

State of California

M E M O R A N D U M

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To: PERSONNEL MANAGEMENT LIAISONS

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
(Supercedes Management Memo 89-66)

Attached are the following materials relating to SROA:

1. REVISED SROA PROGRAM POLICIES AND PROCEDURES

The attached SROA Policies and Procedures supersedes Management Memo 89-66. Appointing powers are responsible for advising all managers and supervisors 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.

Section I - Introduction... added reference to the newly adopted SROA Rules for nonrepresented employees and the definition of "appointing power" referencing DPA Rule Section 599.603.

Section II A.2 and 4 - Administrative Responsibility (Department of Personnel Administration)... definition of "agency" referencing DPA Rule Section 599.602, and changing the responsibility of selecting SROA List II classes from the State Personnel Board to the Department of Personnel Administration.

Section II B.6 - Administrative Responsibility (State Personnel Board)... change of staff responsible for SROA coordination.

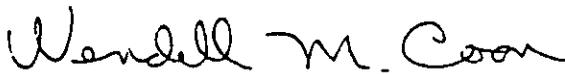
Section IV A.2. - SROA Lists - General Information... changes responsibility for SROA List II from the State Personnel Board to the Department of Personnel Administration.

Section IV A.6. - SROA Lists - General Information... same as IV A.2.

Section IX - Special Exemptions to SROA... directs requests for SROA exemptions to the appropriate Department of Personnel Administration, Classification and Compensation Division analyst instead of the Personnel Services Branch staff.

2. A LIST OF REMINDERS TO ALL AGENCIES OF SIGNIFICANT PROGRAM ISSUES

All State agencies are required to fill vacant civil service positions in accordance with the revised SROA Policies and Procedures. We appreciate your assistance in making this program work. Please direct your questions to the DPA Classification and Compensation Division SROA Coordinator assigned to your agency at (916) 324-9381, ATSS 454-9381.



Wendell M. Coon, Chief
Policy Development Office

Attachment

REMINDER TO ALL AGENCIES

1. At the beginning of the recruitment process, appointing powers are responsible for requesting reemployment and SROA lists regardless of the source of a regular certification for the class of hire.
Note: See SROA Policies and Procedures IV B. and D.
2. 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, the appointing power may make a permanent appointment for that person without requesting another SROA exemption.
3. 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.
4. Exemptions to bypass employees on SROA List I and List II must be approved in advance by the DPA. Requests should be directed to the appropriate DPA 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.

5. SROA surplus lists will be updated as changes take place. Because of this, appointing powers must check with the SPB Certification 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 SROA lists.

Note: See Section IV-D for Updating SROA lists.

6. Appointing powers 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. The appointing power may then follow the Clearance of SROA Lists procedure found in Section IV.-E. of this memorandum.
7. All appointing powers with SROA eligible employees are asked to notify the SPB Certification Supervisor at (916) 324-0396, ATSS 454-0396 of all SROA hires as soon as possible. This will assist us in keeping both SROA lists up to date.

NOTE: Throughout all of the procedures the reference to SPB/SROA Unit has been changed to, SPB Certification Unit and the reference to SPB/SROA Coordinator has been changed to, SPB Certification Supervisor.



September 1990
Management Memo 90-05

State Restriction of Appointments

POLICIES AND PROCEDURES



STATE RESTRICTION OF APPOINTMENTS PROGRAM
POLICIES AND PROCEDURES

TABLE OF CONTENTS

	<u>PAGE</u>
I. INTRODUCTION	1
II. ADMINISTRATIVE RESPONSIBILITY	1
A. Department of Personnel Administration	1
B. State Personnel Board	2
III. DETERMINATION OF SROA ELIGIBILITY	2
A. Recognition of Surplus	2
B. SROA Eligibility Criteria	3
C. Length of SROA Eligibility	4
D. Establishing SROA List Eligibility	4
IV. SROA LISTS - GENERAL INFORMATION	5
A. Restricted Classifications	5
B. Requesting SROA Lists and Documenting Contacts	6
C. Contact of Eligibles	6
D. Updating SROA Lists	7
E. Clearance of SROA Lists	8
F. Interchangeable Positions	8
G. Agency Responsibilities	8
V. REEMPLOYMENT LISTS	9
A. Order of Preference	9
B. General Reemployment Lists	9
VI. APPOINTMENT OF SURPLUS EMPLOYEES	9
A. Reemployment/SROA Lists	9
B. Regular Employment Lists	10
C. Direct Contact of Surplus Employees	10
D. Probationary Periods	10
E. Appointment Audit Procedures	10
VII. CORRECTION OF POLICY VIOLATION	10
VIII. SROA POLICY EXEMPTIONS	10
A. Appointment from a Reemployment List	11
B. Mandatory Reinstatement	11
C. Intra-agency Transfer	11
D. Retired Annuitant	11
E. Reduced Worktime	11
F. Promotions in Place	11

IX.	SPECIAL EXEMPTIONS TO SROA	11
	A. Placement of a Disabled Worker	12
	B. Intra-agency Transfer - Change in Class	12
	C. Emergency and Limited-Term Appointments	12
	D. Inter-agency Transfer	12
	E. Reinstatement After Layoff	12
	F. Other Special Exemptions	13
X.	SROA INTERACTION WITH COD PROGRAM	13
	A. COD Contract Planning	13
	B. COD Coordination with SPB Certification Supervisor	14
	C. COD Hiring	14
	D. Transitioning COD Employees	14
XI.	DPA-CCD SECTION SROA COORDINATORS	14

STATE RESTRICTION OF APPOINTMENTS PROGRAM
POLICIES AND PROCEDURES

I. INTRODUCTION

This memorandum outlines the revised policies and procedures that appointing powers* 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 and DPA Rules 599.854-599.854.4, for nonrepresented employees. The SROA Program is intended to assist in the placement of all civil service surplus employees facing layoff, or whose positions have been, or are about to be substantially changed or eliminated due to management initiated changes. (DPA Rule Section 599.854)

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, Department of Personnel Administration, as being appropriate due to staff reductions. Exemptions 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 rules and policies.
 2. Making the initial determination that an agency** has surplus employees who are eligible for the SROA Program.
 3. Approving individual employees for participation in the SROA Program.
 4. Selection and designation of SROA List II classes for the classes of layoff.
 5. Reviewing and ruling on requests for exemption to SROA List I and List II.

* Reference DPA Rule Section 599.603

** Reference DPA Rule Section 599.602

6. 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 State Personnel Board (SPB) has been delegated the responsibility to oversee the following activities:

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

The SPB Certification Unit is located at 801 Capitol Mall, IMS E-9, Room 332, Mail Station #38.

SPB Certification Supervisor: Annie Williams
(916) 324-0396
(ATSS) 454-0396

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, appointing powers 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 agency plans or options for placement both within State service and outside of State service: (DPA Rule Section 599.854.1)

1. If it appears that a layoff will take place, agency 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 within the agency 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 agency.
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 those employees facing layoff or demotion-in-lieu of layoff within the agency, 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. (DPA Rule Section 599.854.1)
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 all positions which would reasonably meet their needs; and
 - d. Clearly state their interest or waiver of the position.

NOTE: Employees cannot use SROA for job searching or as a means to make desired career changes which reach beyond the intent of the SROA Program. Such misuse may lead to the loss of SROA eligibility. State employees retain permissive transfer rights for those types of job changes.

3. Employees may not voluntarily place themselves on inactive status, once their name is active on SROA. 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. (DPA Rule Section 599.854.2)
4. Employees may update their information, such as addresses or telephone numbers, at any time by writing to the SPB Certification Unit, 801 Capitol Mall, Room 332, Sacramento, CA 95814.
5. SROA eligibles may exercise an unlimited number of waivers of appointment from SROA lists. However, eligibles should be cautioned that their eligibility is time 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. Appointing powers must notify their DPA-CCD analyst 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 (Government Code Section 19798), by the SPB or the established layoff/transfer date. (DPA Rule Section 599.854.1)
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 Certification Supervisor when individuals are approved for SROA participation.
2. Participation in the SROA Program is voluntary. Please note that appointing powers cannot require an employee to participate in the program. 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 the 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 DPA-CCD analyst, who will review the form for completeness and forward it to the SPB

appropriate DPA-CCD analyst, who will review the form for completeness and forward it to the SPB Certification Unit. (DPA Rule Section 599.854.2)

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 Certification Unit. Appointing powers should provide this form to employees at the same time they provide the Job Placement Questionnaire.
4. Upon receipt of DPA approval for participation and the completed Job Placement Questionnaire, the SPB Certification Unit will place the employee on the appropriate SROA list(s).

IV. 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. (DPA Rule Section 599.854.2)

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. Classes in which an employee formerly held permanent or probationary status, may also be added as SROA List II classes. SROA List II on a certification will contain the names of employees as recommended by the appointing power and the DPA.

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. The appointing power 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 all SROA list certifications. Any employee on an SROA list may be hired regardless of whether they are a List I eligible or a List II eligible.
5. Appointing powers 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 agencies will not be responsible for resolving another agency's classification problems through the SROA Program.)
6. Appointing powers should recommend appropriate SROA List II classes to the DPA-CCD analyst when requesting SROA eligibility for surplus employees. The appointing power 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.

B. REQUESTING SROA LISTS AND DOCUMENTING CONTACTS

Hiring agencies 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 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 Certification Unit in accordance with standard certification clearance procedures.
2. If certifications are issued by the appointing power through delegated testing or decentralized certification, the appointing power must contact the SPB Certification Unit and order an SROA list for the class. The SPB Certification Unit will issue a certification for the class requested. Appointing powers must document contacts on the certification and return it to the SPB Certification Unit when the clearance process is completed. (See IV.-D., Updating SROA lists and IV.-E, Clearance of SROA lists.)
3. Contacts to SROA eligibles are valid for the same period of time as contacts to any other employment 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. Appointing powers may order forms by submitting a request in writing to the State Personnel Board Supply Unit, 801 Capitol Mall, Mail Station #90. (DPA Rule Section 599.954.3)

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. Agencies 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, the appointing powers should order a certification and make contacts to fill the position.
- c. Before a hiring commitment is made to a non-SROA eligible, the appointing power 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. Agencies 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 appointing power 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). (DPA Rule Section 599.854.3)

NOTE: Appointing powers 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 agencies. 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 Certification Supervisor.

2. In addition, appointing powers may be allowed to clear the name of an SROA eligible by Special Exemption ("S.E."). See IX., SPECIAL EXEMPTIONS TO SROA.

F. INTERCHANGEABLE POSITIONS

When an appointing power 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 they clear the SROA list for one class, they then must request and use the SROA list for the other class or classes in the series. No new employees will be hired while there are surplus employees in the interchangeable classes, unless the appointing power requests and receives an SROA exemption.

G. AGENCY RESPONSIBILITIES

1. Recruitment

Hiring agencies 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 powers 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 IV.-D., UPDATING SROA LISTS).
- c. Confirm that the duties of the position are appropriate for 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 Certification Unit immediately so that names can be removed from SROA lists in a timely manner.

3. Non-Restricted Classes

If appointing powers 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 Certification Supervisor will attempt to provide lists of interested and qualified employees for vacancies in a variety of nonrestricted classes when requested.

V. 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 promotional and open lists. (DPA Rule Section 599.854.2)

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.

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 may 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 Certification Supervisor.

C. DIRECT CONTACT OF SURPLUS EMPLOYEES

If an appointing power 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 Certification Supervisor 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 agency personnel directly and obtain appointments if desired. They do not have to be referred by a SROA certification.

D. PROBATIONARY PERIODS

Appointing powers may require surplus employees hired from SROA lists to serve a new probationary period. Employees rejected during probation would be returned to their former agency 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-CCD analyst and/or the SPB Certification Unit staff for proper documentation of appointments and clearances. When incomplete documentation or unapproved exceptions to the SROA policy are identified, follow-up action with the appointing power will be taken.

VII. CORRECTION 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 and the appointment will be allowed to stand as having been made in good faith. If a true policy or rule violation exists, it will be specifically identified to the appointing power along with the appropriate corrective action. Corrective action may include a commitment by the appointing power to make an SROA placement at the same or higher level, or initiating procedures with the State Personnel Board to rescind the errant appointment.

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. (DPA Rule Section 599.854.4)

- A. APPOINTMENT FROM A REEMPLOYMENT LIST
- B. MANDATORY REINSTATEMENT TO SAME CLASS - SAME AGENCY
- C. INTRA-AGENCY TRANSFER TO SAME CLASS
- D. RETIRED ANNUITANT
- E. TO FULL-TIME FROM A REDUCED WORKTIME PROGRAM - SAME AGENCY/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 next higher 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 EXEMPTIONS TO SROA

Some types of appointments may be considered for a special exemption to SROA due to extraordinary circumstances. Special exemptions must be requested in writing and approved in advance. Blanket exemptions will not be granted. (DPA Rule Section 599.854.4)

Requests for special exemption to SROA List I and II should be addressed to the appropriate DPA-CCD analyst.

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

Appointing powers 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 exemption 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. INTRA-AGENCY 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 an agency plan for placement of surplus staff. Requires written request referring to resolution of surplus.

NOTE: An agency hiring freeze has no impact on the SROA Program and is not an acceptable reason for requesting a special exemption 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. INTER-AGENCY TRANSFER

1. Substitution of SROA eligible:

The vacancy left behind will provide for placement of a SROA eligible in the layoff agency. 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 appointing power 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 exemption is requested and granted. The exemption 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 agency.

F. OTHER SPECIAL EXEMPTIONS

Requests for special exemption 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: (DPA Rule Section 599.854.4)

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 exemption is not granted.
5. Whether granting an exemption 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.

Appointing powers may be required to submit additional information upon request. Exemption 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: Appointing powers 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 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, appointing powers 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 have sufficient turnover, meaningful COD contracts may still be developed.

B. COD COORDINATION WITH SPB CERTIFICATION UNIT

To help ensure that appropriate consideration is given to SROA issues, the COD Unit at the SPB will consult with the SPB Certification Supervisor before finalizing COD contract proposals. The SPB Certification Supervisor will provide information on the status of SROA lists and on expected surplus employees in the future. This will assist the COD Unit and appointing powers 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 SPB 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 (Intra-agency transfers in the same class are exempt from SROA).
2. Employees who were hired into TAU classes and who are required to compete in an examination in order to transition, may be hired into permanent positions only after SROA lists have been cleared.

XI. DPA-CCD SECTION SROA COORDINATORS

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

CALIFORNIA STATE PERSONNEL BOARD

JOB PLACEMENT QUESTIONNAIRE
DATE RESTRICTION OF APPOINTMENTS PROGRAM
 JOB 360 (11/89) PAGE 1

DATE _____

The State Personnel Board and the Department of Personnel Administration staff are assisting State employees to find new jobs when they are faced with lay off or demotion due to the reduction of State civil service positions. The State Personnel Board staff will refer these employees to State service vacancies in other departments that are: 1) in the employee's current classification, 2) in the demotional patterns from the employee's current classification, and 3) in or closely related classifications. This service will be provided to you for up to 120 days from the date your name is placed on an SROA list.

Participation in the SROA Program is voluntary. If you wish to participate, please complete each page of the questionnaire. Use Page 2 of this questionnaire to indicate any education or experience you have that would specifically qualify you for a job outside of your current occupation. Completed questionnaires should be returned immediately to your departmental personnel office. You can attach your resume to this form.

LAST NAME	FIRST NAME	MIDDLE INITIAL	SSA #	WORK TELEPHONE NUMBER AREA CODE ()
CURRENT CLASS	CURRENT SALARY RANGE: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C		CURRENT DEPARTMENT	(LEAVE BLANK)
HOME ADDRESS	CITY	ZIP CODE	HOME TELEPHONE NUMBER AREA CODE ()	. CA

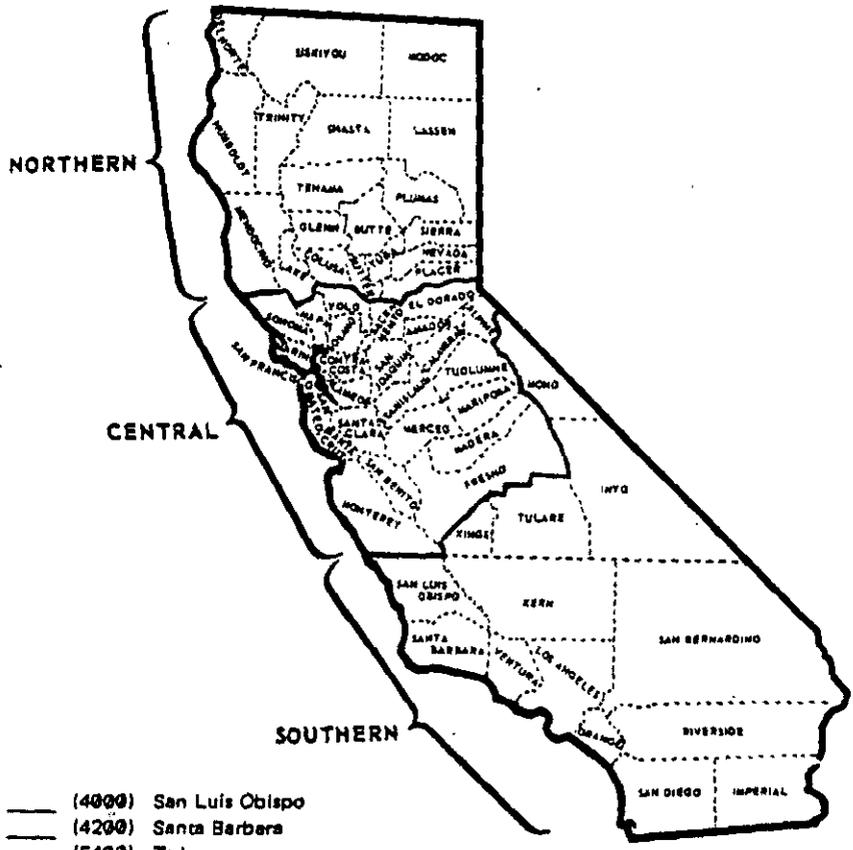
LANGUAGE FLUENCY:

PLEASE INDICATE YOUR INTEREST BY CHECKING THE APPROPRIATE BOX:

- I am fluent in and interested in appointment to a position requiring a second language.
- | | | |
|---|---|--|
| <input type="checkbox"/> E1 - Chinese-Cantonese dialect | <input type="checkbox"/> A1 - Mexican-Spanish | <input type="checkbox"/> G1 - Braille |
| <input type="checkbox"/> C1 - Tagalog | <input type="checkbox"/> D1 - American Sign | <input type="checkbox"/> H1 - Korean |
| <input type="checkbox"/> B1 - Japanese | <input type="checkbox"/> F1 - Portuguese | <input type="checkbox"/> J1 - Vietnamese |

PLEASE CHECK YOUR CHOICES - YOU WILL NOT BE OFFERED A JOB IN LOCATIONS NOT CHECKED. HOWEVER, IF MORE THAN 15 LOCATIONS ARE CHECKED, YOU WILL BE CONSIDERED AVAILABLE FOR WORK ANYWHERE IN THE STATE.

- () ANYWHERE IN THE STATE
- (8004) ANYWHERE IN THE NORTHERN AREA
OR make Northern county selections.
- | | |
|---|--|
| <input type="checkbox"/> (0400) Butte | <input type="checkbox"/> (3100) Placer |
| <input type="checkbox"/> (0600) Colusa | <input type="checkbox"/> (3200) Plumas |
| <input type="checkbox"/> (0800) Del Norte | <input type="checkbox"/> (4500) Shasta |
| <input type="checkbox"/> (1100) Glenn | <input type="checkbox"/> (4600) Sierra |
| <input type="checkbox"/> (1200) Humboldt | <input type="checkbox"/> (4700) Siskiyou |
| <input type="checkbox"/> (1700) Lake | <input type="checkbox"/> (5100) Sutter |
| <input type="checkbox"/> (1800) Lassen | <input type="checkbox"/> (5200) Tehama |
| <input type="checkbox"/> (2300) Mendocino | <input type="checkbox"/> (5300) Trinity |
| <input type="checkbox"/> (2500) Modoc | <input type="checkbox"/> (5800) Yuba |
| <input type="checkbox"/> (2900) Nevada | |
- (8001) ANYWHERE IN THE CENTRAL AREA
OR make Central county selections.
- | | |
|--|---|
| <input type="checkbox"/> (0100) Alameda | <input type="checkbox"/> (3400) Sacramento |
| <input type="checkbox"/> (0200) Alpine | <input type="checkbox"/> (3500) San Benito |
| <input type="checkbox"/> (0300) Amador | <input type="checkbox"/> (3800) San Francisco |
| <input type="checkbox"/> (0500) Calaveras | <input type="checkbox"/> (3900) San Joaquin |
| <input type="checkbox"/> (0700) Contra Costa | <input type="checkbox"/> (4100) San Mateo |
| <input type="checkbox"/> (0900) El Dorado | <input type="checkbox"/> (4300) Santa Clara |
| <input type="checkbox"/> (1000) Fresno | <input type="checkbox"/> (4400) Santa Cruz |
| <input type="checkbox"/> (2000) Madera | <input type="checkbox"/> (4800) Solano |
| <input type="checkbox"/> (2100) Marin | <input type="checkbox"/> (4900) Sonoma |
| <input type="checkbox"/> (2200) Mariposa | <input type="checkbox"/> (5000) Stanislaus |
| <input type="checkbox"/> (2400) Merced | <input type="checkbox"/> (5500) Tuolumne |
| <input type="checkbox"/> (2700) Monterey | <input type="checkbox"/> (5700) Yolo |
| <input type="checkbox"/> (2800) Napa | |
- (8011) ANYWHERE IN THE SOUTHERN AREA
OR make Southern county selections.
- | | | |
|---|--|---|
| <input type="checkbox"/> (1300) Imperial | <input type="checkbox"/> (2600) Mono | <input type="checkbox"/> (4000) San Luis Obispo |
| <input type="checkbox"/> (1400) Inyo | <input type="checkbox"/> (3000) Orange | <input type="checkbox"/> (4200) Santa Barbara |
| <input type="checkbox"/> (1500) Kern | <input type="checkbox"/> (3300) Riverside | <input type="checkbox"/> (5400) Tulare |
| <input type="checkbox"/> (1600) Kings | <input type="checkbox"/> (3600) San Bernardino | <input type="checkbox"/> (5600) Ventura |
| <input type="checkbox"/> (1900) Los Angeles | <input type="checkbox"/> (3700) San Diego | |



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 94244-2010.

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 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
 100-380-A (8/83)

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.



DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854 Scope-Nonrepresented Employees

(a) This article shall govern the Department of Personnel Administrations' program under Sections 19998 and 19998.1 of the Government Code to assist in the job placement of nonrepresented employees who may be facing layoff or demotion-in-lieu of layoff as those terms are used in Sections 19997 and 19997.8 of the Government Code. This program shall be known as the State Restriction of Appointments (SROA) Program. For the purposes of this article, a nonrepresented employee is: an employee excluded from the definition of State employee in Section 3513(c) of the Government Code; an employee designated as supervisory in Section 3522.1 of the Government Code.

(b) It is the intent of the SROA Program, to the extent that it is administratively feasible, to prevent the layoff and separation of skilled and experienced employees from State service.

(c) The SROA Program assists in placing affected employees by temporarily restricting the methods of appointment available to appointing powers. Employees on SROA lists are granted preferential consideration over all other types of appointments except appointments from reemployment lists and mandatory reinstatements.

NOTE: Authority cited: Sections 19815.4(d), 19816 and 19820 of the Government Code. Reference: Section 19998 and 19998.1 of the Government Code.

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.1 State Restriction of Appointments Program Eligibility-
Nonrepresented Employees

(a) To participate in the SROA Program the appointing power must first demonstrate to the Department of Personnel Administration, that for each class requested an employee surplus exists which, unless eliminated, would result in layoffs.

(b) After certification by the Department of Personnel Administration that the agency's employee surplus cannot be resolved through voluntary transfers, voluntary demotions, reduced worktime or other voluntary means, the Department of Personnel Administration shall authorize the use of the SROA Program for employees who are facing layoff or demotion in-lieu-of layoff. Employees in the class(es) of layoff will be placed on the SROA lists based on the following criteria:

(1) Employees who may be subject to layoff or demotion-in-lieu of layoff, will be considered as eligible for the SROA Program.

(2) Additional employees may be placed on SROA for the class(es) of layoff when the Department of Personnel Administration determines that their participation in the SROA Program will help to prevent the layoff of other employees.

(c) With the approval of the director, the appointing power may restrict the organizational subdivision and/or the geographical location of those employees eligible for the SROA Program, when the organizational and geographical parameters of the layoff have been similarly restricted.

(d) Initial SROA eligibility approval for employees facing layoff, demotion-in-lieu of layoff and involuntary transfer, shall be granted for 120 calendar days.

(e) The director may extend the initial SROA eligibility period up to an additional 120 calendar days when it has been determined that:

(1) A substantial number of the surplus employees have not been placed in other agencies, or;

(2) An extension of the SROA eligibility period would likely result in additional SROA placements.

NOTED: Authority cited: Sections 19815.4(d), 19816 and 19820 of the Government Code. Reference: Sections 19998 and 19998.1 of the Government Code.

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.2 State Restriction of Appointments Program Lists-Nonrepresented Employees

(a) Following approval by the Department of Personnel Administration for participation in the SROA Program, the appointing power may proceed with the enrollment of employees into the program.

(b) The appointing power shall be responsible for informing all affected employees about the SROA Program and how to apply for a SROA listing.

(c) Employee participation in the SROA Program is voluntary.

(d) Employees may not voluntarily place themselves on inactive status, once their names are placed active on any SROA listing. However, employees may request that specific classes be removed from their SROA listing, if they do not wish to receive job inquiries for those classes.

(e) SROA eligible employees may exercise an unlimited number of waivers of appointment from SROA lists.

(f) Any employee on an eligible SROA list may be hired regardless of where they are placed on the list.

(g) Appointing powers that may be attempting to fill vacant limited-term positions which are projected for nine months or longer, will be required to use 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.

(h) Reemployment lists as defined in Sections 18534 et seq; 18903 et seq; 19997.2 and 19997.11 of the Government Code, take precedence over SROA lists.

(i) When an SROA list is established, all appointing powers must make appointments to a restricted class from a SROA list or meet the appointment exemption criteria as listed in Section 599.854.4.

NOTE: Authority cited: Sections 19815.4(d), 19816 and 19820 of the Government Code. Reference: Sections 19998 and 19998.1 of the Government Code.

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.3 Inquiry and Clearance of State Restriction of Appointments
Program Lists-Nonrepresented Employees

(a) All job interest inquiries to fill a vacant position from an SROA listing should be made in writing. Telephone inquiries may be made if verified in writing.

(b) Employees shall be allowed a reasonable time to respond to inquiries as provided for in State Personnel Board Rules 258 and 260, Title 2, Division 1, Chapter 1 of the California Code of Regulations.

(c) A name may be cleared from an SROA list for any of the following reasons.

(1) The employee has been hired by another agency.

(2) The employee waives eligibility for appointment.

(3) The employee does not respond to the inquiry.

(4) The employee does not appear for work or an interview as scheduled.

(5) The employee is hired from the SROA certification.

(6) The appointing power requests and is granted an SROA exemption pursuant to Section 599.855.4.

(d) The appointing power must inform all SROA eligibles that failure to respond to the SROA inquiry, or to appear for a scheduled SROA interview, will result in automatic placement on inactive status for that class in all agencies (State Personnel Board Rule 260).

NOTE: Authority cited: Sections 19815.4(d), 19816 and 19820 of the Government Code. Reference: Section 19998 and 19998.1 of the Government Code.

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.4 State Restriction of Appointments Program Exemptions-
Nonrepresented Employees

(a) The following types of appointments are not subject to the SROA Program and require no prior SROA approval, providing the criteria set forth below are met.

- (1) The appointment is from a reemployment list.
- (2) The appointment is a mandatory reinstatement to the same class, same agency.
- (3) The appointment is an intra-agency transfer to the same class.
- (4) The appointee is a retired annuitant, pursuant to Section 19144 of the Government Code.
- (5) The appointment is to a full-time position from a reduced worktime position. This applies only to a permanent full-time employee who voluntarily reduced his/her time base under the Reduced Worktime Act (Section 19996.20 et.seq.) and is returning to full-time work in the same class in the same agency.

(6) The appointment is a promotion in place; there is no true vacant position, there is no change of position, or supervisory/subordinate relationship; and the promotion is clearly identified as typical in cases where the employee has reached the next higher level within a class series. Promotions that do not meet this criteria are subject to the SROA Program.

(b) Special exemptions to the SROA Program must be requested in writing by the appointing power and approved in advance by the Department of Personnel Administration. Blanket exemptions will not be granted.

(c) The following types of appointments and extraordinary circumstances shall qualify for a special exemption to the SROA Program.

- (1) Placement of a disabled worker to an appropriate class, as recommended and/or approved by a physician, for reasonable accommodation pursuant to Section 19230(c) of the Government Code. The exemption request requires a written request with a full explanation of the situation and a copy of the doctor's supporting statement.
- (2) Voluntary employee transfers, between classes within an agency, are not restricted when they are made in conformance with a written plan, approved in advance by the Department of Personnel Administration.
- (3) If an appointing power wishes to fill a vacancy in a SROA class, with an inter-agency transfer, the vacancy left in the other agency must be filled using the SROA program. Consideration will be given to the classes offered in the exchange, the salary relationship between the classes and the geographical location of the vacant position being offered. These transactions must be approved by the Department of Personnel Administration prior to the transfer actually taking place.
- (4) Emergency and Limited-Term appointments of less than nine months duration when there is no possibility of a permanent appointment.

(5) Limited Examination Appointment Program (LEAP) appointments. Before a LEAP eligible can be initially hired the appointing power must first request and receive approval for a SROA exemption. When a LEAP eligible has successfully completed the Temporary Authorization (State Personnel Board Rule 265) period the appointing power may make a permanent appointment for that person without requesting another SROA exemption.

(d) Requests for special exemptions based on critical hiring needs will be granted only when the appointing power has demonstrated that the SROA candidates do not have the knowledge, skills and background required for the position, or that the training period required to qualify the SROA candidate would be of such length that the effectiveness of a specific program would be jeopardized unless the exemption is granted.

NOTED: Authority cited: Sections 19815.4(d), 19816 and 19820 of the Government Code. Reference: Sections 19998 and 19998.1 of the Government Code.

B00666

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 inter-departmental 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.)



State of California

M E M O R A N D U M

Issue Date: October 3, 1990
Reference Code: MM 90-05
Effective Date: October 3, 1990
Expiration Date: Indefinite

To: PERSONNEL OFFICERS
PERSONNEL TRANSACTION SUPERVISORS
EMPLOYEE RELATIONS OFFICERS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:
ALL PERSONNEL TRANSACTIONS STAFF

From: Department of Personnel Administration
Classification and Compensation Division

Subject: PROCESSING SALARY ACTIONS

The purpose of this memo is to advise you that the Department of Personnel Administration (DPA) is delegating to departments the authority to process specific types of Personnel Action Requests (PAR) transactions up to three years retroactive without DPA approval.

Current practice requires departments to receive DPA approval before processing certain transactions that update or change employee salaries or pay history. Specifically, retroactive transactions and corrections of mandatory actions beyond one year and retroactive transactions and corrections to discretionary actions beyond 30 days are sent to DPA for approval prior to submission to the State Controller's Office for payment.

In an attempt to streamline this process and provide a more efficient manner in which to handle these transactions, DPA is delegating to departments the authority to backdate transactions up to three years retroactive without prior review/approval by DPA. Only those transactions identified below will continue to require DPA pre-approval.

THE FOLLOWING TYPES OF TRANSACTIONS WILL REQUIRE DPA APPROVAL:

1. Special salary requests - exceptions to existing rules (unless authorized by a Management Memo or Pay letter).
2. Auditor General, Legislative or Exempt employees appointed to civil service classes above the minimum rate.



3. Pay Letter or Management Memo instructions which indicate DPA approval is required for a particular transaction (i.e. MM #88-12 - Salary loss upon transfer to a deep class).

DPA rule 599.668 will be amended in the future to reflect this change. The 3-year retroactive standard is consistent with the Civil Code of Procedure (CCP) Section 338 and the State Controller's authority to pay salaries and wages, subject to the general three year statute of limitation explained in Payroll Letter #88-15. Retroactive actions beyond three years will need to be processed through the Board of Control.

This policy change is to be effective as of the above date. Questions regarding this memo should be directed to Clarice Pace at (916)324-0445, ATSS 454-0445.



Robert K. Painter
Section Manager

