

MEMORANDUM

TO: PERSONNEL MANAGEMENT LIAISONS DATE: May 8, 1998
REFERENCE CODE: 98-018

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Personnel Officers

FROM: Department of Personnel Administration
Classification and Compensation Division

SUBJECT: Classification and Pay Guide, Revision #3

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This revision contains procedural changes necessitated by the implementation of a new Career Executive Assignment (CEA) data system that will provide comprehensive position-specific information for every filled and vacant CEA position in the State. The information will be available for use by all State departments. It will include name and salary of incumbent; level of the position and the incumbent; criterion that supports the CEA category; main functions, subordinate staff, and organizational level of the position; position number; level and title of the supervisor; salary cap for the department; bargaining unit to which most closely related; department and division in which position is located; and status of the position.

It is essential to follow the procedures in this revision to ensure the accuracy of the data system. It is particularly important that the position number process be followed since that will be the tie to various data sources.

Please duplicate and distribute the changes to all holders of the Classification and Pay Guide in your department. The revision record in Section 3 should be completed after insertion of the changes.

FILING INSTRUCTIONS:

REMOVE

Section 0
Pages 0.1 - 0.3

Section 5
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Section 430
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If you have any questions regarding information in this revision,
please contact your Classification and Compensation Division analyst.



Mike Vargas
Program Manager

Attachments

GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

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CEA	NEW CEA POSITIONS	410

**410. ESTABLISHING NEW CAREER EXECUTIVE ASSIGNMENT
(CEA) POSITIONS**

This Section of the C&P Guide describes the procedures for establishing a new CEA position which has been delegated to all departments.

1. Establishment of a CEA Position

When a department wishes to establish a new CEA position, a key position description, duty statement, and organization chart are sent to the State Personnel Board (SPB) attached to a memorandum requesting that the position be established. The memorandum should provide background information regarding why the position is being requested. A copy should be sent to the Department of Personnel Administration (DPA) with the additional information specified below.

1.1 SPB Package

1. Memo to the SPB analyst requesting that the position be established and stressing the policy role of the position.
2. Key position description.
3. Duty statement.
4. Organization chart.

(Salary information should not be included in this material and organization charts submitted to SPB should not identify CEA levels.)

1.2 DPA Package

1. SPB package above.
2. CEA Salary Cap form.
3. CEA Data Base Input form.
4. Form 137.

The CEA Data Base Input form will identify the CEA criteria used. The Salary Cap form will include the new position along with all other CEA positions.

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2. Processing the CEA Request

- 2.1 Send the SPB package to the SPB analyst for review and the DPA package to the DPA analyst. After review, the SPB analyst will forward the request to the SPB Division Chief, then to the Executive Officer for approval. You will be notified if it is approved and the effective date.
- 2.2 The DPA analyst will review the DPA package. The CEA Route Sheet will be placed on top and the package will then be forwarded to the Classification and Compensation Division (CCD) Board Item Coordinator where it will be held until the position is approved and the SPB package is forwarded with their approval. The Coordinator will prepare the Pay Letter, then combine the packages and send them to the CCD file room where a file containing the information will be established for the position. The CEA position data base will be updated at that time.

3. CEA Salary Actions

An individual salary action for a CEA incumbent within the approved salary cap does not have to be reported to DPA unless increases in a fiscal year exceed ten percent.

4. Establishment of a Salary Cap

A salary cap is established by adding the number of positions at each level and multiplying the total by the top salary rate of the level and then adding the totals for each level. Positions allocated to Special CEA classes are included by adding the top step of each position. Use Attachment 4 of this Section to establish the salary cap. Temporary costs such as paying off leave credits of a retiree do not count against the cap.

Once established and approved by DPA, a department's CEA salary cap cannot be changed without justification. There are several circumstances where it might be appropriate to raise the cap.

1. A new CEA is created - the new salary cap form is submitted as part of the DPA package when the new position is requested.
2. A reorganization that results in substantial duty changes and impacts the criteria level of an existing CEA.
3. A pay program may result in our increasing the caps.

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Number 2 above requires that the department send a memo to DPA notifying us of the reasons (e.g., change in program or organization) for an adjustment. Updated key position descriptions, duty statements, and organization charts should be attached. In addition, Form 137, certifying additional funds will not be required to fund the increase, should also be submitted.

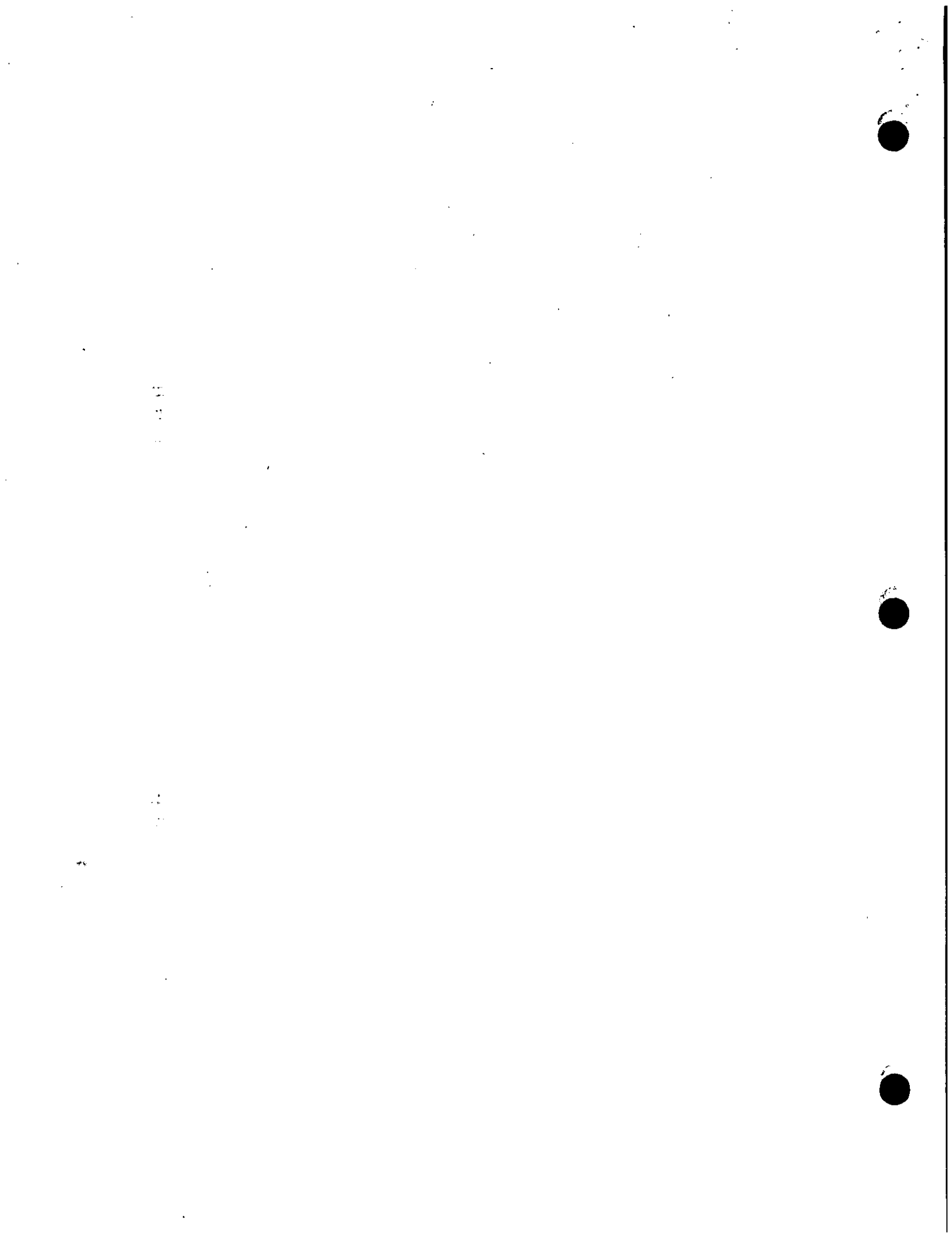
If a pay program occurs, DPA may authorize an increase in all caps. Departments will be notified as a part of the salary program for that year and the procedures to be followed.

If a CEA position is abolished or converted to an exempt or regular civil service class, the CEA salary cap shall be reduced.

5. Samples of Forms

The following pages have samples of the following forms:

Key position description, duty statement, CEA Database Input form, CEA Salary Cap Worksheet and Report, and CEA Route Sheet.



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CEA	CEA APPOINTMENTS	430

430. CAREER EXECUTIVE ASSIGNMENT (CEA) APPOINTMENTS

1. The Department of Personnel Administration (DPA) no Longer Requires Form 625 as CEA Appointments are Delegated to all Departments

1.1 Initial Appointment to a new Position

Since a key position description, duty statement, organization chart, Salary Cap form, CEA Data Base form, and Form 137 have been submitted as a part of the package establishing the position, no additional documentation is required. A department should designate the flat salary rate that the position is worth and the person appointed at that rate. The State Personnel Board (SPB) determines when an examination is required.

1.2 Subsequent Appointments

If no changes have occurred, no notification of DPA or SPB is necessary. If significant changes have occurred, such as a change in the primary function, a new organization chart, key position description, and duty statement should be sent to SPB. SPB determines when an examination is required.

Refer to Section 450 to determine when changes are to be reported to DPA.

2. Appointment Documentation

The Tenure box on the Personnel Action Request is always marked "C" (for CEA) when appointing to a CEA position unless the individual is a retired annuitant, in which case the Tenure box must be marked "R" (for retired annuitant). If a candidate without civil service eligibility is appointed, the Tenure must be shown as "P" for (permanent). Refer to Personnel Actions Manual for further information on documenting a CEA appointment.

3. Effective Dates

3.1 If a CEA retires but remains on vacation prior to the effective date of retirement, a refill may be made. However, an overlap is not allowed if both individuals are actively employed. If an emergency appointment is considered, it must be negotiated with SPB.

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3.2 Salary cap change requests must be submitted to DPA prior to the effective date. The effective date may be backdated to the date the request was received by DPA, providing the department includes in their request a statement that the incumbent was performing the higher level duties at that time.

Backdating prior to the date of the department's request may be approved for up to 60 working days if the department can clearly demonstrate that the incumbent was performing the higher level duties on the date requested. An example might be an organizational change which elevated the CEA position to a higher level of responsibility. Backdates will not be approved if the duties had changed gradually over time and there was no point or event that could clearly be identified as changing the level.

Backdates prior to the date the department submits the request requires the Classification and Compensation Division Section Manager approval, and in no instances will go beyond the 60-day limit.

4. Salary movements are based on performance. An incumbent may receive salary increases within a year that total no more than ten percent without DPA approval. It is not necessary to grant any salary increase to CEAs.

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CLASSIFICATION	REPORTING REQUIREMENTS FOR CEA	450

450. REPORTING REQUIREMENTS FOR CAREER EXECUTIVE ASSIGNMENTS (CEA)

1. CEA Data System

The Department of Personnel Administration (DPA) has developed a CEA data system that tracks every filled and vacant CEA position in the State. This data system is available for use not only by DPA but by any department interested in making comparisons of their positions to others in State service. It is essential; therefore, that the information in the data system is accurate and maintained in an up-to-date condition. The system contains information that includes the name and salary of the incumbent; level of the position and incumbent (if different); criterion that supports the position as a CEA; main functions, subordinate staff, and organizational level of the position; position number; level and title of the position's supervisor; salary cap for the department; bargaining unit to which most closely related; department and division in which the position is located; and status (active, inactive) of the position.

2. Position Numbers

2.1 Importance

The information for each position comes from both the State Controller's Office and the State department where the position is found; therefore, it is necessary that there be at least one piece of information common to both sources. The position number is the one piece of information that makes the connection between both sources; therefore, it is essential that a distinct position number be assigned to each CEA position and that DPA be made aware of any change.

2.2 Employee Retiring and Running Out Leave Credits

A CEA who is retiring from a CEA position and running out leave credits may be treated in one of two ways in relation to the position number. The preferred method is to place the retiring employee in the "Blanket," retain the original number of the position from which the employee is retiring, and refill the position with the same number. If a department does not use the "Blanket," the retiring employee could

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be assigned a new position number while running out leave credits and the original position number would, as in the preferred method described above, remain with the actual CEA position.

These same options should be used in the event of an overlap of employees in a CEA position while the old incumbent orients the new appointee. In other words, the old incumbent should be placed in the "Blanket" or assigned a new position number.

3. Reporting Requirements

- 3.1 After a CEA position is initially approved, it is necessary to provide DPA with a key position description, duty statement, organization chart, and a CEA position Data Base Form (Attachment 3 to Section Number 410) when any of the following changes occur:
- Functions and/or duties
 - Position level, if based on new duties
 - Movement to a lower organizational level
 - Movement to a different organizational unit
- 3.2 After a CEA position is initially approved, it is necessary to provide DPA with a CEA Position Data Base Form whenever the position number changes or the status of the position changes (active, inactive, abolished, or converted to exempt or civil service).
- 3.3 Every December 1 and June 1, departments will be asked to verify the information contained in the CEA data system by reviewing a printout to be provided by DPA.