

DATE: August 2, 2011

TO: MEMBERS OF THE GOVERNOR'S CABINET, ALL STATE AGENCIES
AND EMPLOYEE ORGANIZATIONS

/s/ SUZANNE AMBROSE

FROM: Suzanne M. Ambrose
Executive Officer

SUBJECT: NEW PROCESS FOR SUBMITTING CEA REQUESTS

In an effort to improve the Career Executive Assignment (CEA) review process at the State Personnel Board (SPB), the following changes are effective immediately.

1. Reactivation of a CEA
If a state agency or department previously received SPB approval for a CEA allocation, but the CEA position has not been used for 5 years or less, the agency/department may proceed to fill the position without further SPB review. Any vacant CEA allocation which exceeds 5 years, must be submitted to SPB for review and approval.
2. Level Changes
Proposals to solely change the level of a CEA will no longer be reviewed by SPB. Those requests will be submitted directly to the Department of Personnel Administration (DPA). If DPA's review reveals a substantive change in the allocation, the department will be required to submit a CEA package to SPB for review and approval.
3. Minor Changes
Proposals which reflect minor changes to CEAs, including the addition of a new program which will not impact existing CEA positions within an agency/department, will no longer require SPB approval. However, the agency/department will be required to submit documentation of the change(s) to SPB for our files.
4. Abolishments of CEAs
As always, please continue to submit courtesy notices of abolishments to SPB for our files. All notices should be sent electronically to SPB's mailbox at cearequests@spb.ca.gov.

New Process for Submitting CEA Requests

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As a reminder, departments should continue to use the "CEA Position Request" form (12/2008) and submit their CEA requests to both SPB and DPA electronic mail sites. Any changes to SPB's procedure, does not change submission procedures established by DPA. New CEA proposals and those with major changes to an existing CEA must continue to be submitted to SPB for review and approval and include the following information:

- a. Completed CEA position request package;
- b. Current and proposed organization charts which show all departmental CEA positions;
- c. Complete justification for establishing a CEA, including a justification for converting an Exempt position to a CEA if applicable; and
- d. Current and proposed duty statements.

The five-member State Personnel Board has determined that, prior to its consideration of any new CEA request, the Director of the requesting Department must confirm that he/she concurs with the proposed CEA position and responsibilities. A written confirmation should be directed to Suzanne Ambrose, Executive Officer, State Personnel Board. If there has not been an appointed Department Director, approval from the Agency Secretary is necessary. If an Agency Secretary has not yet been appointed, the necessary approval must be obtained from the Governor's Office.

We appreciate your patience during this time of increased workload and staffing shortages. While we have taken steps to address the workload, we welcome further suggestions for improvements to the process.

While CEA requests must be submitted on the "CEA Position Request" form (12/2008), attached is the SPB's internal review form for your information. The internal review form identifies the CEA factors which are used to determine if a CEA allocation is appropriate.

If you have any questions about these changes, please contact Denise D'Angel, CEA Manager, at (916) 657-2904 or by email at DDAngel@spb.ca.gov.

Attachments

CEA Position Request form
Internal CEA Review form

CEA POSITION REQUEST

(NEW 12/2008) Page 2

B. SUMMARY OF REQUEST

13. Describe the justification for this request, including the changes that necessitated this request. *(If more space is needed, attach additional pages.)*

C. ORGANIZATIONAL LEVEL CONSIDERATIONS**14. EXECUTIVE ROLE (Select one)**

- | | | |
|---|--|--|
| <input type="checkbox"/> Assistant Agency Secretary (AAS) | <input type="checkbox"/> Deputy Director (DDR) | <input type="checkbox"/> Program Manager (PMR) |
| <input type="checkbox"/> Director (DIR) | <input type="checkbox"/> Division Chief (DCH) | <input type="checkbox"/> Special Advisor/Admin Assistant (SA/AA) |
| <input type="checkbox"/> Chief Deputy Director (CDD) | <input type="checkbox"/> Project Manager (PRJ) | <input type="checkbox"/> Staff Specialist (SPC) |
| <input type="checkbox"/> Other (Explain): | | |

15. PROPOSED CEA LEVEL (Subject to DPA approval)

- 1 2 3 4 5

16. CEA LEVEL CRITERIA CODE**17. STAFFING**

Total staff reporting to this CEA:

Professional staff size:

Related Bargaining Units:

18. REPORTING RELATIONSHIP (Class Title/Level)**19. ORGANIZATIONAL LEVEL**

- 1st 2nd 3rd 4th 5th (Mega departments only)

20. RELATIONSHIP WITH DEPARTMENT DIRECTOR (check one – refer to instructions for definition)

- 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):
- Other (Explain):

CEA POSITION REQUEST

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D. ROLE IN POLICY INFLUENCE

21. Describe how the incumbent will serve as the principal policymaker within their respective program area and describe the statewide impact of the assigned program. Include a description of the degree to which the program is critical to the department’s mission, the proposed position’s responsibility for developing new policy and/or implementing existing policy, and its impact on existing CEAs. *(If more space is needed, attach additional pages.)*

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D. ROLE IN POLICY INFLUENCE *(continued)*

22. Describe whether the incumbent's role involves responsibility for policy that is sensitive, controversial, and of particular interest and concern to the public, media, and/or legislature. *(If more space is needed, attach additional pages.)*

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D. ROLE IN POLICY INFLUENCE *(continued)*

23. Describe the consequence of the incumbent's role in policy making and/or implementing policy decisions. *(If more space is needed, attach additional pages.)*

E. OTHER CONSIDERATIONS

24. Describe any major consideration that was not provided in the information above. *(If more space is needed, attach additional pages.)*

NOTE: REFER TO INSTRUCTIONS FOR REQUIRED ATTACHMENTS

CEA POSITION REQUEST

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NOTE: This page is for State Personnel Board and Department of Personnel Administration use only.

| | | |
|------------|--------------------|--------------------------|
| DEPARTMENT | CEA POSITION TITLE | POSITION NUMBER - - - |
|------------|--------------------|--------------------------|

F. SPB STAFF RECOMMENDATIONS

Approval by each level is based on the requirements of GC 18547.

Based on the Five Member Board delegation, the SPB Executive Officer approves or disapproves the proposal.

| | | |
|---|---|----------------------|
| SPB MANAGER | <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved | Comments |
| SIGNATURE | | DATE |
| CONSULTING SERVICES DIVISION (CSD) CHIEF | <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved | Comments |
| SIGNATURE | | DATE |
| ASSISTANT EXECUTIVE OFFICER | <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved | Comments |
| SIGNATURE | | DATE |
| EXECUTIVE OFFICER | <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved | Comments |
| SIGNATURE | | DATE |

G. DPA APPROVAL

| | | |
|--------------------|---------------------------|----------------------|
| CCD ANALYST | Approved CEA Level: _____ | Comments |
| SIGNATURE | | DATE |

CEA POSITION REQUEST INSTRUCTIONS

GENERAL INFORMATION

Submit a CEA Position Request Form to SPB and DPA for any of the following:

- New CEA positions
- CEA positions with significant changes in duties or reporting relationships
- CEA positions with minor changes
- Reactivating inactive CEA positions
- Level changes

Provide these documents with all requests:

- A completed CEA Position Request form
- A duty statement with percentages
- Current and proposed organization charts showing the proposed position
(Please identify position on chart and save in pdf format)
- Organization chart(s) depicting all the CEA and Exempt positions in the department. **(Save in pdf format)**

HOW TO COMPLETE THE CEA POSITION REQUEST FORM

Complete all items on Pages 1-5 of the CEA Position Request form. For detailed instructions on completing the form, see below. The numbered items correspond to the numbered boxes on the form.

- (1) For new requests, leave blank. For changes to existing CEA positions, contact DPA for Record Number.
- (2) Enter the date the CEA request is emailed to SPB and DPA.
- (3) Enter the official name of the requesting department.
- (4) Enter the name of the division/branch/office in which the CEA position resides.
- (5) Enter the CEA position title (Example: Deputy Director, Administration)
- (6) Enter the CEA position number. Use xxx for the serial number if the position has not been established.
- (7) Provide a brief description of the CEA position for the SPB Agenda Calendar, CEA Category Activity, Part A. See samples below.

NEW CEA Position:
PROGRAM DIRECTOR, PERFORMANCE MEASUREMENTS DIVISION, CORRECTIONAL HEALTH CARE SERVICES
The Department of Corrections and Rehabilitation proposes to allocate the above position to the CEA category. The Program Director will provide critical subject matter expertise, develop and implement policies for program monitoring and evaluation standards and training programs related to performance measures for the delivery of health care, and will have responsibility of ensuring compliance with mandated court orders.

REDIRECTED CEA Position:
CHIEF, OFFICE OF STRATEGIC PLANNING AND POLICY
The Department of Mental Health proposes to redirect a CEA position from the Chief, County Finance Program Supervisor, to Chief, Office of Strategic Planning and Planning and Policy. The proposed position is responsible for the development, implementation, and measurement of the department's strategic plan; the position will direct and oversee the department's efforts to re-engineer its business processes; the position will set statewide policy on issues related to strategic planning.
- (8) Check appropriate box. If revising or reactivating an existing CEA position, send a copy of original package.
- (9) Enter name, title, phone, and email address of contact person in the Department Human Resources office.
- (10) Enter name, title, phone, and email address of departmental approving official.
- (11) Indicate type of function. Select one or check "Other" and explain.
- (12) Fill in size of department and number of positions as requested. Note that "existing staff" is defined as authorized positions in the Governor's Budget. If department has a large number of contracted or temporary employees, explain in Section E, Other Considerations.
- (13) Summarize request and identify relevant considerations.
 - For new CEAs, provide background information regarding why the position is being requested. (For example: reorganization, new mandate, etc.)
 - For revisions to existing CEA positions, explain what has changed (either major or minor changes).
 - For reactivating inactive CEA position, explain why position is being reactivated.
 - For level changes, explain what has changed to warrant an upgrade.
- (14) Select one or check "Other" and explain.
- (15) Select proposed CEA level. Refer to Pay Scales Section 8 for definitions of levels.
- (16) Enter the CEA Level Criteria code from the Pay Scales, Section 8.
- (17) Fill in number of positions as requested. For total staff, include direct and indirect reports. Identify bargaining units that are tied to the position.
- (18) Identify class title and level of position that proposed CEA will report to.
- (19) Select one. Refer to Classification and Pay Guide Section 400 for definitions of organization levels. "Mega" is defined as a department with over 17,000 employees.
- (20) Select one or check "Other" and explain. "Executive Team" is defined as persons who are regularly involved in policy making at the department level.
- (21) Provide a thorough and complete answer and include specific examples. Address both SPB and DPA issues.
- (22) Provide a thorough and complete answer and include specific examples. Address both SPB and DPA issues.
- (23) Provide a thorough and complete answer and include specific examples. Address both SPB and DPA issues.
- (24) Provide any other pertinent information.

HOW AND WHERE TO SUBMIT THE CEA POSITION REQUEST PACKAGE

Packages should be transmitted electronically by the department's Personnel Officer to SPB and DPA simultaneously, to the following mailboxes:

SPB: cearequests@spb.ca.gov

DPA: CEA@dpa.ca.gov

Note: The submission of the CEA Position Request by the departmental Personnel Officer signifies to SPB and DPA that the department has obtained all necessary internal approvals and that the Department Approving Official named in #10 has the authority to approve such a request.

WHO TO CONTACT FOR QUESTIONS

SPB: Denise Masuhara, CEA & Board Item Unit, 657-2904

DPA: Contact your assigned CCD analyst.

(For Internal SPB Use Only)

CEA ALLOCATION FACTORS WORKSHEET
(DEPARTMENT NAME)
(DEPARTMENT MISSION STATEMENT)

| CEA Factors | CEA Position Title |
|--|---|
| Date Established Or Changed (Minor/Major) | |
| Reporting Relationship | |
| Staff Size Direct Reports Indirect Reports | |
| Organizational Level | |
| Fiscal Responsibilities | |
| Program Areas | <i>List the program(s) and the related functions for which the position is the principal policy-maker.</i> |
| 1. Nature of Program Responsibility Line Program(s): | <i>Describe the breadth of program responsibility (i.e., statewide or regional) and how it relates to the primary mission of the department. Describe the type of program (i.e., technical program, specialized program, and /or legislative mandated program and is program new.</i> |

(For Internal SPB Use Only)

**CEA ALLOCATION FACTORS WORKSHEET
(DEPARTMENT NAME)
(DEPARTMENT MISSION STATEMENT)**

| | |
|--|--|
| <p>Administrative Program(s):</p> | |
| <p>2. Role in Setting Major Departmental Policies</p> <p>Policy Influence: (Examples)</p> | <p><i>Position creating & implementing new policy or interpreting & carrying out existing policy. Policy influence pertains to extent of decision making (i.e., makes final decisions, decisions made in group setting, develops and/or recommends, or develops w/no decision making authority. (Note: The policy-role is what drives the department mission.)</i></p> |

(For Internal SPB Use Only)

**CEA ALLOCATION FACTORS WORKSHEET
(DEPARTMENT NAME)
(DEPARTMENT MISSION STATEMENT)**

| | |
|---|---|
| <p>3. Sensitivity of Program Area(s) and Impact of Decision</p> <p>Sensitivity:</p> <p>Impact of Decisions: (Consequence)</p> | <p><i>Sensitivity of program refers to the amount of controversy it receives (media, legislative, public, court/regulatory, and/or Governor's Office interest). Areas affected by poor policy decisions and range of impact (i.e., department operations compromised, impact on public, loss of dollar value, discredit to dept., health and safety of Californians, violation of law or court /regulatory requirements).</i></p> |
|---|---|