff comprise SLED's field operation and are responsible for maintaining the fairness, objectivity, honesty and integrity of the California Lottery activities throughout the State.

The Chief, Field Investigations will be responsible for overseeing and administering the statewide functions of Field Investigations. Field Investigations provides the street-level enforcement of California Lottery policies and procedures and monitors complaints concerning retailers and/or players. During investigations of alleged criminal activity relating to Lottery products, Investigators work cooperatively with various local, State, and Federal law enforcement agencies. The work performed by Lottery Investigators directly impacts the general public's perception of the Lottery's integrity, honesty and fairness.

The Chief, Field Investigations will provide policy direction, develop the strategic plan, ensure that staff meet peace officer standards, and establish goals for Field Investigations. The position will also administer staffing, budgeting, and coordinate the law enforcement and security programs within field operations. The Chief will be directly responsible for highly complex and sensitive law enforcement issues; and will direct daily security operations and related investigative projects as needed. The Chief, Field Investigations also will have a critical role in the Division's audits and inspections process for critical programs such as evidence, criminal investigations, and vehicle operations.

Additionally, as a member of the SLED management team, the Chief, Field Investigations provides advice and technical expertise regarding field operations to the Deputy Director of SLED. Also, as needed, the Chief attends meetings on behalf of the SLED Deputy Director and as such, has additional decision making authority when operating in that capacity.

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

The Chief, Field Investigations will be directly involved in the on-going current project to review, revise and/or develop existing and new policies for Field Operations. This process involves the review of existing policy and procedures, reviewing best practices from other law enforcement agencies nationwide, along with case law, to develop sufficient and defensible policies and procedures for SLED.

The Chief, Field Investigations has five (5) Supervising Lottery Agents (SLA) direct reports. The Chief, Field Investigations has primary responsibility to interpret policy and procedure when questions arise from the SLAs and those decisions directly impact the twenty-six (26) Lottery Investigators who work statewide. This mission critical position has a direct impact on the Division's effectiveness and efficiency. Also, the decisions have a direct impact on the legislative authority for SLED, which is to ensure the fairness, objectivity, honesty and integrity of the game and Lottery activities throughout the State.