

State of California

MEMORANDUM

Date: September 8, 1989  
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To: PERSONNEL MANAGEMENT LIAISONS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

PERSONNEL OFFICERS

From: Department of Personnel Administration  
Classification and Compensation Division

Subject: Managerial Designation Guidelines

Attached for your information and future application are Managerial Designation Guidelines.

These guidelines are intended for application when designating future positions as managerial. They are essentially a formalization of the existing practice.

We do not anticipate the designations on filled positions to change as a result of these guidelines. While there are classes in some large departments that are exceptions to these guidelines, the greatest majority of existing managerial designations comply, and the exceptions are rare. However, in review of your department's designations, if you find inconsistencies, contact your DPA departmental analyst.

If you have questions or comments regarding the application of these guidelines within your department, again contact your DPA departmental analyst.

*George P. Lloyd II*

George P. Lloyd, II  
Chief

sks/A18270



## MANAGERIAL DESIGNATION

The State Employer-Employee Relations Act of 1977, Section 3513(e), defines a managerial employee as "any employee having significant responsibilities for formulating or administering agency or departmental policies and programs or administering an agency or department". In 1982, the California Legislature enacted a bill that directed the Department of Personnel Administration (DPA) to designate managerial positions. The definition of managerial employee, as quoted above, requires further specification in order to afford a succinct designation process to meet the idiosyncrasies of the State of California's diverse organizational structures.

It is important to emphasize that this uniquely written definition provides three managerial functions, all of which may identify an employee assigned to such a position as "managerial". They are (1) administering an agency or department; (2) formulating agency or departmental policies and programs; and (3) administering agency or departmental policies and programs.

The following definitions apply to terms used in the guidelines:

- Policy                      A broad, general guide to actions related to attainment of an organization's primary mission(s).
- Procedures                A series of related steps or tasks expressed in chronological order to achieve a specific purpose or objective.
- Regulations                Rules that require specific and definite actions be taken or not be taken with respect to a given situation.

### A. Management Concepts

1. Positions that "administer an agency or department" are clearly recognizable. This is a function which is carried out by the departmental Director, Chief Deputy Director, or equivalent positions at the department's first organizational level.
2. "Formulating policy" involves the exercise of discretion to develop and modify organizational actions which relate to the attainment of an organization's primary mission(s).

Positions meeting this criteria will typically be at the second organizational level functioning as Deputy Directors and participating as members of the Director's executive staff.

3. Administering agency policy and programs means "the employee has a significant role in putting policies into effect and monitoring policies to ensure compliance". Positions which meet this criteria will typically be limited to one organizational level below Career Executive Assignment positions.



B. General Guidelines To Be Used For All Managerial Designations

1. Policy Role - All managerial designations MUST have a significant role in the formulation, implementation or monitoring of departmental policy as it pertains to mission accomplishment.
2. Organizational Level - For positions to have a significant impact on departmental policy they must be placed in the upper organizational levels. While this placement will vary depending on departmental size, managerial designations will typically be limited to one organizational level below Career Executive Assignments.
3. Salary Guideline - Classes designated managerial should have a maximum salary equal to or greater than the maximum salary of the managerial class identified below for each CBID. The salary cutoff level is not absolute either positively or negatively, and it represents one of many factors to consider, in determining the appropriateness of a managerial designation for a class.

Bargaining Unit

Class

01	Staff Services Manager III
02	Assistant Chief Counsel
03	Education Administrator II
04	Not Applicable
05	State Traffic Lieutenant
06	Correctional Captain
07	Fire Prevention Engineer
08	State Forest Ranger IV
09	Supervising Transportation Engineer
10	Bay-Delta Fishery Program Manager
11	Not Applicable
12	Manager Transportation Services, CHP
13	Not Applicable
14	Not Applicable
15	Not Applicable
16	Chief Physician and Surgeon (for medical classes)
16	Chief Dentist (for dental classes)
17	Coordinator of Nursing Services
18	Program Director (various programs)
19	Chief, Radiological Health Section
20	Not Applicable

4. Subordinate Supervisors - In order to allow management positions time for overall policy evolution and administration, there should be at least two levels of subordinate supervisors below the lowest management level.

C. Guidelines For Specific Situations To Be Used When Applicable

1. Headquarters Positions

Managerial employees in departmental headquarters positions must meet the criteria of (1) a significant role in putting policies into effect; (2) a significant role in monitoring policies to ensure compliance; and (3) possessing the authority through independent judgement to enlarge or narrow policy application beyond standard operating procedures.

2. Decentralized Positions

(A) Managerial employees in large decentralized functions, such as, correctional institutions, State hospitals, transportation districts, or comparable sized organizational units ordinarily can be identified as the institution head (Director, Superintendent, etc.) the next or second person in charge and the program managers of programs directly related to mission attainment.

(B) Employees in decentralized functions where district, regional or area offices are maintained may be designated as managers if they are in charge of operations in that district, region or area, the scope of responsibilities is large (Region has more than 1,500 staff), and they possess the authority to make independent judgements to enlarge or narrow policy applications beyond standard operating procedures.

3. Control Agency Positions

Positions in organizations reporting directly to the Governor and with primary responsibility to set and administer policy which impacts statewide programs may be designated managerial when incumbents are: (1) assigned decision-making authority over a clearly defined and distinct program area; (2) function as the recognized State expert in the program; and (3) given the discretion to act for the department Director with only general direction from top management.

4. Line Program Classes vs. Administrative

Line program classes are responsible for the department's primary mission, and, as such, they have authority to deviate from and adapt "agency policy and programs" as necessary for mission attainment; administrative classes at the same organizational level as a designated managerial line program class do not have comparable decision making authority on issues which directly impact primary mission accomplishment. Therefore, line program classes at a given organizational level may be designated managerial, while administrative classes at the same organizational level may be designated supervisory.

5. Highest Level in a Technical Series - Management designations will typically not be considered for positions in classes which are below the highest technical level in a series. For example, positions at the Senior level (SSM II) where a Supervising level exists in the series.

D. Specific Exclusions

Policy is finally determined by the person who is responsible and accountable for the results of that policy. In contrast, the following roles will not typically have the level of policy responsibility expected of management levels.

1. Employees throughout the organization participate in discussions where policy alternatives are aired. However, this involvement is not equivalent to possessing "significant responsibilities for formulating" policy.
2. Employees who exercise discretion only within their area of expertise, such as data processing specialists, electronic engineers, etc., usually do not have a manager's authority to formulate agency or departmental policies or programs.
3. Most personnel from the first-line supervisor through what has been commonly referred to as middle management are enforcing rules and procedures that emanate from policy but require little or no independent judgement in application.

In addition to the guidelines contained herein reference in comparison to present managerial and supervisory designations should serve as a guide to proper designation.