

State of California

MEMORANDUM

Date: March 10, 1993
Reference Code: 93-15

To: PERSONNEL MANAGEMENT LIAISONS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Personnel Officers

From: Department of Personnel Administration
Office of the Director

Subject: Revised Career Executive Assignment Position Approval Procedures

Since the Career Executive Assignment (CEA) position approval process was revised, effective June 1992, concerns have been expressed about the timeliness of the new procedures. Several suggestions have been made by departmental personnel offices to reduce any duplication and facilitate an expedited Department of Personnel Administration (DPA) and State Personnel Board (SPB) review process.

The focus of a review of a CEA request is to ensure that any position assigned to the CEA category meets the following Government Code definition of a career executive assignment:

18547. 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 function or the rendering of management advice to top-level administrative authority.

To assist SPB and DPA in determining whether a position is appropriate for inclusion in the CEA category, the following revisions are being made to the CAREER EXECUTIVE POSITION APPROVAL PROCEDURES:

1. SPB is to be included in early discussions or meetings with DPA and departmental staff if there are questions or concerns about the position's designation to the CEA category.
2. The A. CEA POSITION CONCEPT form has been revised to include questions that emphasize the "high administrative and policy-influencing role" of the proposed CEA position.



PML 93-15
March 10, 1993
Page 2

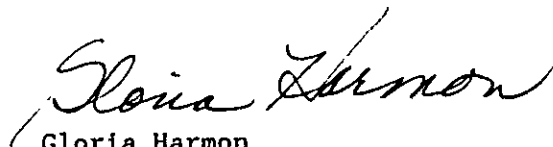
3. The B. COMPARATIVE ANALYSIS form has also been revised. Question 1, which was a quantitative analysis of existing CEA positions, has been moved to form E. CEA LEVEL ANALYSIS. SPB has requested that departments provide a written qualitative analysis describing how the proposed CEA position compares with similar existing CEA positions.
4. A Key Position Description, which was used in the prior CEA Board Item Process, is again required and is added as item 5 on D. ATTACHMENTS form.
5. As CEA position proposals are received by SPB (after approval by DPA), they are calendared for the next available scheduled Board meeting and then are shown as CEA proposals "Under Consideration". Departments are reminded that new CEAs continue to be effective the date of SPB Executive Officer's approval. The earliest date approval could occur is the date of the Board meeting in which the CEA item is listed "Under Consideration".

The changes listed above are the only changes being made to the new CEA approval procedures. The Transmittal Form and processing procedures described in the Personnel Management Liaison Memo dated June 26, 1992 (Reference Code 92-74) are to remain the same. The revised forms will take effect April 1, 1993.

If you have any questions regarding this memo, please contact your DPA Classification and Compensation Division Analyst or Jerry Donel of SPB at (916) 653-1397.



David J. Tirapelle
Director
Department of Personnel Administration



Gloria Harmon
Executive Officer
State Personnel Board



TRANSMITTAL

ONLY TYPEWRITTEN REQUESTS WILL BE ACCEPTED
PROCESS INSTRUCTIONS ON REVERSE

Section 510
Attachment 1
Page 3

| | | |
|---------------------------|--------------------|---|
| 1. REQUESTING DEPARTMENT: | 2. DEPARTMENT SIZE | 3. # OF EXISTING CEAs AND MANAGERIAL EXEMPTS: |
|---------------------------|--------------------|---|

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 CBID | # OF PROF STAFF | POSITION'S SPVR CEA OR EXEMPT LEVEL | OPERATING BUDGET | FLOW THRU FUNDS |
|---|--------------------|-----------|-----------|---------------------------------------|-----------|---------------|--------------------------|-----------------|-------------------------------------|------------------|-----------------|
| | | BAND | CIVL SRVC | | | | | | | | |
| | | | | | | | | | | | |

1. A) New; B) Revised; C) Level Change; D) Abolishment 2. PayScale Section 6.3 - 6.9

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 | | 6. DATE FINAL PROPOSAL RECEIVED <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED | 7. SECTION MANAGER DATE |
| 5. DATE CONCEPT COPY SENT TO SPB | | | 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 |
| 5. MANAGEMENT APPROVALS: SECTION MANAGER | DATE | 2. BOARD MEETING DATE FOR CEA POSITION CONSIDERATION NOTICE | <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED |
| DIVISION CHIEF | | 6. DATE NOTIFIED OF APPROVAL/DENIAL DPA <input type="checkbox"/> | 7. BOARD MEETING DATE FOR CEA APPROVAL NOTICE |
| 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.

| |
|--|
| <p>1. Briefly describe what has changed to create the need for the proposed position.</p> |
| <p>2. Describe the objectives, functional responsibilities, sensitivity and scope of the program in which the subject position will be used.</p> |
| <p>3. Describe what the policy formulation and decision-making responsibilities of the proposed CEA position are and how they will impact overall departmental operations? Examples must be provided. (This discussion should include how the position meets the criteria for assigning positions to the CEA category.)</p> |
| <p>4. How will the position help the department achieve its primary mission, goals and objectives?</p> |
| <p>5. Is there currently a position performing the duties of the proposed CEA? If so, in what class and what will happen to that person?</p> |
| <p>6. Are there other positions within the department which possess the responsibilities described in #3? If so, how are they separated to eliminate duplication?</p> |
| <p>7. If this position does not meet the typical general criteria (i.e., 1st or 2nd org. level) for inclusion in the CEA category, describe how the position has a decisive role in the departments highest policy making level, and specifically how the position has regular involvement in departmental program management.</p> |



B. COMPARATIVE ANALYSIS

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

1. Provide a qualitative narrative summary describing how the proposed position compares with existing CEA positions that meet the definition of CEA category.

2. 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 and any other chart that may enhance what is being described)**

- 3. Form 137**

- 4. Class Specification (For Parallel Civil Service CEA Classes Only)**

- 5. Key position Description**



E. CEA LEVEL ANALYSIS

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

| 1. | <p>What <u>existing</u> 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.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: left; font-size: small;">Comparison Position's Title</th> <th style="text-align: center; font-size: small;">CEA Level</th> <th style="text-align: center; font-size: small;">Department</th> <th style="text-align: center; font-size: small;">Dept Size</th> <th style="text-align: center; font-size: small;">Max Salary</th> <th style="text-align: center; font-size: small;">Org Level</th> <th style="text-align: center; font-size: small;">Crit. Met</th> <th style="text-align: center; font-size: small;">Primary Function</th> <th style="text-align: center; font-size: small;">Total Staff Size</th> <th style="text-align: center; font-size: small;">Prof Staff Size</th> <th style="text-align: center; font-size: small;">Level of Supervisor</th> </tr> </thead> <tbody> <tr> <td style="height: 40px;"> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> | Comparison Position's Title | CEA Level | Department | Dept Size | Max Salary | Org Level | Crit. Met | Primary Function | Total Staff Size | Prof Staff Size | Level of Supervisor | | | | | | | | | | | | |
|-----------------------------|--|--|-----------|------------|-----------|------------|------------------|------------------|------------------|---------------------|-----------------|---------------------|--|--|--|--|--|--|--|--|--|--|--|--|
| Comparison Position's Title | CEA Level | Department | Dept Size | Max Salary | Org Level | Crit. Met | Primary Function | Total Staff Size | Prof Staff Size | Level of Supervisor | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. | <p>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)?</p> | | | | | | | | | | | | | | | | | | | | | | | |
| 3. | <p>What CEA or Exempt level will the position report to and what is its maximum salary?</p> | | | | | | | | | | | | | | | | | | | | | | | |
| 4. | <p>If the proposed position's maximum salary is either more or less than 10% below its supervisor's, why?</p> | | | | | | | | | | | | | | | | | | | | | | | |
| 5. | <p>If the proposed position will manage staff, what class(es) and CBID's will it manage and what is/are the maximum salary(ies)?</p> | <p>NOT APPLICABLE <input type="checkbox"/></p> | | | | | | | | | | | | | | | | | | | | | | |
| 6. | <p>What is the dollar and percentage difference between the maximum salary of the <u>highest</u> subordinate class and the proposed CEA position?</p> | <p>NOT APPLICABLE <input type="checkbox"/></p> | | | | | | | | | | | | | | | | | | | | | | |
| 7. | <p>If the maximum step of the proposed salary is more or less than 10% above the closest subordinate class described in #5, why?</p> | <p>NOT APPLICABLE <input type="checkbox"/></p> | | | | | | | | | | | | | | | | | | | | | | |
| 8. | <p>What other factors would support the proposed salary level?</p> | <p>NOT APPLICABLE <input type="checkbox"/></p> | | | | | | | | | | | | | | | | | | | | | | |



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.



SAMPLE
Key Position Description

Department: State Compensation Insurance Fund (SCIF)

Working Title: Vice President (#2 of 4)

C.E.A. Level: Occupational Group: Social Security and
Rehabilitation

FACTORS:

1. Nature of Responsibility

Participates with equal vote on six member Executive Committee of the SCIF. Supervises eleven operating units within SCIF: Eureka District Office, Los Angeles District Office, San Francisco District Office, San Bernardino District Office, Santa Rosa District Office, Bay Area Group Insurance Program, Los Angeles Group Insurance Program, Sacramento Group Insurance Program, Business Services, Real Property, and Center for Training and Development.

2. Role in Setting Major Departmentwide Policy

As a member of the Fund's Executive Committee has a one sixth vote in all departmentwide policy decisions.

3. Program Sensitivity and Managerial Influence

a. Generally speaking SCIF is not a focus of active public or legislative interest. News media coverage is generated occasionally by local government officials concerned with the rising cost of Workers' Compensation Insurance generally or the outcome of a particular claims case.

b. Scope of Program Impact

As a member of the Executive Committee, has a one sixth vote in managing a major California Insurance Company. The State Fund writes about three times more workers' compensation insurance than any other carrier in California and is the second largest fire and casualty carrier headquartered in California.



Supervises SCIF operations in a 12 county area. Within that area, decisions of the incumbent affect employers seeking insurance coverage at an affordable price, employers and workers relying on SCIF safety services to insure an injury free workplace, injured workers relying on the State Fund for income following a disabling injury, payment of medical bills, and provision of rehabilitation services. Supervises statewide units responsible for Group Insurance, purchasing, printing, supply, records management, fleet maintenance, property acquisition, property management, lease management, and training.

c. Independence of Action

The Executive Committee of the Fund exercises broader independence of action than the management of most state agencies. By legislative intent, the Fund isn't subject to provisions of the Government Code generally applicable to other state agencies (except in the personnel area).

d. Personal Impact of Incumbent

Not Applicable

4. Contacts

Contacts are largely confined to operating units within the State Fund.

5. Staff Size and Mix, Program Variety, and Budget

a. Staff size 464

b. Staff Mix: Workers' Compensation Insurance Representatives, Printers, Machine Operators, Warehouse Workers, Business Services Officers, Stationary Engineers, and Janitors, Staff Services Analysts.

c. Program Variety

Insurance sales, safety services, claims adjustment, rehabilitation services, purchasing, printing, fleet management, microfilm records management, supply, building management, real property and lease acquisition, training

d. Operating Budget (1981)

\$15,483,525



e. Program Expenditures (benefits paid in 1980)
\$56,948,070

f. Program Revenues (premium written in 1980)
\$106,440,000

6. Departmental Data

a. Organizational level

Second

b. Departmental size

2,205

7. Selection Data

a. Required knowledges

-In depth knowledge of Insurance Code, Labor Code, Department of Insurance Regulations, and Workers' Compensation Insurance Rating Bureau Rules relating to Workers' Compensation Insurance in California

-Working knowledge of the theory of insurance, theories of management and supervision, trends and issues in the California workers compensation market, insurance accounting and public reporting requirements, stock and bond portfolio management, the Department's affirmative action program objectives, a managers role in the affirmative action program and the processes available to meet affirmative action objectives.

-Basic knowledge of worker's compensation sales, underwriting, safety, claims, and auditing, the operation of the Executive and Legislative branches of California State government, judicial case law precedents in insurance, contracts, workers' compensation, and tort law, U.S. L & H law and practice, corporate cash management

b. Required abilities

-Ability to achieve defined objectives in a timely and cost effective manner

-Ability to establish and monitor production goals or program priorities and controls, and evaluate progress and results



- Ability to select, develop, motivate and discipline subordinate managers
- Ability to effectively contribute to the department's affirmative action objectives.
- Ability to coordinate and integrate the work of multiple organizational segments or several different projects
- Ability to analyze organizational and operational problems and develop timely and economical solutions.
- Ability to represent the Fund both within and outside the organization and to gain support for corporate goals.

c. Special Personal Characteristic

- Ability to work as a member of a plural Executive Committee

d. Recruitment base:

There are at least ten employees currently with permanent civil service status who possess these qualifications. Most are current employees of the SCIF, but several employees in the Department of Insurance and the Department of Industrial Relations would also meet these selection criteria. This estimate is based on an actual CEA selection process in early 1981. Recruitment outside of state service is unnecessary at this time.

