

State of California

MEMORANDUM

Date: June 26, 1992
Reference Code: 92-74

To: PERSONNEL MANAGEMENT LIAISONS
Attention: Personnel Officers

From: Department of Personnel Administration
State Personnel Board

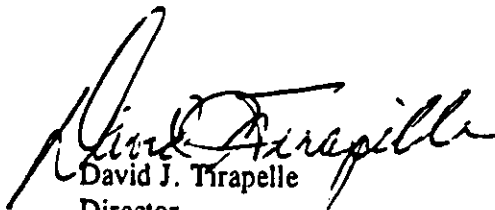
Subject: New Career Executive Assignment Position Approval Procedures

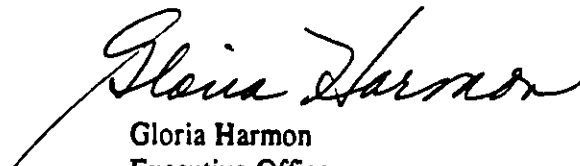
The Department of Personnel Administration and the State Personnel Board would like to announce the implementation of significant improvements to the Career Executive Assignment (CEA) review and approval procedures which have been jointly developed by DPA and SPB staff. We believe that the changes will reduce processing time and the amount of paperwork required to support CEA requests.

Attached is a copy of the new CEA Classification Proposal Request (CEA-CPR) form, which is similar to the existing civil service class format. The major differences between the old and the new CEA procedures are:

- New CEA positions will be effective the date of SPB's Executive Officer approval. (Parallel civil service CEA classes will continue to require Board adoption.)
- A new agenda item entitled "CEA Position Activity" has been added to the Board calendar (sample copy attached) which will contain information about CEA positions under consideration, and those which have been recently approved or abolished.
- The Key Position Description has been eliminated and all of its contents have been merged into other portions of the CEA-CPR package.
- There is a new section entitled "B. Comparative Analysis" which will focus on the existing comparisons used to support new and reallocated CEA positions. Your DPA analyst will provide existing position information from DPA's CEA data base upon conceptual position approval.

Detailed processing instructions are located on the reverse of the Transmittal form. Again, we believe this approach will result in a more efficient and timely review of CEA's without compromising the inherent safeguards of the current process. The new procedures will take effect immediately for new proposals; requests beyond the concept approval phase may continue under the current process. Departmental staff should use copies of the attached form until supplies are available. If you have any questions regarding this memo, please contact your DPA or SPB analysts.


David J. Tirapelle
Director
Department of Personnel Administration


Gloria Harmon
Executive Officer
State Personnel Board

Attachments



TRANSMITTAL

ONLY TYPEWRITTEN REQUESTS WILL BE ACCEPTED
PROCESS INSTRUCTIONS ON REVERSE

1. REQUESTING DEPARTMENT:	2. DEPARTMENT SIZE	3. # OF EXISTING CEA'S AND MANAGERIAL EXEMPTS:
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4. REASON FOR PROPOSAL (check all that apply)

- New Program/Function
 Reorganization
 Title Change (Submit Transmittal Only)
 Abolishment (Submit Transmittal Only)
 Level Change (Submit Parts A,B,D,E Only)
 Former Title: _____
 Other(describe): _____

5. POSITION INFORMATION: POSITION TITLE(S)	TYPE OF CHANGE (1)	CEA TYPE:		PROPOSED CEA LEVEL & CRITERIA MET (2)	ORG LEVEL	DIVISION NAME	TOTAL STAFF SIZE BY CS#	# OF PROF STAFF	POSITION'S SPVR CEA OR EXEMPT LEVEL	OPERATING BUDGET	FLOW THRU FUNDS
		BAND	CIVIL SRVC								

1. A) New; B) Revised; C) Level Change; D) Abolishment 2. Paygrade Section 8.3 - 8.8

DOES PROPOSAL REQUIRE EXPENDITURE OF UNBUDGETED OR SUPPLEMENTAL FUNDS

- YES IF YES, ATTACH FORM 137
 NO IF NO, WHICH FORM 137 STATEMENTS WERE SELECTED (CHECK ALL THAT APPLY)
 1. 2. 3.

7. DEPARTMENTAL SIGNATURE BLOCK	PHONE NUMBER	SIGNATURE DATES	
		CONCEPT	FINAL PROPOSAL
Department Analyst			
Personnel Officer			

FOR DPA USE ONLY

1. DPA ANALYST	PHONE NUMBER	2. DATE CONCEPT RECEIVED	3. CONCEPT <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED	DATE
4. DATE DEPARTMENT NOTIFIED		5. DATE FINAL PROPOSAL RECEIVED	6. SECTION MANAGER	DATE
7. DATE CONCEPT COPY SENT TO SPB		<input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED	8. DATE FINAL PROPOSAL SENT TO SPB	

FOR SPB USE ONLY

1. SPB ANALYST	PHONE NUMBER	2. DATE CONCEPT RECEIVED	4. DATE FINAL PROPOSAL RECEIVED
3. MANAGEMENT APPROVALS:	DATE	3. BOARD MEETING DATE FOR CEA POSITION CONSIDERATION NOTICE	<input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED
SECTION MANAGER		6. DATE NOTIFIED OF APPROVAL/DENIAL	7. BOARD MEETING DATE FOR CEA APPROVAL NOTICE
SECTION CHIEF		DPA <input type="checkbox"/>	
EXECUTIVE OFFICER	POSITION'S EFFECTIVE DATE	DEPT <input type="checkbox"/>	

Return Approved Transmittal to DPA Analyst



1. The requesting department completes the Transmittal and part A to initiate the CEA proposal. Before submitting the documents to DPA, the departmental analyst and Personnel Officer must initial and date the Concept portion of the Signature Dates box in Transmittal item number 7. The department then sends the concept proposal, consisting of the Transmittal and part A (and a duty statement and organization chart, if available) to the DPA analyst.
2. The DPA analyst reviews the request and, in conjunction with the Section manager, decides if the department should pursue the proposal. If the request is approved in concept, the DPA analyst 1) completes applicable portions of the "FOR DPA USE ONLY" section of the Transmittal; 2) notifies the department of the approval and sends it a CEA data base report with the most appropriate comparisons; and 3) sends a copy of the Transmittal and part A to the requesting department's SPB analyst. See notes below for information regarding clarification, disputed requests and parallel civil service CEA procedures.
3. While the department finishes the remaining CPR documentation, the SPB analyst 1) completes applicable portions of the "FOR SPB USE ONLY" section of the Transmittal; and 2) submits position information to Secretariat for inclusion in the CEA Activity section of the next available Board calendar agenda.
4. When the department completes the remaining parts of the CPR package, 1) the analyst and Personnel Officer initial and date the Final Proposal portion of Transmittal item number 7; and 2) the department submits the final package to its DPA analyst for review.
5. If, after review, the DPA analyst supports the proposal, s/he recommends approval to the Section Manager. If the Section Manager agrees, s/he indicates approval in "FOR DPA USE ONLY" item number 6, and signs and dates item number 7.
6. The DPA analyst then 1) notifies the requesting department of the approval; 2) notes the date sent to SPB in "FOR DPA USE ONLY" item number 8; and 3) sends all but part E of the original CEA proposal to the SPB analyst.
7. If, after review, the SPB analyst supports the addition of the position to the CEA category, s/he recommends approval to SPB management and Executive staff. If management and Executive staff agree with the recommendation, they indicate approval in "FOR SPB USE ONLY" item number 4, and sign and date item number 5. The new CEA position is effective the date of the Executive Officer's approval.
8. The SPB analyst then 1) notifies DPA and the department of the position's approval and its effective date; 2) submits the approved position information to Secretariat for inclusion in the CEA Activity section of the next available Board calendar agenda; and 3) completes "FOR SPB USE ONLY" items 6 and 7, and returns the package to the DPA analyst.
9. The DPA analyst completes a CEA Position Summary form which places the new position information in the next available pay letter and in DPA's CEA data base.

Notes:

1. The DPA or SPB analysts may request additional information at any time during the review for clarification and to aid their analysis.
2. If either DPA or SPB does not agree with the proposed CEA position(s), the department may present its case to the dissenting agency and/or provide additional supporting information. If convincing, the review process will continue from that point. Otherwise, the department may request a hearing before the 5-member Board.
3. The 5-member State Personnel Board must adopt parallel civil service CEA classes. As such, the DPA analyst prepares and attaches a Board item cover memo, similar to the regular civil service CPR process, to CEA-CPR parts A, B, C, and part D items 1, 2 and 4, and submits the package to the SPB analyst for processing as a regular civil service class.



A. CEA POSITION CONCEPT

To be completed for all new CEA proposals or level changes.
Use additional paper if necessary.

Instructions: Respond to each of these questions and return with the signed-off transmittal to your DPA analyst before sending anything further.

1. Briefly describe the objectives, functional responsibilities, sensitivity and scope of the program in which the subject position will be used.

2. Is there currently a position performing the duties of the proposed CEA? If so, in what class and what will happen to that person?

3. What are the policy formulation and decision-making responsibilities of the proposed CEA position and how will they impact overall departmental operations? Examples must be provided.

4. How will the position help the department achieve its primary mission, goals and objectives?

5. Are there other positions within the department which possess the responsibilities described in #3? If so, how are they separated to eliminate duplication?

6. Describe any other considerations that would support approval of this proposal.



B. COMPARATIVE ANALYSIS

DPA's Classification and Compensation Division maintains a CEA position data base. Contact your CCD analyst for details.

1. What existing positions are being compared to the proposed position (include department name, CEA position title and level) and why are they appropriate? Consider both internal and external comparisons.

<u>Comparison Position's Title</u>	<u>CEA Level</u>	<u>Department</u>	<u>Dept Size</u>	<u>Max Salary</u>	<u>Org Level</u>	<u>Crit. Mat.</u>	<u>Primary Function</u>	<u>Total Staff Size</u>	<u>Prof Staff Size</u>	<u>Level of Supervisor</u>
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2. Explain the similarities/differences (e.g., policy formulation responsibilities, functions, organizational level, staff size, department size, etc.) between the proposed and existing positions.

3. If there are no existing comparisons, what is the basis for this conclusion (i.e., what positions were reviewed and why were they not considered appropriate comparisons)?

C. MERIT ISSUE ATTACHMENT

1. What is the current ethnic/gender/disabled representation of the Department's CEA positions?

2. How is the new position going to be filled and what are the affirmative action ramifications of this approach?

3. If an individual is to be transferred from another position, is this person's salary within two steps of the proposed position? Illustrate the salary relationships.

D. ATTACHMENTS

1. Duty Statement
2. Organization Charts (Overall Department Chart and Specific Function of Proposed CEA Position)
3. Form 137
4. Class Specification (For Parallel Civil Service CEA Classes Only)

E. CEA LEVEL ANALYSIS

(For all new positions or change in the level of an existing position)
DO NOT SUBMIT TO SPB

1. What is the proposed CEA type (Division Chief, Program Manager, etc.) and level of the position and what criteria does it satisfy (Payscale Section 8.3-8.8)?	
2. What CEA or Exempt level will the position report to and what is its maximum salary?	
3. If the proposed position's maximum salary is either more or less than 10% below its supervisor's, why?	
4. If the proposed position will manage staff, what class(es) and CBID's will it manage and what is/are the maximum salary(ies)?	NOT APPLICABLE <input type="checkbox"/>
5. What is the dollar and percentage difference between the maximum salary of the <u>highest</u> subordinate class and the proposed CEA position?	NOT APPLICABLE <input type="checkbox"/>
6. If the maximum step of the proposed salary is more or less than 10% above the closest subordinate class described in #5, why?	NOT APPLICABLE <input type="checkbox"/>
7. What other factors would support the proposed salary level?	NOT APPLICABLE <input type="checkbox"/>

Agenda - Page 1
July 1992

SAMPLE BOARD AGENDA PAGE - CEA PROCESS

20. CAREER EXECUTIVE ASSIGNMENT (CEA) CATEGORY
ACTIVITY

A. CEA POSITION ACTIONS CURRENTLY UNDER
CONSIDERATION

1. DEPUTY DIRECTOR, OFFICE OF
TREATMENT AND RECOVERY
The Department of Alcohol and Drug
Programs proposes allocation of one
position to the CEA category to
perform the duties of the above
class.
2. CHIEF, COMMUNITY RESIDENTIAL
SERVICES BRANCH
CHIEF, INFORMATION SYSTEMS
The Department of Developmental
Services proposes allocation of two
positions to the CEA category to
perform the duties of the above
classes.

B. CEA POSITION ACTIONS APPROVED BY DPA AND
SPB MANAGEMENT

1. CHIEF, DIVISION OF UNCLAIMED
PROPERTY
The Office of the State Control-
ler's proposed allocation of one
position to the CEA category to
perform the duties of the above
class is approved.
2. CHIEF, OFFICE OF PLANNING AND
MANAGEMENT
The Department of Transportation's
proposed abolishment of the CEA
position performing the above
duties is approved.

