CEA POLICY CONCEPT

WHAT IS THE CEA POLICY CONCEPT?

A new Career Executive Assignment (CEA) proposal must meet the policy concept requirements of Government Code Section 18547, which states:

"Career executive assignment means an appointment to a high administrative and policy influencing position within the state civil service in which the incumbent's primary responsibility is the managing of a major function or the rendering of management advice to top-level administrative authority. Such a position can be established in the top managerial level of state service and is typified by broad responsibility for policy implementation and extensive participation in policy evolvement."

CEAs are to be limited to only the highest, most critical positions that have continuous, direct interface with department directors and constitute the executive management team. CEAs must have a decisive role in their department's policy-making, and should have regular involvement in department-wide policy and program management. The influence of the position should be comparable to other CEA positions within the department or other similar departments. Significant policy creation and program management responsibility are a mandatory aspect of CEA positions. CEA positions must possess the authority to directly influence policies or manage programs pertaining to the departmental mission. CEAs must serve as the chief policy-maker within their respective program area.

"Policies" are principles, rules, and guidelines formulated or adopted by an organization to reach its long-term goals. Policies and procedures are designed to influence and determine all major decisions and actions, and all activities take place within the boundaries set by them.

"Procedures" are the specific methods employed to express policies in action in day-to-day operations of the organization. Together, policies and procedures ensure that a point of view held by the governing body of an organization is translated into steps that result in an outcome compatible with that view.*

*Definitions provided by www.businessdictionary.com.

New policy can come from various sources, including new State and Federal legislation, regulations, and other higher level policies such as Executive Orders. A CEA may continually revise or implement existing policy if the position is required to ensure that the program/organization stays in compliance with frequently changing higher level policies, court orders, or laws and rules. Departments need to keep in mind that there is a distinction in responsibility between:

·Positions having authority for making high-level policy decisions that have broad impact beyond the program area, versus
·Positions that merely develop operational procedures or standards to implement policy that was developed at a higher level.

While the first may support a CEA allocation, the second alone probably would not. Developing operational procedures is not defined as high-level policy-making. The depth and breadth of the role of the individual in the development of policy is a critical consideration in determining whether a position meets the statutory requirements for a CEA.

Departments may contact their assigned CalHR Personnel Management Division analyst for consultation. A CEA position may not be appropriate if it is determined the proposed position overall has:

·Narrow, limited authority for decision-making
·An indirect or merely supporting role in achieving the department's mission
·Significant overlap with other existing CEAs or Exempts
·No examples or objectives that can actually be altered by policy
·A limited extent of impact
·No sensitivity or long-term controversy
·Low consequence of error
·Limited, internal, contacts only
·No direct contact with department director

A. REQUEST TYPE

1. Type of Request (*Select all that apply.*)

☐ **New CEA** *(Complete entire form. Public comment period required per California Code of Regulations (CCR), title 2, section 548.5.)*

☐ **Revision of Existing CEA Concept - Major Changes** *(Complete entire form. Public comment period required per CCR, title 2, section 548.5.)*

☐ **Revision of Existing CEA Concept - Minor Changes** *(Complete questions 1-16, 18, 20, 22-23, and 26-28. Public comment not required if revision is not substantial.)*

☐ **Level Change** *(Complete questions 1-13, 15-20, 22-23, and 45. If the level does not meet the Level Guidelines Worksheet found on page 6 of this form, also complete questions 14, 21, 27-32, and 37-38. CalHR approval not required for departments that have signed CEA Delegation Agreements.)*

☐ **Reactivate Inactive CEA Position - within 5 years** *(Complete questions 1-10, 15, 20, 23-26, 35-36 and any others that may apply. CalHR approval not required for departments that have signed CEA Delegation Agreements.)*

☐ **Salary Cap Increase** *(For departments with signed CEA Delegation Agreements only. Complete entire form. CalHR approval required.)*

☐ **Salary Change Only** *(For departments with signed CEA Delegation Agreements only. Complete questions 1-6, 8-10, 23, and 39-44.)*

B. GENERAL INFORMATION

2. Date	3. Department

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

5. CEA Position Title	6. Position Number

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

8. Department Human Resources Contact	Title	Phone	Email

9. Department Approving Authority Name	Title	Phone	Email

B. GENERAL INFORMATION (continued)

10. Position Function (*Select one*)

☐ Administration (ADM)

☐ Budget (BUD)

☐ Education (EDU)

☐ Engineering, Construction & Design (ENG)

☐ Financial-Investments (FIN)

☐ Health Care (HCR)

☐ Human Resources (PER)

☐ Information Technology (EDP)

☐ Legal (LGL)

☐ Legislative Analysis (MGT)

☐ Other (Explain)

☐ Public Information (INF)

☐ Public Safety, Law & Regulation Compliance (SAF)

☐ Purchasing & Property Appraisal (PP)

☐ Regional & Field Administration (RAD)

☐ Regulatory, Auditing & Review (REG)

☐ Research, Planning & Evaluation (RPE)

☐ Resource Conservation (RES)

☐ Risk Management (RMG)

☐ Social Security & Rehabilitation (SSR)

C. ORGANIZATIONAL LEVEL CONSIDERATIONS

11. Staffing

Total staff reporting to this CEA: ☐   Professional staff size: ☐   Related Bargaining Units: ☐

12. Reports to: (*Class Title/Level*)

13. Proposed CEA's Program Budget in Dollars

14. 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*):

15. Department CEA and Exempt Data

Department Size (*authorized positions per Governor's Budget*):

Total # of existing CEA positions department-wide:

Total # of existing Comma CEA positions department-wide:

Current number of staff under CEA: Proposed number of staff under CEA:

Total # of Exempt allocations department-wide: % of CEA positions to existing staff:

C. ORGANIZATIONAL LEVEL CONSIDERATIONS (continued)

16. Organizational Level *(Select one)*

☐ 1st   ☐ 4th

☐ 2nd   ☐ 5th (mega departments only)

☐ 3rd

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17. Size of Department *(# of PYs)*

☐ Small (up to 800)

☐ Medium (801 - 8,000)

☐ Large (8,001 - 17,000)

☐ Mega (17,001+)

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18. CEA Level *(Refer to CEA Level Guides Worksheet.) (Select one)*

Current CEA Level   ☐A   ☐B   ☐C   ☐N/A

Proposed CEA Level   ☐A   ☐B   ☐C   ☐N/A

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19. Position Role (*Select one*)

☐ Assistant Agency Secretary (AAS)

☐ Director/Executive Director (DIR)

☐ Chief Deputy Director (CDD)

☐ Deputy/Division Director (DDR)

☐ Assistant Deputy Director/Assistant Division Chief/Assistant Branch Chief (ASSIST)

☐ Division/Branch Chief (DBC)

☐ Program Manager (PMR)

☐ Project Manager (PRJ)

☐ High Level Staff Specialist (SPEC)

☐ Special Advisor (SA)

D. SUMMARY OF REQUEST

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

CEA LEVEL GUIDELINES WORKSHEET

The chart below indicates standard CEA allocation levels based on the department size, organizational level, and role of the CEA. If the proposed CEA Level does not meet the guidelines below, departments must also complete questions 14, 20, 26-31, and 36-37 of this form.

Size of Department	Level A				Level B			Level C	Excluded*
Small (up to 800)	2nd org level	or		3rd org level	2nd org level			1st org level	1st org level
	SPEC DBC	SA DDR	PMR ASSIST	PRJ	DDR	CDD		DDR CDD	AAS DIR
Medium (801 - 8,000)	3rd org level	or		4th org level	2nd org level or 3rd org level			1st org level	1st org level
	SPEC DBC	SA ASSIST	PMR	PRJ	DDR			CDD	AAS DIR
Large (8,001 - 17,000)		4th org level			3rd org level			2nd org level	1st org level
	SPEC ASSIST	SA	PMR	PRJ	DBC			DDR	AAS DIR CDD
Mega (17,001+)		5th org level			4th org level			3rd org level	1st and 2nd org level
	SPEC ASSIST	SA	PMR	PRJ	DBC			DDR	AAS DIR CDD

*Excluded - In rare cases when a CEA is used in lieu of an Exempt Appointee.

DEFINITIONS OF ROLES

AAS = Assistant Agency Secretary: Responsible for a single or multiple program crossing departmental lines.

DIR = Director/Executive Director: By definition or constitutional authority, the Director is the Chief Executive Officer of a department. This is the highest organizational level with responsibility for all aspects of an organization or in a mega department over significant arms of the organization.

CDD = Chief Deputy Director: Reporting to the Director, the position is at the first organizational level and like the Director is also at the highest organizational level. Positions are responsible for the administrative functions of a department and serves as the Director in his/her absence.

DDR = Deputy/Division Director: Typically responsible for one or more programmatic divisions. Positions are typically at the second organizational level. Most departments consider these positions to be at a high organizational level.

ASSIST = Assistant Deputy Director/Assistant Division Chief/ Assistant Branch Chief: Performs as an assistant to the Deputy Director, Division Chief or Branch Chief of a large program with subordinate managers. The primary function of the position is to assist with policy-making decisions, as well as, serve in the absence of the Director or Chief and/or to assist with ensuring proper oversight and administration of the program. Positions are considered mid-organizational level and are typically at the 3rd organizational level.

DBC = Division/Branch Chief: Responsibility consists of all aspects of a specific program. Positions are considered mid-organizational level and are typically at the 2nd, 3rd, or 4th organizational level. The size of the department, number of divisions in the department, and staff size are all factors considered in determining the appropriate level for this position.

PMR = Program Manager: Usually responsible for a specific program area within a division or branch. Has full management and supervisory responsibility. Administers the program through one or more subordinate supervisors. Allocations are considered to be at the lowest organizational level and typically are at the 2nd, 3rd, and 4th organizational level depending on department size.

PRJ = Project Manager: Positions assigned responsibility over a multi-million dollar project which strongly influences the development of policy pertaining to the mission of the department. Positions may be considered at the lowest or mid-organizational level and typically are at the 3rd organizational level but may be at the 2rd level for extremely large, complex and/or sensitive projects. Positions serve as the head of the project with responsibility for the overall completion of the project. The project must have a direct impact on accomplishing the mission of the department, health, safety, welfare, and/or other vital interests of the public and/or other primary customers. The project has strong media and legislative interest and is of such complexity that few persons in state service possess the capacity to accomplish the project successfully. The failure of the project could result in loss of life, loss of millions of dollars, negative media coverage, loss of faith by the public, litigation or civil or criminal investigations.

SPEC = High Level Staff Specialist: A high level staff specialist with program responsibility impacting the entire department which reports to the Directorate. Positions should only be established at Level A. Use of the SPEC at a higher level requires CalHR approval, unless the department has a CEA Delegation Agreement.

SA = Special Advisor: Positions are responsible for rendering broad management advice that significantly impacts a wide spectrum of departmental policies. Consider the extent to which the concentration of policy responsibility may weaken the policy-influencing role of line positions in the same program or department. Positions typically serve as special advisers to Boards or Commissions. Positions should only be established at Level A. Use of the SA at a higher level requires CalHR approval, unless the department has a CEA Delegation Agreement.

D. SUMMARY OF REQUEST (continued)

21. 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:

22. What has changed to create the need for the new or revised CEA?

☐ New program/increased responsibility

☐ Reorganization

☐ Court mandate

☐ Workload issue/equity issue/under-classification

☐ New federal or state law

☐ Funding change

☐ Other

D. SUMMARY OF REQUEST (continued)

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

D. SUMMARY OF REQUEST (continued)

24. Who is doing the work now?

☐ High level civil service classification   What classification? [   ]

☐ Existing CEA position

☐ Exempt appointee

☐ Other *(Explain in question 25.)*

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25. What will happen to the existing position if this proposed CEA is established? (If applicable)

E. ROLE IN POLICY INFLUENCE

26. 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.

E. ROLE IN POLICY INFLUENCE (continued)

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

28. Who will the CEA's decisions impact? *(Check all that apply.)*

- ☐ Employees within program area
- ☐ Employees within the same department
- ☐ Employees statewide
- ☐ A select group of the public in a select region of the State
- ☐ A select group of the public statewide
- ☐ A vast part of the public in a large region of the State
- ☐ A vast part of the public statewide
- ☐ A vast part of the public nationwide

29. Who is interested in the policies and decisions made by this CEA position? (Interest should be long-term, not just brief coverage due to a short-term problem.) *(Check all that apply.)*

- ☐ Public
- ☐ Media
- ☐ Legislature
- ☐ Governor
- ☐ Agency
- ☐ Federal or Local Government

E. ROLE IN POLICY INFLUENCE (continued)

30. How sensitive is the CEA position's area of responsibility? (*Check one*)

☐ HIGH: Issues are complex, sensitive, controversial, have heavy publicity, media interest, scrutiny by Legislature, etc.

☐ MEDIUM: Issues are average, somewhat sensitive, occasionally disputed, have localized or infrequent media interest. Most programs will have average Legislative and Media interest.

☐ LOW: Issues are obvious, clear, undisputed, earning little to no interest from media, public or Legislature

31. Who will the CEA interact with? *(Check all that apply.)*

☐ Other high-level managers within the department

☐ Governor's Office, Cabinet, Legislature

☐ Other departments or governmental entities (Federal, State, Local)

☐ Public, media, professional constituent groups or other organizations

☐ Private entities or interest groups

32. Describe how the policy associated with the CEA position is sensitive, controversial, and of particular interest and concern to the public, media, and/or legislature. Be specific and provide examples.

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

E. ROLE IN POLICY INFLUENCE (continued)

34. Why does the work have to be performed by a CEA? Why would another high-level civil service position (such as an SSM III, DPM IV, or other specialized class) not be sufficient?

35. Is there overlap between the proposed CEA position and other existing CEAs or Exempts? Explain whether or not the new CEA position will diminish the policy-making responsibility of the other existing positions.

36. If there is overlap, how are the existing and proposed positions distinct?

E. ROLE IN POLICY INFLUENCE (continued)

37. What is the proposed CEA's consequence of error? *(Check one)*

☐ HIGH: Loss of lives, jeopardizing the health and safety of citizens, loss of credibility, public scrutiny, loss of delegation from control agencies, loss of faith by the public, negative media coverage, loss of funding source, major segments of State operations affected, regulatory challenges, litigation, audits, civil or criminal investigation, etc.

☐ LOW: Reduced funding source, program elements reduced or revised, organizational operations affected.

38. Describe the consequence of the position's role in policy making and/or implementing policy decisions. Be specific and provide examples.

F. OTHER CONSIDERATIONS

39. Describe any major consideration that was not addressed in the information above. (Use this field to document justification for salary changes.)

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F. OTHER CONSIDERATIONS (continued)

40. Current Monthly Salary	41. Proposed Monthly Salary	42. Percent Increase

43. Reason for Salary Change:
☐ Compaction   ☐ Annual Increase
☐ New Appointment   ☐ Other *(Explain in question 39.)*

44. Incumbent Name

45. Position Paid Above Level *(Check one. Departments with signed CEA Delegation Agreements may pay a CEA above the CEA level as long as the department does not exceed its allotted CEA Salary Cap.)*

☐ Engineer

☐ Attorney

☐ Physician

☐ Other *(Explain)*

G. DEPARTMENT APPROVAL

Department	CEA Position Title	Position Number

Department Analyst Signature	Date

Department Analyst Name

Department Personnel Officer Signature	Date

Department Personnel Officer Name

CEA POSITION REQUEST INSTRUCTION

GENERAL INFORMATION

This form must be completed for any of the following:

· New CEA position (Public comment period required per CCR, title 2, section 548.5)
· Revision of existing CEA allocation - Major change to existing CEA allocation (Public comment period required per CCR, title 2, section 548.5)
· Revision of existing CEA allocation - Minor change to existing CEA allocation, such as title change, etc.
· Reactivate inactive CEA position within 5 years. "Inactive" refers to an established CEA concept shelved by department for 5 years or less.
· A CEA position inactive beyond 5 years is considered a new allocation request. (Public comment period required per CCR, title 2, section 548.5)
· Level change (CalHR approval required for non-delegated departments)

CalHR requires these documents for any requests that receive a public objection:

· A Letter of Support from highest level Governor-appointed official
· A signed, completed CEA Position Request form
· A proposed duty statement with percentages (and a current duty statement, if applicable).
· Current and proposed organization charts showing the proposed position. (Please omit any shading and identify position on chart, and save in PDF format when submitting to CalHR.)
· Organization chart(s) depicting all the CEA and Exempt positions in the department. (Save in PDF format when submitting to CalHR.)

HOW TO COMPLETE THE CEA POSITION REQUEST FORM

Complete all applicable items on Pages 2-13 of the CEA Position Request form. For detailed instructions on completing the form, see below. The numbered items correspond to the numbered boxes on the form.

SECTION A. REQUEST TYPE
(1) Select appropriate box. If revising or reactivating an existing CEA position, attach a copy of original package.

SECTION B. GENERAL INFORMATION
(2) Enter the date the CEA request is submitted.
(3) Enter the official name of the requesting department.
(4) Enter the name of the division/branch/office in which the CEA position resides.
(5) Enter the CEA position title (Example: Deputy Director, Administration).
(6) Enter the CEA position number. Use "xxx" as the serial number if the position has not been established.
(7) Provide a brief description of the CEA position. See sample language below.
 NEW CEA Position:
 The <insert department name> proposes to allocate the above position to the CEA category. The <insert position title> will be responsible for <insert brief summary of position responsibilities.>
 REVISE CEA Position:
 The <insert department name> proposes to revise the above CEA allocation. The <insert position title> is responsible for <insert brief summary of position responsibilities.>
 REACTIVATE INACTIVE CEA Position:
 The <insert department name> proposes to reactivate the above inactive CEA allocation. The <insert position title> is responsible for <insert brief summary of position responsibilities.>
 LEVEL CHANGE CEA Position:
 The <insert department name> proposes to upgrade the <insert position title> from a level <insert level number> to level <insert level number.>
(8) Enter name, title, phone, and email address of department human resource contact that can respond to CalHR inquiries.
(9) Enter name, title, phone, and email address of department approving authority.
(10) Select type of position function. Select one or check "Other" and explain.

SECTION C. ORGANIZATIONAL LEVEL CONSIDERATIONS
(11) Fill in proposed total staff, include direct and indirect reports. Identify bargaining units that are tied to the position.
(12) Identify class title and level of position that proposed CEA will report to.
(13) Enter the proposed CEA's budget responsibility in dollars.
(14) Select appropriate box or check "Other" and explain. "Executive Management Team" is defined as persons who are regularly involved in policy making at the department level.
(15) Fill in size of department and number of positions as requested. If department has a large number of contracted or temporary employees, explain in question 39.
(16) Select appropriate box. Refer to Classification and Pay Guide Section 400 for definitions of organization levels. "Mega" is defined as a department with over 17,000 employees.
(17) Select size of department.

SECTION C. ORGANIZATIONAL LEVEL CONSIDERATIONS (continued)
(18) Enter the current and proposed CEA level, if applicable. The CEA Level Guidelines worksheet outlines standard appropriate levels. Contact your Personnel Management Division consultant for guidance on proposed CEAs that do not fit these standards.
(19) Select CEA position role. The CEA Level Guidelines worksheet defines the appropriate roles.

SECTION D. SUMMARY OF REQUEST
(20) Explain duties and responsibilities of CEA.
(21) Select appropriate box. Explain the degree to which the program is critical to the department's mission as a whole.
(22) Select appropriate box to reflect cause of need for new or revised CEA position.
(23) Summarize request and identify relevant considerations.
 · For new CEAs, provide background information regarding why the position is being requested. (For example: reorganization, new mandate, etc.)
 · For revisions to existing CEA positions, explain what has changed (either major or minor changes).
 · For reactivating inactive CEA position, explain why position is being reactivated. Explain what has changed to necessitate the reactivation of the CEA position.
 · For level changes, explain what has changed to warrant an upgrade.
(24) Select appropriate box. Enter classification, if applicable.
(25) Explain impact to existing position if CEA is established, if applicable.

SECTION E. ROLE IN POLICY INFLUENCE
(26-27) Principal Policy maker – Provide thorough and complete answers. Provide examples of the types of policies the position creates or implements. Describe extent of impact of the position's policy formulation and implementation role.
(28-31) Select appropriate box(es).
(32) Provide a thorough and complete answer. Identify the sensitivity of all controversial policy issues that will be handled by the position.
(33-36) Describe the policy influencing role, why a CEA is necessary and any authority overlap with other high-level positions.
(37-38) Describe the consequence of error of the CEA's role.

SECTION F. OTHER CONSIDERATIONS
(39) Provide any other pertinent information. This section may be utilized for other considerations not identified above.

SECTION G. DEPARTMENT APPROVAL
 Department analyst and personnel officer signatures.

HOW TO SUBMIT THE CEA POSITION REQUEST PACKAGE

The CEA Position Request package should be transmitted electronically by the departmental Personnel Officer to CalHR to: CEA@CalHR.ca.gov. To facilitate timely web posting in compliance with California Code of Regulations, title 2, Section 548.5, departments must save their proposal information to this fill-and-print form and submit that saved, unsigned version to CalHR electronically along with a signed copy. Do not attach additional pages.

FOR QUESTIONS CONTACT: Your department's assigned CalHR Analyst/Consultant, Personnel Management Division, (916) 324-9381, or CEA@CalHR.ca.gov.

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

2. Department

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

4. CEA Position Title

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

6. Reports to: (*Class Title/Level*)

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*):

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.

B. SUMMARY OF REQUEST

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:

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.

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.

C. ROLE IN POLICY INFLUENCE (continued)

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

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