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**

<table>
<thead>
<tr>
<th>1. Date</th>
<th>2. Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>09-15-2022</td>
<td>Real Estate</td>
</tr>
</tbody>
</table>

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

Administrative Services

4. CEA Position Title

Assistant Commissioner, Administrative Services

5. Summary of proposed position description and how it relates to the program’s mission or purpose.

(2-3 sentences)

This proposal seeks to modify the existing Assistant Commissioner of Administrative and Information Technology CEA, now to be entitled "Assistant Commissioner of Administrative Services". Under general direction of the Commissioner and Chief Deputy Commissioner, the Assistant Commissioner of Administrative Services is responsible for developing, implementing, and maintaining all Administrative Services, including Human Resources, Business Services, Training and Fiscal Operations. The CEA will oversee, coordinate and direct the development, revision and implementation of administrative policies relative to sensitive and/or complex issues involving the Department. A recently established CEA (the CIO) now has responsibility for all Information Technology services within the Department of Real Estate (DRE). Therefore, the existing Assistant Commissioner of Administrative and Information Technology is being modified. This existing CEA will be the Assistant Commissioner of Administrative Services which will include the programs identified above. Information Technology Services has been redirected and a newly established Training Program has been added to this CEA position, along with multiple administrative positions redirected from within the Department. In addition, the Department established an Equal Employment Opportunity Officer that reports directly to the Chief Deputy Commissioner and Commissioner, thus also removing that function from the CEA.

6. Reports to: (Class Title/Level)

Chief Deputy Commissioner/Commissioner

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

The Assistant Commissioner of Administrative Services CEA serves as the principle policy maker for all administrative functions in the Department of Real Estate (DRE) and is a key member of the Executive Leadership team, providing policy guidance and direction in all major decision-making and planning related to administrative programs and activities. The CEA is responsible for oversight, leadership, and forecasting of DRE staffing, business services, training, and fiscal needs, along with establishing and implementing policies, programs, plans and procedures for Administrative functions. This CEA position exercises broad policy-making authority over Human Resources, Budgets, Accounting, Training, Purchasing and Contracts, and Business Services. The CEA participates in planning and decision making, as well as the development, implementation and evaluation of the DRE’s strategic and operational planning. The position also serves as an advisor to the Commissioner, Chief Deputy Commissioner, General Counsel and other executive level management on a wide range of administrative issues, including those that are often sensitive and political in nature. The CEA is responsible for the development and execution of all administrative services policies, practices, and procedures department-wide to support the DRE’s overall mission, vision, core values, strategic and organizational plan. The incumbent plays a significant role in the decision-making and development of priorities, policies, and practices pertaining to projects, strategic planning, technical direction, resource management and program delivery. The specific program areas of responsibility are:

TRAINING: Provides oversight and policy direction to the subordinate manager in the management of a newly established workforce training and development team. This team is responsible for developing organizational change through a collaborative, enterprise-wide effort focused on the DRE’s most valuable resources - DRE employees. Ensure the Executive management and DRE’s management team manage organizational change through newly established training protocols and careful monitoring of training needs, ensuring change management protocols are in place in order to achieve staffing talent development, thus ensuring organizational change. Oversee policies related to curriculum development and ensuring all training is tracked by the individual employee to ensure full compliance.

BUDGETS AND ACCOUNTING: Oversees and provides leadership to the management team of Fiscal Operations. Provides leadership in order to administer, administer and direct the development of the DRE’s operating budget and associated policies and procedures. Administers the DRE’s accounting functions through subordinate management and oversees the Financial Information System for California (FISCAL), Invoicing, encumbering, year-end Financial Statements, compliance with statewide accounting principles and standards, and management of state and federal audits. These responsibilities include coordinating with the BCSH, DOF, managing the DRE’s expenditure plan, and advising the Commissioner and Chief Deputy Commissioner, along with management and program staff on accounting and budget matters. Specific functions involve providing leadership and policy direction related to the preparation, development, and maintenance of the DRE’s budget; development of the monthly budget plan and expenditure reports; monitoring of expenditures to ensure spending does not exceed funding; advising management of funding options to meet program needs including options to maximize the availability of current resources; maintaining fiscal integrity; and managing all financial activities and operations.

HUMAN RESOURCES: Functions as the DRE’s principle policy maker for Human Resources (HR) functions through HR management team. Oversees development of policies and procedures related to all HR functions in order to meet compliance with Government Code, State Administrative Manual, California Department of Human Resources, Department of General Services, State Controllers Office, and the State Personnel Board requirements; and operational policies such as those for telework, COVID, emergency operations, and health and safety. HR encompasses civil service recruitment and selection, labor relations, classification and pay, return to work, reasonable accommodation, special projects, performance management and payroll and benefits services.

BUSINESS SERVICES: Provides leadership and policy direction to the Staff Services Manager over Business Services who serves as the DRE’s Procurement and Contracting Officer and who manages the Delegated Purchasing Authority program, annual reporting, and other responsibilities for the requisition of non-IT/IT goods, Personal Protective Equipment, services and commodities, which includes periodic audits. Provides leadership to subordinate staff, including professional staff, to provide all phases of facilities management, including space planning and a move projected to be completed in 2024; building security access; fleet management; emergency preparedness, and continuity planning. Oversees waste reduction activities, DRE inventory, building management, shipping and receiving, recycling, and use of recycled products, including annual reporting. Ensures compliance with the State’s purchasing and contracting guidelines. Oversees implementation of the SB/DVBE programs. Reviews and approves all documents related to acquiring goods/services for the DRE, including advertising and solicitation documents, i.e., RFP, RFQ, CMAS, etc. Consults with the Department of General Services’ Office of Administrative Law and Procurement Office, program managers, Budgets and Accounting staff, Legal Counsel, HR, other State Agencies and Departments and private vendors; advises management on sensitive procurement-related matters.
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 Department of Real Estate is to safeguard and promote the public interests in real estate matters through licensure, regulation, education and enforcement. As the largest regulator of real estate licenses in the United States, DRE is at the forefront of industry trends.

This position is responsible for formulating, reviewing and implementing policies, regulations, statute, and procedures pertaining to Human Resources, Fiscal Operations, Business Services, Contracts, and Training, including compliance of these policies. This position serves as a key member of the Department's Executive Team, which is also the internal policy-making body responsible for development and implementation of the Department's Strategic Plan. This position represents the Department in meetings with representatives from education providers, contractors, consulting firms, Business, Consumer Services and Housing Agency, Department of Finance, Department of Rehabilitation, Department of General Services, State Controllers Office, Department of Human Resources and other State Departments, the Legislature, private industry, all levels of the Department of Real Estate, and the public.
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.

Prior to July 1, 2018 the Department of Real Estate was a Bureau under the Department of Consumer Services (DCA) and most administrative functions were centrally managed by the DCA. Upon becoming a stand-alone department in mid-July 2018, inadequate resources were allocated to Administrative functions and many administrative functions struggled to manage all the workload. Rather than continually struggling to meet operational needs, in 2021 the DRE leadership, led by the newly appointed Administration and Information Technology Services CEA agreed that administrative services functions needed a gap analysis performed to identify what was lacking and what changes were needed within. This gap analysis showed that a reorganization, along with the redirection of existing vacancies from within the DRE was critically needed within Human Resources, Accounting, and Information Technology, in order to effectively provide the services needed within the DRE. In addition, the existing CEA was continuously forced to step in and perform many of the complex project management or analytical tasks that should have been performed by staff or management within the Administrative programs. The following changes were made:

Information Technology: A new CEA was established to perform as the DRE’s Chief Information Officer, placing emphasis on the critical aspects of Information Technology. It’s not reasonable to expect an Administrative CEA to have the full range of skills required for Human Resources, Fiscal Operations, Business Services, Training AND Information Technology. Information Technology leadership requires someone experienced and knowledgeable with desktop, network and website services, in addition to Information Security, risk assessments, vulnerability assessments, along with the various levels of mandatory reporting required. In addition, the DRE’s Information Technology staff have been with the DRE for many years and are now mostly nearing retirement, thus requiring new but knowledgeable leadership, with significant experience in Information Technology. This new CIO/CEA reports to the Chief Deputy Commissioner and Commissioner. 2 vacancies from within the DRE were also redirected to assist with Information Technology efforts.

Human Resources: Human Resources (HR) was staffed minimally from the establishment of DRE as a Department. Therefore, only the basic HR functions could be performed and even those took considerable time. Both internal and external audits show multiple points of failure within HR, including providing mandatory reporting to control entities. The gap analysis showed that in order to build an effective HR team, multiple vacancies from throughout the Department needed to be redirected. The existing CEA hired a new HR Chief and they worked to develop a comprehensive HR team that included all the appropriate functions in order to ensure an effective and pro-active Human Resources function. There is now a fully functional Classification/Pay and Selection, Payroll and Benefits, Health and Safety, Performance Management and Labor, and most critically, a Special Projects unit. Special Projects performs duties associated with development of policies, HR intranet site, workforce and succession planning, recruitment and marketing plans, audit responses, etc.

Equal Employment Opportunity (EEO): In the past Human Resources assumed all functions related to EEO. However, that went against statute, which requires the EEO Officer to report to the Directorate level. Therefore a Staff Services Manager Specialist was established in 2021, which assumed all EEO functions and duties, and reports directly to the Chief Deputy Commissioner. The DRE now has a fully functional EEO office performing all the required duties.

Accounting: The Accounting program needed additional supervision, staffing and a complete revamp of clerical/cashiering duties. A new Accounting Administrator I was added, along with the establishment of 2 new Accounting Officer positions. The existing CEA proposed and oversaw these changes, along with changes to the cashiering functions in order make the unit function more efficiently. A new Staff Services Manager III was hired to oversee all Fiscal Operations.

Training: A robust training team was established using redirected vacancies from elsewhere in the Department. In the past Training was sporadic at best, with only mandatory training occurring, and prior to the existing CEA being hired, sometimes not at all. Both internal and external audits and reporting showed the DRE lacked in ensuring staff received all mandatory training within the required timeframes. This led to underperforming staff and ensured there was not always a viable candidate pool for successful succession management. Under the leadership of the existing CEA, this training team, consisting of a Staff Services Manager I and 3 analysts, the team is tasked with conducting research on existing and available training (such as through CalHR) and performing gap analysis on training for all DRE staff. The CEA will continue to develop this team to be adaptable in curriculum development and to be aware of new training strategies as they become available. This team is also responsible for developing a database to house the tracking of all training, using the most cost effective methods.

While Information Technology and EEO has been removed from this CEA’s functional responsibility, a new training unit has been added and multiple additional vacant positions were redirected to Human Resources and Accounting, along with new responsibilities and expectations from Executive management. This CEA continues to have a significant policy making role within the DRE.
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.

The CEA will continue to be a key member of the executive team and is the principle policy maker over what will now be entitled "Administrative Services" consisting of Human Resources, Business Services, Training, and Fiscal Operations. The CEA provides policy guidance and direction in all major decision-making and planning related to Administrative programs and services. The CEA establishes and implements statewide policies for DRE' centralized administrative programs that also impacts decentralized offices throughout California. The CEA is responsible for the final review and approval of all Administrative policies within the DRE.

Telework/Office Space Policies: COVID has required significant changes in the workplace related to teleworking. The CEA is responsible for the development and implementation of DRE's Telework policies. In addition, the DRE will be moving its Headquarters location in 2024 and this CEA has the lead role for establishing policies related to the move, in addition to ensuring all appropriate contracts are in place and change management protocol is followed.

DRE's Strategic Plan: The CEA is responsible for leading the development of the DRE's Strategic Plan, which sets the goals and objectives for the organization, which are: Customer-Centric Service; Healthy Organization; Innovative Operations; and Resourceful Stewardship. The CEA of Administrative Services has a large role in overseeing implementation and monitoring of the DRE's Strategic Plan.

Human Resources: This CEA is responsible for the oversight of development and implementation of all policies related to Human Relations. These include all aspects of Classification and Pay; Selection; Payroll and Benefits; performance management; labor relations; health and safety; Incompatible Activities; Family and Medical Leave Act/California Family Rights Act; Filing Statements of Economic Interests; Illness & Injury Prevention; Violence in the Workplace; Reasonable Accommodation, to name a few. Special Projects within Human Resources develops and implements policies for workforce planning to ensure the organization is prepared for workforce gaps. This unit, under the policy direction of the CEA, will prepare the DRE's workforce and succession plan for submission to CalHR. This unit is responsible for preparing all policies related to Human Resources and is also the main entity within the DRE responsible for tracking and monitoring the completion of all policies from throughout the Department. This unit is also responsible for developing and monitoring metrics within Human Resources, along with developing procedure manuals; overseeing workplace violence, the business continuity plan and disaster recovery plan for Human Resources. This unit is also responsible for the 'look and feel' of the DRE's intranet site, ensuring all DRE employees have easy access to Human Resources information.

Training: The CEA is the principle policy maker for policies related to the development and implementation of required training for newly appointed supervisors, managers and CEAs, along with the continual leadership training and development of supervisors, managers and CEAs as required by Government Code 19995.4. There has been minimal attention paid to the DRE's training program in the past, primarily due to the lack of staffing, along with the lack of prior executive focus. This CEA is responsible for leading the development and implementation of all policies related to Training staff within the DRE. This CEA will be the principle policy maker for additional curriculum development, including development of a needs assessment/survey to include all staff and then provide short term and long term plans. The CEA is responsible for ensuring that the Training team has identified staff that need various trainings, but also when the training is needed and the tracking and reporting of it.

Fiscal Operations and Business Services: The CEA is the principle policy maker for all fiscal, contracting, purchasing and business services policies, including, but not limited to: budget planning; financial reporting; expenditure tracking and projecting; general ledger; coordination with DOF, LAO, Legislature, Agency and the Administration; in state and out of state travel; compliance with GAAP, requisition of goods and services; asset management; inventory control; Small Business/Disabled Veteran Business Enterprise participation; mail handling, etc.

The CEA (Assistant Commissioner) of Administrative Services will ensure final policy decisions and changes are implemented across multiple DRE programs and, as needed, updated for changes in law, regulation, and/or Administration and control agency directives along with providing managers and staff guidance and direction on this policy direction. These policies have broad and substantial impact to all programs within the DRE.


<table>
<thead>
<tr>
<th>C. ROLE IN POLICY INFLUENCE (continued)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>13. What is the CEA position's scope and nature of decision-making authority?</strong></td>
</tr>
<tr>
<td>The Assistant Commissioner of Administrative Services CEA has full decision-making authority in the development and execution of all Administrative policies, processes and operations that are critical to DRE achieving its mission, objectives and strategic plan. This decision making authority includes providing direction and guidance to all Administrative programs on policy matters within their programs, and making final decisions on sensitive and/or controversial administrative policy matters.</td>
</tr>
<tr>
<td>The CEA is responsible for providing leadership to continuously meet and improve administrative goals and objectives, and address administrative challenges, department-wide. In addition, the CEA is responsible for the coordination and implementation of complex administrative issues that impact all DRE programs. The CEA works collaboratively with other CEs and Exempts to ensure consistent implementation of all administrative policy decisions that affect the DRE.</td>
</tr>
<tr>
<td>The CEA functions as a high level subject-matter expert in order to develop and implement policies and strategies related to administrative services.</td>
</tr>
<tr>
<td>Responsible for reviewing and approving administrative documents that require a high degree of technical and independent judgment.</td>
</tr>
<tr>
<td>Analyzing complex administrative problems for strategic and workforce planning, financial integrity and risk assessment.</td>
</tr>
<tr>
<td>Working with Control Agencies, including the LAO, General Services, the Business, Consumer Services and Housing Agency, CalHR, the State Controllers Office, the State Personnel Board, the Legislature and the Administration, along with other stakeholders, in providing program and fiscal information in order to inform the budget development process.</td>
</tr>
</tbody>
</table>

| **14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?** |
| The CEA will be responsible for identifying, developing, approving and implementing new policy along with revising existing policy, as they pertain to Administrative Services. |
| With respect to HR, the CEA will review, develop and create new policies regarding selection, recruitment, workforce planning, examinations, classification and pay, performance management, labor relations, training, personnel transactions, health and safety, etc. These policies must be created and monitored closely to ensure DRE operates according to control agency guidelines or regulations. |
| The CEA will oversee the DRE's Fiscal Operations to ensure that all laws and rules governing State Financial Accounting, reporting and procurement practices are followed, and that DRE program and business objectives are met within budget allocation and constraints. The CEA will oversee the formulation of DRE's annual budget, under direction from the Chief Deputy Commissioner and Commissioner, along with direction from the Department of Finance and the Business, Consumer Services and Housing Agency. The CEA will oversee revenues and expenditures, monitor fund conditions, personnel service usage, review all BCCs, BCPs, FLs and DOF Budget Letters. |