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THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

PERSONNEL OFFICERS
EMPLOYEE RELATIONS OFFICERS

From: Department of Personnel Administration

Subject: State Restriction of Appointments (SROA) Policies and Procedures
(Supersedes Management Memo 89-01)

Attached are the following materials relating to SROA:

1. REVISED SROA PROGRAM POLICIES AND PROCEDURES

The attached SROA Policies and Procedures supersedes Management Memo 89-01. Departments are responsible for advising all employees involved in the hiring process of the revised SROA policies and procedures. Following is a list of the most significant changes included in this revision.

<u>Reference</u>	<u>Section Title</u>	<u>Policy/Procedure Change</u>
II A.5	Administrative Responsibility	DPA Change of Address
II B.2	Administrative Responsibility	SPB Representative
III B.3	Determination of SROA Eligibility	DPA Representative
III B.5	Determination of SROA Eligibility	DPA Representative
III D.2	Determination of SROA Eligibility	DPA Representative
V A.3	SROA Lists - General Information	SPB Representative
V B.2	SROA Lists - General Information	SPB Representative
V D.1-3	SROA Lists - General Information	SPB Representative
IX C.	Special Exceptions to SROA	DPA Representative
XI A.	DPA/CCD Section Coordinators	DPA Representative

2. REMINDER TO ALL DEPARTMENTS

- a. At the beginning of the recruitment process, departments are responsible for requesting reemployment and SROA lists regardless of the source of a regular certification for the class of hire. See SROA Policies and Procedures V B. and D.
- b. SROA and Limited Examination Appointment Program (LEAP) hires interact as follows. Before a LEAP eligible can be hired initially, any reemployment or SROA list for the class of hire must be cleared first. When a LEAP eligible has successfully completed the TAU period and the department wishes to transition him/her into permanent status, an SROA exemption must be requested and approved.

- c. There is no difference in the clearance procedure for SROA List I and List II classes. Contacting and hiring List II eligibles is not optional. They are to be given the same consideration as List I eligibles.
 - d. Departments must secure Department of Personnel Administration (DPA) approval for participation in the SROA program prior to submitting employee names for placement. If necessary a meeting may be arranged to discuss any exceptional requests a department may have.
 - e. Exceptions to bypass employees on SROA List I and List II must be approved in advance by the DPA. Requests should be directed to your departmental Classification and Compensation Division (CCD) analyst, Department of Personnel Administration, 1515 "S" Street, Suite 400 - North Building, Sacramento, CA 95814, Telephone (916) 324-9381, (ATSS) 454-9381.
 - f. Departments are responsible for requesting extensions of SROA eligibility for their surplus employees well before (at least three weeks) the date their eligibility expires. Requests for extensions should be addressed to the attention of your CCD analyst at DPA and should include the names and class titles of the individuals to be extended.
 - g. SROA surplus lists will be updated as changes take place. Because of this, departments must check with the SPB/SROA Unit or use the On-Line Certification system to:
 - 1. Determine if there is an SROA list for the position (class) to be filled.
 - 2. After list clearance, check to determine if any new names have been added to the SPOA lists.
- Note: See Section V-D for Updating SROA lists.
- h. Hiring departments that may have vacant limited term positions in classes either on List I or List II, which are projected for nine months or longer will be required to clear the SROA lists. Eligibles should be informed during the initial contact that the vacancy is being filled on a limited term basis and the anticipated length of the assignment. Departments may then follow the Clearance of SROA Lists procedure found in Section V.-E. of this memorandum.
 - i. Departments are asked to notify the SPB/SROA Unit of SROA hires, as soon as possible, by calling either Linda MacCracken, the SROA Coordinator, at 324-0398, (ATSS) 454-0398 or Irene Mancha the SROA Clerk at 323-5524, (ATSS) 473-5524. This is necessary to keep both lists as up to date as possible.

All State agencies are required to fill vacant civil service positions in accordance with the revised SROA Policies and Procedures. No agency is exempted from the Program nor will blanket exceptions be granted.

George P. Lloyd II

George P. Lloyd II, Chief
Classification and Compensation Division

Attachment

SEW/C792

**STATE RESTRICTION OF APPOINTMENTS (SROA) PROGRAM
POLICIES AND PROCEDURES**

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**STATE RESTRICTION OF APPOINTMENTS (SROA) PROGRAM
POLICIES AND PROCEDURES**

I. INTRODUCTION

This memorandum outlines the revised policies and procedures that departments must follow under the Department of Personnel Administration's (DPA) State Restriction of Appointments (SROA) program. Authority for the program is provided in Government Code Sections 19998 and 19998.1. The SROA program is intended to assist in the placement of surplus employees facing layoff or whose positions have been or are about to be changed substantially or eliminated due to management initiated changes.

The SROA procedures apply to all appointments including new hires, promotions, permissive reinstatements, transfers, voluntary demotions, training and development assignments and limited term appointments to classes identified by the Director as being appropriate due to staff reductions. Exceptions are discussed in Section VIII and IX of these Policies and Procedures.

II. ADMINISTRATIVE RESPONSIBILITY

A. The DPA is responsible for administering the SROA program, and retains responsibility for the following:

1. Developing and maintaining the SROA policy.
2. Making the initial determination that a department has surplus employees who are eligible for the SROA program.
3. Approving individual employees for participation in the SROA program.
4. Reviewing and ruling on requests for exception to SROA List I and List II.
5. Determining and implementing appropriate corrective actions for SROA policy violations.

Questions regarding the above may be addressed to:

Department of Personnel Administration (D-22)
Classification and Compensation Division
1515 "S" Street, North Building, Suite 400
Sacramento, CA 95814
(916) 324-9381, (ATSS 454-9381)

B. The SPB has been delegated the responsibility to implement and carry out the restriction of appointments policy and has established the SPB/SROA Unit to oversee the following activities:

1. Selection and designation of SROA List II classes for the classes of layoff.
2. Reviewing and ruling on appeals from decisions of the SPB/SROA Unit staff.
3. Collection and entering of employee information from the SPB Form 360 (Job Placement Questionnaire).
4. Maintaining and issuing to hiring departments employment lists containing the names of surplus employees.
5. Auditing all appointments to SROA List I and II classes for compliance with the restriction of appointments policy.
6. Answering telephone inquiries regarding certification of eligible surplus employees.
7. Maintenance of data printout listings for both SROA Lists I and II.

The SPB/SROA Unit is located at 801 Capitol Mall, IMS E-9, Room 332, Mail Station #38. The telephone numbers are as follows:

SPB/SROA Coordinator: Linda MacCracken
(916) 324-0398, (ATSS 454-0398)

SPB/SROA Clerk: Irene Mancha
(916) 323-5524, (ATSS 473-5524)

III. DETERMINATION OF SROA ELIGIBILITY

A. RECOGNITION OF SURPLUS

In order for surplus employees to be considered for SROA eligibility, the DPA must first recognize that a surplus exists and that unless eliminated would result in a layoff. Accordingly, departments which have surplus employees and wish to place them through the SROA program should discuss their situation with the DPA. Requests for SROA eligibility are to be submitted to the DPA in writing and must include specific classes which have surplus employees, the number of positions to be eliminated in each class, the names and estimated seniority scores of employees impacted in each class, and departmental plans or options for internal placement.

1. If it appears that a layoff will take place, department personnel representatives should contact their SPB Affirmative Action and Merit Oversight Programs analyst and inform them that they are in a potential lay-off situation.

2. If the surplus employees can be placed in the department through involuntary transfer (class and/or relocation) the DPA will review, on a case-by-case basis, to determine if the SROA program could benefit the employee and/or the department.
3. If an entire program is leaving State jurisdiction, such as county opt-outs, and all employees are to be provided with positions in the new jurisdiction, SROA eligibility will not be routinely granted, but will be reviewed on a case-by-case basis.

B. SROA ELIGIBILITY CRITERIA

1. Only the lowest senior employees in classes identified as having surplus employees within the department, and area of layoff are eligible for the SROA program. Eligibility will be approved based on the anticipated action related to the surplus employees, and may be restricted by class and location.
2. Because only employees facing layoff/demotion, relocation or reclassification are eligible for placement on SROA lists, those who choose to participate in the program are expected to make every effort to secure a position by:
 - a. Responding honestly to contacts;
 - b. Preparing properly and presenting themselves well at interviews;
 - c. Make a clear appraisal of their existing skills and abilities, show an interest in learning new skills, and express an interest in the position for which they are interviewed; and
 - d. Clearly state their interest or waiver of the position.

NOTE: SROA will not be used for arbitrary job searching or as a means to make desired career changes which reach beyond the intent of the SROA program. State employees retain permissive transfer rights for those types of job changes. The DPA will remove from SROA any employee who misuses their eligibility.

3. Employees will not be placed on inactive status, at their request, once their name is active on SROA. Exceptional circumstances will be evaluated on a case-by-case basis. However, employees may have a List II class deleted from their SROA listing if they do not wish to receive any contacts for that List II class.
4. Employees may update their information, such as addresses or telephone numbers, at any time by writing to the SPB/SROA Unit.
5. SROA eligibles may exercise an unlimited number of waivers of appointment from SROA lists. However, eligibles should be cautioned that their eligibility is limited and they should avail themselves of all employment opportunities. Failure to respond to

either a written or telephone contact will result in the employee being placed inactive for that class (E-1, Note: Page 8).

6. Departments must notify the DPA and the SPB/SROA Unit when their surplus has been eliminated so that employee names may be removed from SROA Lists.

C. LENGTH OF SROA ELIGIBILITY

1. **LAYOFF/DEMOTION/INVOLUNTARY TRANSFER:** The initial SROA eligibility is granted for up to 120 days. This eligibility may be limited to the 120 days prior to the projected date of the discriminatory hiring practices hearings (G. C. Section 19798) by the SPB or the established layoff/transfer date, whichever is later.
2. **EXTENSIONS OF SROA ELIGIBILITY:** Extensions to SROA eligibility will not be routinely granted and are subject to the review and approval of the Director, Department of Personnel Administration.

D. ESTABLISHING SROA LIST ELIGIBILITY

1. DPA will notify the SPB/SROA Unit when individuals are approved for SROA participation.
2. Participation in the SROA Program is voluntary. Eligible employees who choose to participate must complete SPB Form 360, SROA JOB PLACEMENT QUESTIONNAIRE (See Attachment #1) and return it to their personnel office. This form provides all information necessary to place the employee on the appropriate SROA Lists. It is the department's responsibility to provide employees with the form, explain to them the nature of the SROA program, and to forward the completed form to the appropriate CCD analyst who will review the form for completeness and forward it with a request for SROA List II classes to the SPB/SROA Unit. Departments cannot require employees to complete the Job Placement Questionnaire or forward a questionnaire without the full consent and understanding of the employee.
3. A limited number of positions in restricted classes may be specially funded under the Career Opportunities Development (COD) Program. Legally these positions can only be filled by persons who meet special eligibility requirements. In order to determine whether surplus employees are eligible to be considered for these positions, they must fill out and submit SPB Form 360-A SROA COD PROGRAM ELIGIBILITY FORM (See Attachment #2) to the SPB SROA Unit. The departments should provide this form to employees at the same time that they provide the Job Placement Questionnaire.
4. Upon receipt of DPA approval for participation and the completed Job Placement Questionnaire, the SPB/SROA Unit will place the employee on the appropriate SROA List(s).
 - a. Departments must be aware that if a surplus employee has been working in an inappropriate class, or has not been

performing duties typical to his/her current class, it is possible that the employee will not be as competitive as others on the same SROA List. (Hiring departments will not be responsible for resolving another department's classification problems through the SROA program.)

- b. Departments should recommend appropriate SROA List II classes to the SPB/SROA Unit when requesting SROA eligibility for surplus employees. Departments should also review the work histories of their surplus staff in order to help establish SROA List II eligibility which might be appropriate for an individual but not necessarily all surplus staff in a given class. SROA List II eligibility will be granted for those classes which most closely correspond to the employee's personal skills and experience along with transfer classes related to the class of layoff.

IV. REEMPLOYMENT LISTS

A. ORDER OF PREFERENCE

Reemployment lists take precedence over SROA Lists. The order of preference in certifying eligibles shall be: Subdivisional Reemployment List, Departmental Reemployment List, General Reemployment List, SROA List, followed by other promotional and open lists.

B. GENERAL REEMPLOYMENT LISTS

If the appointment is to be made from a General Reemployment List, the appointment may be made from one of the three persons standing highest on the list. If fewer than three names are on the General Reemployment List, appointment may be made from the persons on the General Reemployment List or the persons on the SROA List.

V. SROA LISTS - GENERAL INFORMATION

A. RESTRICTED CLASSIFICATIONS

The classes included under the restriction of appointments policy will be placed on either SROA List I or II, depending on the extent to which they are related to classes included in a potential layoff.

1. SROA LIST I consists of all classes included in the anticipated layoff. SROA List I on a certification will contain the names of surplus employees who are currently in that class.
2. SROA LIST II consists of classes that either have a general relationship to classes included in an anticipated layoff or represent alternate placement opportunities for surplus employees. SROA List II on a certification will contain the names of employees as recommended by the department and the SPB.

NOTE: A class may be on both SROA List I and II at the same time. This may occur where the class has surplus employees and is also considered an alternative placement opportunity for surplus employees in other classes.

3. Departments will be issued SROA certifications containing all available names for the class by specific location in which the vacancy exists and the time base requested.
4. Rule of the list applies to SROA list certification. Any employee on an SROA list may be hired regardless of whether they are a List I eligible or a List II eligible.

B. REQUESTING SROA LISTS AND DOCUMENTING CONTACTS

Hiring departments are responsible for requesting reemployment and SROA lists regardless of the source of a regular certification for the class.

1. Certifications issued by the SPB Central Certification Unit will include the names of all SROA eligibles in the data base on the date the certification is ordered. Contacts are documented on the certification and reported to the SPB/SROA Unit in accordance with regular certification clearance procedures.
2. If certifications are issued by the department through delegated testing or decentralized certification, the department must contact the SPB/SROA Unit and order an SROA List for the class.

The SPB/SROA Unit will issue a certification for the class requested. Departments must document contacts on the certification and return it to the SPB/SROA Unit when the clearance process is completed. (See V.-D., Updating SROA Lists and V.-E, Clearance of SROA Lists).

3. Contacts to SROA eligibles are valid for the same period of time as contacts to any other list eligibles.

C. CONTACT OF ELIGIBLES

1. All contacts to employees should be made in writing. Telephone contacts may be made if verified in writing. SPB Form 617, SROA Clearance and Waiver, should be used for this purpose. Departments may order forms by submitting a request in writing to the State Personnel Board Supply Unit, 801 Capitol Mall, Mail Station #90.
2. Employees are to be allowed a reasonable time to respond to inquiries as provided for by SPB Rules 258 and 260. The minimum amount of time that may be given to respond is 48 hours.

D. UPDATING SROA LISTS

The number of names on an SROA List will vary depending on the daily status of surplus staff in the State. SROA Lists will be updated as changes take place.

In order to maximize exposure of SROA eligibles to vacancies while maintaining an acceptable time frame in the recruitment and hiring process, the following procedures are to be used for all appointments which are subject to the SROA program.

1. Departments with On-Line Certification Capability

- a. Browse ROPES report "XXXXLIST" to determine if a List Type 'A' (SROA List I) or 'B' (SROA List II) exists for the specific class. A screen print of this report will serve as documentation that an SROA list does not exist.
- b. If a List Type 'A' and/or 'B' exists, departments should order a certification and make contacts to fill the position.
- c. Before a hiring commitment is made to a non-SROA eligible, departments must browse ROPES report "XXXXSROA" to determine whether any new names have been added. A screen print will serve as documentation that there are no additional names.

2. Departments without On-Line Certification Capability

- a. Call SPB Certification Unit to inquire whether an SROA list exists for a specific class.
- b. Order an informal certification as documentation that no SROA list exists. If an SROA list does exist, order a formal certification.
- c. If an SROA list exists, before making a hire commitment, contact SPB Certification Unit to determine whether new names have been added. If there are no additional names, write "No Additional Names" at the bottom of the Certification. If, new names have been added, write the new names on the existing certification and contact the new eligibles.

3. No SROA update is required if the department is hiring an employee from the reemployment or SROA list for the class.

E. CLEARANCE OF SROA LISTS

1. A name may be cleared from an SROA list for any of the following reasons:

The employee (1) has been hired by an agency other than the one in which he/she is designated as being surplus (HS); (2) waives eligibility for appointment (AW); (3) does not respond to the contact (IDNR); (4) does not appear for work or interview (IDNA); or (5) is hired from this certification (H).

NOTE: Departments must inform employees that if they do not respond to the SROA Contact (IDNR), or they do not appear for a scheduled SROA interview (IDNA), they will be automatically placed on inactive status for that classification and for all departments. If this should occur then the employee will have to request, in writing, that he or she be placed active again for that classification. Reinstatement requests should be directed to the SPB/SROA Coordinator.

2. In addition, departments may be allowed to clear the name of an SROA eligible by Special Exception ("S.E.") See IX., Special Exceptions to SROA.

F. INTERCHANGEABLE POSITIONS

When a department is attempting to fill interchangeable positions (e.g., Staff Services Analyst/Associate Governmental Program Analyst or Graduate Legal Assistant/Legal Counsel/Staff Counsel I, etc) and it clears the SROA List for one class, it must request and use the SROA list for other class or classes in the series. No new employees will be hired while there are surplus employees in the interchangeable classes.

G. DEPARTMENTAL RESPONSIBILITIES

1. Recruitment

Hiring departments are required to make a good faith effort to fill vacancies with employees through appropriate use of the SROA lists. When filling vacancies which are subject to SROA, appointing authorities will:

- a. Order the SROA list at the beginning of the recruitment process in order to give SROA eligibles an opportunity to compete equally with other candidates.
- b. Update the SROA list prior to completing interviews in order to give additional SROA eligibles an opportunity to compete. (See V. - D., Updating SROA Lists).
- c. Confirm that the duties of the position are appropriate to the classification being recruited.
- d. Recognize that a reasonable training period, typically the length of probation, is a part of the selection process.

2. Hires

All SROA hires are to be reported to the SPB/SROA Unit immediately so that names can be removed from SROA lists in a timely manner.

3. Non-Restricted Classes

If departments have vacancies in classes that are not restricted on SROA List I or II, they are encouraged to consider surplus employees for those vacancies. The SPB/SROA Coordinator will attempt to provide lists of interested and qualified employees for vacancies in a variety of nonrestricted classes when requested.

VI. APPOINTMENT OF SURPLUS EMPLOYEES

A. REEMPLOYMENT/SROA LISTS

Appointment transactions will be one of the following:

1. An appointment from the appropriate reemployment list for the class.
2. An appointment from the SROA list.
3. For surplus employees not yet laid off, an appointment by transfer may be made after clearance of any existing reemployment list for the class.
4. For surplus employees who have been laid off but, who are not yet on Reemployment Lists, a reinstatement made be made after clearance of any existing reemployment list for this class.

B. REGULAR EMPLOYMENT LISTS

After any existing reemployment list has been cleared, surplus employees may be appointed from any regular list upon which they have eligibility and are reachable without clearance of the appropriate SROA lists. These appointments must be approved in advance by the SPB/SROA Coordinator.

C. DIRECT CONTACT OF SURPLUS EMPLOYEES

If a department has identified and wishes to hire a surplus employee, they may do so without clearance of the SROA list. It is not necessary to wait until the employee's name appears on the SROA list. The SPB/SROA Unit is to be contacted, however, for verification of the employee's eligibility for SROA and to remove the employee's name from the system. Surplus employees may contact departments directly and obtain appointments if desired. They do not have to be referred by a SROA certification.

D. PROBATIONARY PERIODS

Departments may require surplus employees hired from SROA lists to serve a new probationary period. Employees rejected during probation

would be returned to their former department and would again become subject to layoff action.

E. APPOINTMENT AUDIT PROCEDURES

All appointments to SROA List I and II classes are subject to audit by the DPA and/or the SPB/SROA Unit for proper documentation of appointments and clearances. When incomplete documentation or unapproved exceptions to the SROA policy are identified, follow-up action with departments will be taken.

VII. CORRECTIONS OF POLICY VIOLATION

When the audit process reveals a departure from the restriction of appointments requirements, and the apparent violation is the result of a clerical or procedural error, the error will be corrected. If a true policy violation exists, it will be specifically identified to the department along with the appropriate corrective action. Corrective action may include rescinding the appointment. When an appointment is to be rescinded, the DPA will notify the Personnel/Payroll Services Division at the State Controller's Office and the SPB/SROA Coordinator.

VIII. SROA POLICY EXEMPTIONS

The following types of appointments are not subject to the SROA policy and require no prior approval, providing the stated criteria are met.

- A. APPOINTMENT FROM A REEMPLOYMENT LIST**
- B. MANDATORY REINSTATEMENT TO SAME CLASS - SAME DEPARTMENT**
- C. INTRADEPARTMENTAL TRANSFER TO SAME CLASS**
- D. RETIRED ANNUITANT**
- E. TO FULL-TIME FROM A REDUCED WORKTIME PROGRAM - SAME DEPARTMENT/SAME CLASS**

Applies only to permanent full time employees who:

- 1. Voluntarily reduced their time base under the Reduced Worktime Act, and;
- 2. Are returning to full-time work in the same class under the same appointing power.

F. PROMOTIONS IN PLACE

Applies only when all of the following criteria are met:

- 1. There is no true vacancy, and

2. There is no change of position, assignment or supervisory/subordinate relationship of employee, and;
3. The promotion is clearly identified as typical in cases where the employee has reached the fully skilled level within a class series (Staff Services Analyst promoting to the Associate level).

Promotions that do not meet the above criteria are subject to the SROA policy and procedures.

IX. SPECIAL EXCEPTIONS TO SROA

Some types of appointments may be considered for special exception to SROA due to extraordinary circumstances. Special exceptions must be requested in writing and approved in advance. Blanket exceptions will not be granted.

Requests for special exception to SROA List I and List II should be addressed to the Personnel Services Branch, at DPA.

NOTE: Requests for special exception to SROA List I for Appointments to the Staff Services Manager I level and above require prior Agency Secretary approval.

Departments that do not report to an Agency Secretary may submit requests directly to the DPA.

Below are the types of appointments and extraordinary circumstances which may be considered for a special exception to SROA.

A. PLACEMENT OF A DISABLED WORKER

Transfer to a classification or job situation as recommended and/or approved by a physician, for reasonable accommodation. Requires written narrative request, full explanation of situation and copy of doctor's statement.

B. INTRADEPARTMENTAL TRANSFER - CHANGE IN CLASS

To resolve surplus prior to initiating layoff, providing the surplus has been previously identified in writing to DPA, with a full explanation of the situation, including a departmental plan for placement of surplus staff. Requires written request referring to resolution of surplus.

NOTE: A departmental hiring freeze has no impact on the SROA program and is not an acceptable reason for requesting a special exception to SROA.

C. EMERGENCY AND LIMITED TERM APPOINTMENTS

For project status jobs of short duration (three to nine months) when there is no possibility of a permanent appointment. Requires narrative request fully explaining circumstances and a copy of the duty statement.

D. INTERDEPARTMENTAL TRANSFER

1. Substitution of SROA eligible:

The vacancy left behind will provide for placement of a SROA eligible in the department of layoff. Request must include the name and classification of employee to be removed from SROA.

2. Fill behind policy:

The vacancy left behind will provide the same opportunity for a SROA placement as the position being filled. Positions must be at the same level and generally will be in the same class. The request must include a written commitment by the department from which the employee is transferring and copies of both duty statements.

E. REINSTATEMENT AFTER LAYOFF

After layoff, individuals may be permissively reinstated to appropriate classes for which they have no reemployment list eligibility. However, if a reemployment list exists for the class of reinstatement, it must be cleared first. If there is also a SROA list, it need not be cleared if a SROA exception is requested and granted. The exception request should include the name of the individual to be reinstated, the class from which they were laid off, and the name of their former department.

F. OTHER SPECIAL EXCEPTIONS

Requests for special exception based on critical hiring needs will be considered only for the most sensitive positions. Interview of all SROA eligibles is required. **Narrative requests must include:**

1. The nature of the critical hiring need and why it cannot be met through SROA hiring.
2. The results of all interviews and copies of the applications of all SROA candidates interviewed and the proposed appointee.
3. A copy of the position duty statement and a simple organization chart showing the position.
4. The consequences if an exception is not granted.
5. Whether granting an exception will create a vacancy which can be filled by SROA. If a vacancy results but cannot be filled by SROA, explain.
6. Other positions that have been filled through SROA hires in the last six months.

Departments may be required to submit additional information upon request. Exception requests will be considered in conjunction with the class specification. Critical hiring needs which include extraordinary skill requirements or specialized knowledge and abilities may be subject to classification review.

NOTE: Departments are cautioned not to confuse desirable qualifications with critical hiring needs.

X. SROA INTERACTION WITH THE CAREER OPPORTUNITY DEVELOPMENT (COD) PROGRAM

A. COD CONTRACT PLANNING

It is not the intent of the SROA program to unduly interfere with the COD program. However, since it does not make good sense to be hiring new employees into classes which have a significant number of surplus employees facing layoff action, it is very important to consider the impact of the SROA program when planning and developing COD contracts. As a general principle, departments should not be contracting for positions in classes with large numbers of surplus employees needing to be placed. Since many COD classes are not on restriction and others such as Office Assistant I and II have sufficient turnover, meaningful COD contracts may still be developed.

B. COD COORDINATION WITH SPB/SROA UNIT

To help ensure that appropriate consideration is given to SROA issues, the COD Unit at the Personnel Board will consult with the SPB/SROA Coordinator before finalizing COD contract proposals. The SPB/SROA Coordinator will provide information on the status of SROA lists and on expected surplus employees in the future. This will assist the COD Unit and departments in making appropriate decisions as to which classes to include in their contracts in order to avoid conflicts with the SROA program. It is expected that once contracts are approved, transitioning problems for COD trainees will be minimal.

C. INITIAL HIRES INTO COD-FUNDED POSITIONS IN RESTRICTED CLASSES

Since it is possible that COD eligibles may be on SROA lists, SROA lists must be screened for eligibles. If eligibles are found, they must be hired or cleared before other lists may be used. WIN/COD eligibles will be flagged "9" and COD/REHABILITATION eligibles will be flagged "H" on SROA Lists for easy identification. If an SROA list does not contain any COD eligibles, it may be bypassed and other employment lists used. Any questions concerning whether individuals flagged on SROA lists possess the eligibility requirements should be directed to the COD Unit at the Personnel Board at 445-5812 (ATSS 485-5812).

D. TRANSITIONING COD EMPLOYEES INTO PERMANENT POSITIONS IN RESTRICTED CLASSES

After employees in COD-funded positions have served their appropriate training period, they may be transitioned to permanent civil service positions as follows:

1. Employees who were hired into status classes from eligible lists may transfer to permanent positions in the same class without first clearing SROA lists. (Intradepartmental transfers in the same class are exempt from SROA.)
2. Employees who were hired into TAU classes and who are required to complete in an examination in order to transition, may be hired into permanent positions only after SROA lists have been cleared.

XI. DPA's CCD SECTION SROA COORDINATORS

Any questions on these procedures should be referred to the appropriate CCD/SROA Section Coordinator: CCD Section I-Marcella Anderson; CCD Section II-Judy O'Day; CCD Section III-Marie Powell; CCD Section IV-Alfonso Ramirez at (916) 324-9381, (ATSS) 454-9381.

EDUCATION

NAME OF SCHOOL	COURSE OF STUDY	UNITS	DEGREE

CERTIFICATES OR LICENSES

EXPERIENCE

FROM	TO	JOB TITLE AND DESCRIPTION	SALARY	EMPLOYER

I am aware that my participation in the SROA program is voluntary.

EMPLOYEE SIGNATURE

DATE

PRIVACY STATEMENT

AGENCY NAME: State Personnel Board (SPB).
UNIT RESPONSIBLE FOR MAINTENANCE: State Restriction of Appointments Unit, 801 Capitol Mall, P.O. Box 944201, Sacramento, CA 94244-2011.
AUTHORITY: Government Code Section 19998.1 is the authority for the establishment of the State Restriction of Appointments Program.
PURPOSE: The information you furnish will be used to add your name to restricted lists.
PROVIDING INFORMATION: Participation in the State Restriction of Appointments Program is voluntary. If you choose to participate, it is required that you provide all information requested on page 1 of this form. Other information requested on the form is voluntary.
ACCESS: When submitted to the State Personnel Board your completed State Restriction of Appointments Form becomes confidential information and the property of the Board. Only authorized personnel directly involved in the selection process will be allowed access.

**STATE RESTRICTION OF APPOINTMENTS PROGRAM
 COD PROGRAM ELIGIBILITY FORM
 100-360-A (5/83)**

NAME: _____ ***SSA #** _____

ADDRESS: _____ **HOME PHONE:** _____

DEPARTMENT: _____ **OFFICE PHONE:** _____

CLASS TITLE: _____

A limited number of positions in your job classification may be specially funded under the Career Opportunities Development (COD) Program. The COD Program is a special hiring program created under the Welfare Reform Act of 1971. The COD Program subsidizes positions in State departments using State and Federal funds. Legally, these positions can be filled only by candidates who meet special employment and training program eligibility requirements.

So that we can determine your eligibility for the specially funded positions, please check any of the following which may apply to you:

9- I am a member of a family receiving welfare assistance under Aid to Families with Dependent Children (AFDC) and I am registered with the county welfare office located:

_____ (Address) _____ (City)

H- I have a physical or mental disability which has prevented or may prevent me from obtaining employment and I am a client of the Department of Rehabilitation office located:

_____ (Address) _____ (City)

9- I am currently working in a WIN/COD funded position.

H- I am currently working in a COD/Rehabilitation funded position.

I do not qualify under any of the above.

Please notify the State Personnel Board promptly of any change in eligibility, address, or availability for employment.

PRIVACY STATEMENT

AGENCY NAME: State Personnel Board (SPB).

UNIT RESPONSIBLE FOR MAINTENANCE: State Restriction of Appointments Unit, 801 Capitol Mall, Sacramento, CA 95814.

AUTHORITY: Government Code Section 19998.1 is the authority for establishment of the State Restriction of Appointments Program. The Career Opportunities Development Program was created under the Welfare Reform Act of 1971.

PURPOSE: The information you furnish will be used to determine your eligibility for positions specially funded under the Career Opportunities Development Program.

PROVIDING INFORMATION: Participation is voluntary. If you choose to participate, it is required that you provide all requested information.

ACCESS: When submitted to the Personnel Board your completed COD Program Eligibility Form becomes confidential. Only authorized personnel directly involved in the selection process will be allowed access.



DPA Laws and Rules

PART 26. PERSONNEL ADMINISTRATION

CHAPTER 1. DEPARTMENT OF PERSONNEL ADMINISTRATION

CHAPTER 7. SEPARATIONS FROM SERVICE

Article 3. Layoff Reemployment

19998. (a) It is the policy of the state that when an employee is to be separated from state service because the tasks he or she was assigned are to be eliminated or substantially changed due to management-initiated changes, including but not limited to automation or other technological changes, steps should be taken on an interdepartmental basis to assist such employee in locating, preparing to qualify for, and being placed in other positions in the state civil service. This provision shall not be construed to restrict the authority of the executive branch or the Legislature to effect economies or make organizational or other changes to increase efficiency in state government.

(b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.

(Added by Stats. 1981, Ch. 230.)

19998.1. (a) The department may temporarily restrict the choice of methods of appointment available to an appointing power if such restriction is deemed necessary in the placement in other state civil service positions of employees whose positions have been or are about to be changed substantially or eliminated by such management-initiated changes.

(b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.

(Added by Stats. 1981, Ch. 230.)

