

MEMORANDUM

DATE: June 29, 1998

TO: PERSONNEL MANAGEMENT LIAISONS REFERENCE CODE: 98-026

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Personnel Officers

FROM: Department of Personnel Administration
Classification and Compensation Division

SUBJECT: Classification and Pay Guide, Revision #4

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Attached is Revision #4 for your Classification and Pay Guide. Please duplicate and distribute to all holders of the guide in your department and **remind the duplication staff to duplicate front and back when necessary.** Be sure to immediately complete your Revision Record located in Section 3. This will ensure that you have an accurate record of sections which are published or revised.

SUMMARY OF CHANGES:

Section 100

Updated section to include a flow chart of the Board Item Process; revisions to several attachments; and revisions to the narrative portion of the section.

Section 160

Updated due to revision to Attachment 2.

Section 375

Updated due to formatting; amendment to 375.1, Definition; and addition to Item 8.1.

FILING INSTRUCTIONS:

Remove

Section 100

100.1 - 100.9

Attachment 1

Attachment 2

Attachment 3A

Attachment 3B

Attachment 10, Page 1 - Page 2

Attachment 12B

Attachment 12C

Attachment 13B, Page 1 - Page 2

Attachment 15, Page 1 - Page 2

Attachment 16

Attachment 17F

Attachment 19

Section 160

Attachment 2

Section 375

375.1 - 375.8

Insert

Section 100

100.1 - 100.7

Attachment 1, Page 1

Attachment 1, Page 2

Attachment 2

Attachment 3A

Attachment 3B

Attachment 10, Page 1

Attachment 10, Page 2

Attachment 12B

Attachment 12C, Page 1 - Page 2

Attachment 13B, Page 1 - Page 2

Attachment 15

Attachment 16, Page 1 - Page 2

Attachment 17F

Attachment 19

Section 160

Attachment 2

Section 375

375.1 - 375.8

If you have any questions regarding information contained in this revision, please contact Olivia Hawkins at the above phone number. Inquiries regarding other information contained in the guide should be addressed to your department's Classification and Compensation analyst.



Sadako Fujiwara
Program Manager

Attachments

GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

<i>MAJOR AREA</i>	<i>SUBJECT</i>	<i>SECTION NUMBER</i>
CLASSIFICATION	BOARD ITEMS	100

100. BOARD ITEMS

1. Introduction

Government Code (GC) Section 18800 provides that: "The board (State Personnel Board) shall create and adjust classes of positions in the state civil service. The classes adopted by the board, shall be known as the Personnel Classification Plan of the State of California. . . ." GC Section 19818.6 provides that: "The Department of Personnel Administration (DPA) shall administer the Personnel Classification Plan, including the allocation of every position to the appropriate class in the classification plan."

Based upon these provisions of the law, DPA is responsible for developing and submitting classification changes to the State Personnel Board (SPB) for adoption. An **Overview Flow Chart** of the Board Item Process is shown as **Attachment 1**. Delegation agreements provide varying degrees of DPA involvement in the technical development and presentation of classification proposals. Each department's delegation agreement will state the specific degree of DPA involvement, and may supersede the process descriptions presented in this Section. The following portions of this Section discuss processing functions which may or may not be delegated to specific departments.

2. General Information

2.1 **Personnel Management Policy and Procedures Manual**

Section 100 of SPB's Personnel Management Policy and Procedures Manual contains detailed information about procedures and requirements of the Board relative to classification proposal development and submission. Departments should review Section 100 in the manual carefully to ensure that direct submission of classification proposals under DPA's delegated authority continue to meet the Board's requirements.

2.2 **Board Meeting Dates and Time Frames**

At the end of each calendar year, SPB distributes via a "Memo To: All State Agencies and Employee Organizations" the Board Meeting Schedule for the upcoming year to each department's personnel office. (SPB prints this memo on Pink paper and it is referred to as a

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"Pinkie.") (See **Attachment 2.**) It is the responsibility of the personnel officer to be sure that this Pinkie is distributed to everyone in their department who processes Board Items.

The due date for each step in the Board Item process has been calculated for you in **Attachment 3A** (for delegated departments) or **Attachment 3B** (for nondelegated departments).

In December of each year, Attachments 3A and 3B will be updated and sent to each department personnel officer as a revision to the C&P Guide. The update will be sent via a Personnel Management Liaison (PML) memo. Note: A Board meeting date might be changed by SPB during the year. Please verify this date with your CCD Departmental Analyst.

2.3 Consent, Staff, and Hearing Calendars

CONSENT: Board action required. A completed Board item package is included in the Board calendar. Items submitted as Consent include:

- Establishment of civil service classes
- Classification proposals identified by SPB staff as important or sensitive
- Changes to class titles or definitions which significantly alter the class concept
- Changes to probationary periods
- Abolishment of classes
- Resolutions affecting the status of individuals

STAFF Items for Information: No Board action required. Effective date is date of SPB staff action. Only a brief summary description is contained in the calendar for information. Items include:

- Revisions to titles and definitions of classes that do not significantly affect the class concept

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- Revisions to other portions of the class specification, such as Typical Tasks, Minimum Qualifications, Alternate Range Criteria, or Levels Descriptions

HEARING: These are classification actions which are contested either by SPB or the union. The cover memo includes a description of the "Reason for Hearing," as well as a discussion of the issues. Delegation agreements may provide for differing degrees of DPA involvement in hearing items; however, typically, DPA should be consulted if a hearing appears imminent.

3. Classification Board Item Process

The following portion of Section 100 provides technical processing information for all classification proposals. Blank forms are included for departments with delegated authority to photocopy and use, and completed examples of these forms are included as instruction for both departmental and the Classification and Compensation Division (CCD) staff. Many of these forms are available to departmental staff on diskette in Microsoft Word 6.0 format. CCD and departmental staff may refer to **Attachment 4** for descriptions of DPA computer-generated documents utilized in the Board Item Process. Special notice should be taken of the checklist for Final Board Item Packages shown as **Attachment 5**. This checklist cites all documents necessary for processing a classification item, as well as the distribution of these documents.

In the following discussion, forms and documents in boldface type are arrayed in the order in which they are typically presented during the development and approval of classification proposals. Thus, the concept document is presented and discussed first, as it is the first step in presenting a department's proposal either to DPA or SPB. Instructions on preparation of the Pay Letter and final copying and distribution of class specifications are last, as these are the final actions which bring closure to the classification proposal process.

3.1 **Instructions for Departments That are Delegated the Board Item Process**

In the following: "3.2 Instructions for Processing Board Items," all of CCD staff's responsibilities may be delegated to departments (except approval of the concept, completion of the item schedule sheet to SPB,

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and typing the final specification). Departments should refer to their delegated agreements with DPA regarding the requirements.

3.2 Instructions for Processing Board Items

Department submits Classification Proposal Request (CPR) to DPA for review and approval. Departments may use the prepared form **Part A. Classification Proposal Concept (Attachment 6)** or respond to the questions on typed pages. Each question must be addressed. A draft class specification may be submitted with the concept. All submissions of a CPR and other related documentation require completion of the **Classification Proposal Request Transmittal Form (Attachment 7)** with original signatures.

Typing of new class specifications and revisions to existing specifications must be done by CCD support staff. This ensures that correct format is followed, class codes, schematic codes, and alternate range criteria numbers are properly assigned, and a master specification is entered into the specification file.

The CCD analyst will share the CPR, specification, and other relative information with the appropriate DPA Labor Relations Officer (LRO) for input relative to bargaining considerations and, upon approval of the CPR, class specification, and/or salary analysis by the CCD analyst (typically within two weeks), a DPA approved transmittal form will be returned to the department as indication to proceed with the development of the remaining portions of the Board Item Process.

Upon receipt of the signed transmittal form, the department will complete **Part B. Classification Considerations (Attachment 8)** and submit all related documents to CCD for review and approval. Each question in Part B must be answered fully. If the proposal is to establish a new class, develop a deep class, or is any classification action which impacts salary, **Part C. Salary Analysis (Attachment 9)** (also see **C&P Guide, Section 200**) must also be completed and submitted in conjunction with Part B. New class establishments and other proposals with salary impact also require submission of a properly completed **Form 137 (Attachment 10)** (also see **C&P Guide, Section 145**). If a class specification (**Attachments 11A and 11B**) (also see **C&P Guide, Sections 170**

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and 171) has not been submitted with the CPR, it must be submitted with Part B.

CCD staff will send **Preliminary Union Notification (Attachments 12A, 12B, and 12C)** (also see **C&P Guide, Section 160**) letter(s) to the appropriate union(s) for proposals which include establishment of, or revision to, classes whose incumbents are rank and file. A **Courtesy Notification (Attachments 13A and 13B)** letter(s) is sent to interested groups for proposals whose incumbents are not rank and file. Proposals impacting both rank-and-file and excluded incumbents require both types of notification.

Prior to submission of a classification proposal to SPB, CCD staff will prepare an **SPB Item Cover Memo (Attachment 14A)** with required **Recommendations and Resolutions (Attachment 14B)** to accompany Part B and the class specification when presented to SPB.

An aid in the development of classification proposals entitled **Checklist for Classification Proposals (Attachment 15)** outlines a synopsis of the analytical process required in the development and presentation of all classification proposals. This form may be submitted with other classification documentation if utilized by departmental staff, or may be used by CCD staff as a checklist for review and assessment of proposals submitted by departments.

CCD staff will also prepare a **Classification Item Transmittal (Attachment 16)** form for the proposal.

Pay Letter information will be prepared by the CCD analyst utilizing the **Class Data Sheet (Attachment 17A)** (also see **C&P Guide, Section 115**) and related **Analyst Instructions for Pay Letter Process (Attachment 17B)**, **Checklist for Clearance of Class Data Sheet (Attachment 17C)**, and **Class Data Sheet Instructions (Attachment 17D)**. If relevant to the proposal, **Salary Movement Instructions for Status Resolutions (Attachment 17E)**, **Salary Movement Instructions for CBID Changes From Supervisory to Managerial (Attachment 17F)**, or **Salary Movement Instructions for Alternate Range Criteria (Attachment 17G)**, may also be required for appropriate development of Pay Letter information. CCD staff will enter the proposed classification action on the automated **SPB Scheduling Sheet (Attachment 18)**.

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CCD will provide a **Final Union Notification (Attachment 19)** (also see **C&P Guide, Section 160**) letter to bargaining unit representatives for all classification proposals impacting rank-and-file incumbents based upon the requirements stated in the appropriate Bargaining Unit Contract.

Prior to adoption of a classification proposal, the CCD analyst, DPA LRO, and departmental personnel office staff will respond to any union inquires related solely to the classification proposal. Based upon bargaining unit agreements, issues relative to salary may not be entertained until after adoption of the classification proposal. Upon adoption of the classification proposal, the CCD analyst, DPA LRO, and departmental staff will determine the appropriate course of action in response to union concerns regarding salary issues.

Upon receipt of the SPB minutes indicating adoption of the classification proposal, CCD support staff will prepare documentation which signifies approval in a Pay Letter, prepare a finalized class specification, and send the specification to SPB for duplicating and distribution to using departments.

4. Classification Board Item Attachments

The Attachments listed below are exhibited immediately following:

- Attachment 1 - Overview of Board Item Process Flow Chart
- Attachment 2 - 1998 Board Meeting Schedule
- Attachment 3A - 1998 Due Dates for Board Item Processing for Delegated Departments
- Attachment 3B - 1998 Due Dates for Board Item Processing for Non-Delegated Departments
- Attachment 4 - Automated Board Item Forms
- Attachment 5 - Final Board Item Packages Checklist
- Attachment 6 - Part A. Classification Proposal Concept
- Attachment 7 - Classification Proposal Request Transmittal
- Attachment 8 - Part B. Classification Considerations
- Attachment 9 - Part C. Salary Analysis
- Attachment 10 - Form 137
- Attachment 11A - Specification Format for Single, Series, and Strike/Out and Underline Revised Specs

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CLASSIFICATION	BOARD ITEMS	100

Attachment 11B-	Quick Reference Guide on Automatic Language Changes to Existing Class Specs
Attachment 12A-	Preliminary Union Notification Letter
Attachment 12B-	DPA's Labor Relations Officer Bargaining Unit Assignment Listing
Attachment 12C-	Exclusive Representatives Contact List
Attachment 13A-	Courtesy Union Notification Letter
Attachment 13B-	Excluded/Supervisory Employee Organizations
Attachment 14A-	SPB Item Cover Memo
Attachment 14B-	Recommendations and Resolutions
Attachment 15 -	Analyst Checklist for Classification Proposals
Attachment 16 -	Classification Item Transmittal Form and Bargaining Unit Addresses
Attachment 17A-	Class Data Sheet
Attachment 17B-	Checklist for Clearance of Class Data Sheet
Attachment 17C-	Class Data Sheet General Instructions
Attachment 17D-	Analyst Instructions For Pay Letter Process
Attachment 17E-	Salary Movement Instructions for Status Resolutions
Attachment 17F-	Instructions for CB/ID Changes from Supervisory to Managerial
Attachment 17G-	Alternate Range Criteria Instructions
Attachment 18 -	SPB Scheduling Sheet
Attachment 19 -	Final Union Notification Letter



BOARD ITEM PROCESS FLOW CHART

**Typical
Time
Frame**

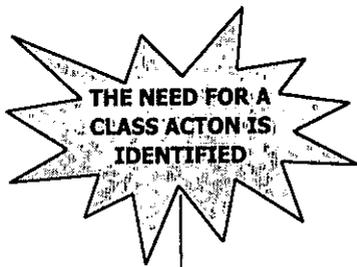
Department

CCD Staff *

Union

SPB

**Pay Letter
Coordinator**



**12 Weeks
Before Board
Meeting**

Dept Prepares the Class Proposal Request (CPR) Package & Forwards it to DPA for Review & Discussion

Part A. Class Proposal Request - See C&P Sec. 100, Attach. 6

CPR Transmittal Form - See C&P Sec. 100, Attach. 7

Draft Spec- See C&P Sec 100, Attachs. 11A & 11B & See C&P Secs. 170 & 171

CCD Will Discuss the CPR with DPA LRO and Appropriate SPB Analyst

CCD (With Dept) Reach a Conceptual Agreement

**10 Weeks
Before Board
Meeting**

Dept Completes Additional Documents for Board Item & Submits it to DPA for Review

Part B. Class Considerations - See C&P Sec. 100, Attach. 8

Part C. Salary Analysis - See C&P Sec. 100, Attach. 9 & See C&P Sec. 200

Form 137 - See C&P Sec. 100, Attach. 10 & See C&P Sec. 145

CCD Provides Preliminary & Courtesy Notice to Affected Parties

Preliminary & Courtesy Union Notification Letters - See C&P Sec. 100, Attachs. 12A -13B; & See C&P Sec. 160

Union May Request to Meet with DPA Regarding the Class Proposal

* CCD staff responsibilities (except approval of the concept, completion of the Item Schedule Sheet to SPB, and typing the final spec) may be delegated to departments.

Departments should refer to their Delegated Agreements with DPA regarding the requirements.



**Typical
Time
Frame**

Department

CCD Staff

Union

SPB

**Pay Letter
Coordinator**

3 Weeks
Before Board
Meeting

CCD Prepares an SPB
Item Cover Memo
with Required
Recommendations &
Resolutions; a Final
Class Transmittal
Form; Class Data
Sheets; & Types Final
Class Spec(s)

Cover Memo,
Recommendations &
Resolutions - See C&P Sec.
100, Attachs. 14A & 14B

Class Transmittal Form - See
C&P Sec. 100, Attach. 16

Class Data Sheet - See C&P
Sec. 100, Attachs. 17A-17G
& C&P Sec. 115

5 Weeks
Before Board
Meeting

CCD Completes Item
Schedule Sheet and
Forwards to SPB
Secretariat

SPB Secretariat
Schedules the Item
on Calendar

7 1/2 Weeks
Before Board
Meeting

25 Working Days'
Notice for BU 1
Classes OR
20-Day Notice for all
Other BUs

CCD Compiles and
Forwards Board
Item Packages To:

DPA

SPB

UNION

See C&P Sec. 100, Attach. 5
for Board Item Packages
Checklist & See C&P
Sec. 100, Attach. 19 & C&P
Sec. 160 for Final Union
Notification

2-1/2 Weeks
Before Board
Meeting

Union
Reviews
Proposal &
Provides
Comments
Back to
Dept, DPA
or SPB

SPB Reviews Merit
Issues and
Presents the Item
to the 5-Member
Board

Pay Letter
Coordinator Holds
DPA Package
Material Until
Notified of Board
Action

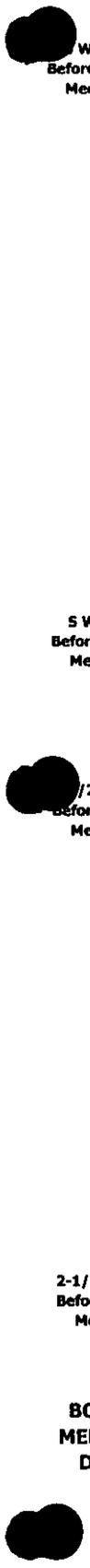
**BOARD
MEETING
DATE**

**DEPT
IMPLEMENTS
CLASSIFICATION
PLAN**

Union
Concerns
Regarding
Salary
Issues May
be Brought
Forth

SPB Adopts
Proposal &
Secretariat
Notifies
Union & DPA

DPA Pay Letter
Coordinator
Prepares &
Issues Pay
Letter &
Files Material







CALIFORNIA STATE PERSONNEL BOARD

801 Capitol Mall • Sacramento, California 95814

Date of Issue: 12/8/97
Destroy After: 12/31/98

MEMO TO: ALL STATE AGENCIES AND EMPLOYEE ORGANIZATIONS

SUBJECT: 1998 Board Meeting Schedule.

FULL BOARD MEETINGS <u>2 days</u>	MID-MONTH MEETINGS <u>1 day</u>
Sac - Jan 6, 1998	Sac - Jan 21, 1998
Sac - Feb 3-4, 1998	Sac - Feb 18, 1998
Sac - Mar 3-4, 1998	Sac - Mar 17, 1998
Sac - Mar 31-Apr 1, 1998	Sac - Apr 21, 1998
Sac - May 5-6, 1998	Sac - May 19, 1998
LA - Jun 2-3, 1998	Sac - Jun 16, 1998
Sac - Jul 1-2, 1998	Sac - Jul 21, 1998
Sac - Aug 4-5, 1998	
Sac - Sept. 1-2, 1998	Sac - Sept 15, 1998
LA - Oct 6-7, 1998	Sac - Oct 20, 1998
Sac - Nov 3-4, 1998	Sac - Nov 17, 1998
SF - Dec 8-9, 1998	Sac - Dec 22, 1998

WALTER VAUGHN
Acting Executive Officer

1998 DUE DATES FOR BOARD ITEM PROCESSING DELEGATED DEPARTMENTS

Dept Submits Class Proposal Request to DPA Analyst	DPA Staff Confirms Receipt of Proposal With Dept Staff	"Approved" Proposal Transmittal Signed and Returned to Dept by DPA	Discussion of Serious Problems Be- tween Dept/SPB	25 Working Days' Notice For BU 1	1. Final Item to SPB Analyst 2. Sched. Sheets Due to Secretariat by DPA 3. 20-Day Union Notice	Final Item to Secretariat From SPB Analyst (Secretariat's Cut-Off)	1998 Board Meeting Dates *
<div style="border: 1px solid black; padding: 2px; display: inline-block;">DPA Preliminary Notification to Union and California State Supervisors</div>							
(Length of Time From Board Meeting Date)							
12 Weeks	11 Weeks	10 Weeks	7 Weeks		4-1/2 Weeks	2-1/2 Weeks	
10/08/97	10/16/97	10/23/97	11/13/97	11/26/97	12/05/97	12/19/97	Jan 6 (Sac)
10/23/97	10/30/97	11/06/97	11/26/97	12/12/97	12/19/97	01/02/98	Jan 21 (Sac)
11/05/97	11/13/97	11/20/97	12/12/97	12/26/97	01/02/98	01/16/98	Feb 3-4 (Sac)
11/19/97	11/24/97	12/05/97	12/26/97	01/09/98	01/16/98	01/30/98	Feb 18 (Sac)
12/04/97	12/11/97	12/18/97	01/09/98	01/23/98	01/30/98	02/13/98	March 2-4 (Sac)
12/18/97	12/26/97	01/02/98	01/23/98	02/06/98	02/13/98	02/27/98	March 17 (Sac)
12/30/97	01/07/98	01/15/98	02/06/98	02/23/98	02/27/98	03/13/98	Mar 30-31 (Sac)
01/23/98	01/30/98	02/06/98	03/03/98	03/17/98	03/20/98	04/03/98	April 21 (Sac)
02/06/98	02/17/98	02/24/98	03/17/98	03/31/98	04/03/98	04/17/98	May 5-6 (Sac)
02/24/98	03/03/98	03/10/98	03/31/98	04/14/98	04/17/98	05/01/98	May 19 (Sac)
03/09/98	03/16/98	03/23/98	04/13/98	04/27/98	05/01/98	05/15/98	June 2-3 (LA)
03/20/98	03/27/98	04/03/98	04/24/98	05/08/98	05/14/98	05/29/98	June 15 (Sac)
05/07/98	05/14/98	05/21/98	05/12/98	05/27/98	05/29/98	06/12/98	July 1-2 (Sac)
05/27/98	05/04/98	05/11/98	06/02/98	06/16/98	06/19/98	07/03/98	July 21 (Sac)
05/11/98	05/18/98	05/26/98	06/16/98	06/30/98	07/03/98	07/17/98	August 4-5 (Sac)
06/09/98	06/16/98	06/23/98	07/14/98	07/28/98	07/31/98	08/14/98	Sept 1-2 (Sac)
06/22/98	06/29/98	07/06/98	07/27/98	08/10/98	08/14/98	08/28/98	Sept 15 (Sac)
07/13/98	07/20/98	07/27/98	08/17/98	08/31/98	09/04/98	09/18/98	Oct 6-7 (LA)
07/24/98	07/31/98	08/07/98	08/28/98	09/14/98	09/18/98	10/02/98	Oct 20 (Sac)
08/11/98	08/18/98	08/25/98	09/16/98	09/30/98	10/05/98	10/19/98	Nov 5-6 (SD)
08/21/98	08/28/98	09/03/98	09/25/98	10/09/98	10/16/98	10/30/98	Nov 17 (Sac)
09/10/98	09/17/98	09/24/98	10/16/98	10/29/98	11/06/98	11/20/98	Dec 8-9 (SF)
09/24/98	10/01/98	10/08/98	10/30/98	11/13/98	11/20/98	12/04/98	Dec 22 (Sac)

*A Board meeting date might be changed by SPB during the year. Please verify the date with your CCD departmental analyst.

(Rev. 5/13/98)

1998 DUE DATES FOR BOARD ITEM PROCESSING NON-DELEGATED DEPARTMENTS

Final Proposal Received by DPA Staff*	Discussions Between DPA/Dept/SPB Staff	Discussion of Draft Item With DPA Manager	Discussion of Serious Problems Between DPA/SPB	Item to CCD Sec. Mgr.	25 Working Days' Notice For BU 1	1. Final Item to SPB Analyst 2. Sched. Sheets Due to Secretariat by DPA 3. 20-Day Union Notice	Final Item to Secretariat From SPB Analyst (Secretariat's Cut-off)	1998 Board Meeting Dates
DPA Preliminary Notification to Union and California State Supervisors								
(Length of Time From Board Meeting Date)								
12 Weeks	10 Weeks	8 Weeks	7 Weeks	6 Weeks		4-1/2 Weeks	2-1/2 Weeks	
10/08/97	10/23/97	11/06/97	11/13/97	11/20/97	11/26/97	12/05/97	12/19/97	Jan 6 (Sac)
10/23/97	11/06/97	11/20/97	11/26/97	12/05/97	12/12/97	12/19/97	01/02/98	Jan 21 (Sac)
11/05/97	11/20/97	12/05/97	12/12/97	12/19/97	12/26/97	01/02/98	01/16/98	Feb 3-4 (Sac)
11/19/97	12/05/97	12/19/97	12/26/97	01/02/98	01/09/98	01/16/98	01/30/98	Feb 18 (Sac)
12/04/97	12/18/97	01/02/98	01/09/98	01/16/98	01/23/98	01/30/98	02/13/98	March 2-4 (Sac)
12/18/97	01/02/98	01/16/98	01/23/98	01/30/98	02/06/98	02/13/98	02/27/98	March 17 (Sac)
12/30/97	01/15/98	01/30/98	02/06/98	02/13/98	02/23/98	02/27/98	03/13/98	March 30-31 (Sac)
01/23/98	02/06/98	03/24/98	03/03/98	03/10/98	03/17/98	03/20/98	04/03/98	April 21 (Sac)
02/06/98	02/24/98	03/10/98	03/17/98	03/24/98	03/31/98	04/03/98	04/17/98	May 5-6 (Sac)
02/24/98	03/10/98	03/24/98	03/31/98	04/07/98	04/14/98	04/17/98	05/01/98	May 19 (Sac)
03/09/98	03/23/98	04/06/98	04/13/98	04/20/98	04/27/98	05/01/98	05/15/98	June 2-3 (LA)
03/20/98	04/03/98	04/17/98	04/24/98	05/01/98	05/08/98	05/14/98	05/29/98	June 15 (Sac)
05/07/98	05/21/98	05/05/98	05/12/98	05/19/98	05/27/98	05/29/98	06/12/98	July 1-2 (Sac)
05/27/98	05/11/98	05/26/98	06/02/98	06/09/98	06/16/98	06/19/98	07/03/98	July 21 (Sac)
05/11/98	05/26/98	06/09/98	06/16/98	06/23/98	06/30/98	07/03/98	07/17/98	August 4-5 (Sac)
06/09/98	06/23/98	07/07/98	07/14/98	07/21/98	07/28/98	07/31/98	08/14/98	Sept 1-2 (Sac)
06/22/98	07/06/98	07/20/98	07/27/98	08/03/98	08/10/98	08/14/98	08/28/98	Sept 15 (Sac)
07/13/98	07/27/98	08/10/98	08/17/98	08/24/98	08/31/98	09/04/98	09/18/98	Oct 6-7 (LA)
07/24/98	08/07/98	08/21/98	08/28/98	09/04/98	09/14/98	09/18/98	10/02/98	Oct 20 (Sac)
08/11/98	08/25/98	09/09/98	09/16/98	09/23/98	09/30/98	10/05/98	10/19/98	Nov 5-6 (SD)
08/21/98	09/03/98	09/18/98	09/25/98	10/02/98	10/09/98	10/16/98	10/30/98	Nov 17 (Sac)
09/10/98	09/24/98	10/08/98	10/16/98	10/23/98	10/29/98	11/06/98	11/20/98	Dec 8-9 (SF)
09/24/98	10/08/98	10/23/98	10/30/98	11/06/98	11/13/98	11/20/98	12/04/98	Dec 22 (Sac)

* Prior to submitting a final proposal, departments should contact DPA to discuss/provide a conceptual proposal.

State of California

MEMORANDUM

Date:

To: D-22
Department of Personnel Administration
 Classification and Compensation Division
 Labor Relations Division
 Legal Division

From:

Subject: Certification of Conformance with Approved Program and Organization and/or Availability of Funds.

I hereby certify that the attached:

- Classification/Pay Proposal 1/
- Settlement Agreement

[Check applicable statement(s)]

- 1. Is consistent with approved program and organization, with legislative intent and with the Administration's (Governor's) policy, and does not provide for new, expanded, or exploratory programs in this or any subsequent fiscal year.
- 2. Does not require supplemental funding in the current fiscal year, 19____, or the next fiscal year. The estimated current fiscal year cost is \$____ and the estimated annualized cost is \$____.
- 3. Cost estimate for the budget year, 19____, is \$____, and the cumulative cost in the budget year is \$____. This total does not exceed one percent of salaries and wages amounts available in the current fiscal year or \$100,000, whichever is less.
- 4. Proposal does not meet the criteria above. If one or more of three certification statements is not checked, approval of the Department of Finance is required and has been noted on the bottom of this page.

By the selection of statement(s) 1-3 above, affected departments/agencies acknowledge that subsequent funding through Budget Change Proposals will not be entertained by the Department of Finance.

Agency Head/Representative

Approved (Required only when number 4 is checked):

Program Budget Manager, Department of Finance (Signature)

(Date)

1/ Establishment or revision of a classification, pay differential, hiring above minimum, temporary authorization to pay cash compensation for overtime, alternate range criteria or allocation of classes to work week groups which authorize cash payment for overtime. Certification of funding for temporary authorization to pay cash compensation for overtime only needs to cover the period of the authorization.

State of California

SAMPLE

MEMORANDUM

Date:

To: D-22
Department of Personnel Administration
 Classification and Compensation Division
 Labor Relations Division
 Legal Division

From:

Subject: Certification of Conformance with Approved Program and Organization and/or Availability of Funds.

I hereby certify that the attached:

- Classification/Pay Proposal 1/
- Settlement Agreement

[Check applicable statement(s)]

- 1. Is consistent with approved program and organization, with legislative intent and with the Administration's (Governor's) policy, and does not provide for new, expanded, or exploratory programs in this or any subsequent fiscal year.
- 2. Does not require supplemental funding in the current fiscal year, 19 , or the next fiscal year. The estimated current fiscal year cost is \$ and the estimated annualized cost is \$.
- 3. Cost estimate for the budget year, 19 , is \$, and the cumulative cost in the budget year is \$. This total does not exceed one percent of salaries and wages amounts available in the current fiscal year or \$100,000, whichever is less.
- 4. Proposal does not meet the criteria above. If one or more of three certification statements is not checked, approval of the Department of Finance is required and has been noted on the bottom of this page.

By the selection of statement(s) 1-3 above, affected departments/agencies acknowledge that subsequent funding through Budget Change Proposals will not be entertained by the Department of Finance.

Agency Head/Representative

Approved (Required only when number 4 is checked):

Program Budget Manager, Department of Finance (Signature)

(Date)

1/ Establishment or revision of a classification, pay differential, hiring above minimum, temporary authorization to pay cash compensation for overtime, alternate range criteria or allocation of classes to work week groups which authorize cash payment for overtime. Certification of funding for temporary authorization to pay cash compensation for overtime only needs to cover the period of the authorization.

COLLECTIVE BARGAINING UNITS

UNIT #	DESCRIPTION	#OF Ees	LRO	PH	EXCLUSIVE REPRESENTATIVE	PHONE #
1	Administrative, Financial and Staff Services	34,358	James Wheatley	324-0501	California State Employees Association (CSEA)	326-4207
2	Attorney and Administrative Law Judges	2,900	Robert Ledbetter	324-0485	Association of California State Attorneys (ACSA)	442-2272
3	Education and Library	2,759	Dennis Fujii	324-0429	California State Employees Association (CSEA)	326-4207
4	Office and Allied	33,136	Gloria Andrews	324-9373	California State Employees Association (CSEA)	326-4207
5	Highway Patrol	5,585	David Gilb	324-0431	California Association of Highway Patrolmen (CAHP)	452-6751
6	Corrections	26,075	David Gilb	324-0431	California Correctional Peace Officers Association (CCPOA)	372-6060
7	Protective Services and Public Safety	6,148	Michael Navarro	324-0505	California Union of Safety Employees (CAUSE)	447-5262
8	Firefighter	2,608	Michael Navarro	324-0505	CDF Firefighters (CDF)	641-2096
9	Professional Engineers	7,345	Gloria Andrews	324-9373	Professional Engineers in California Government (PECG)	446-0400
10	Professional Scientific	2,215	James Wheatley	324-0501	California Association of Professional Scientists (CAPS)	441-2222
11	Engineering and Scientific Technician	3,307	Gloria Andrews	324-9373	California State Employees Association (CSEA)	326-4207
12	Craft and Maintenance	10,579	Michael Navarro	324-0505	International Union of Operating Engineers (IUOE)	415-861-1135
13	Stationary Engineer	798	Michael Navarro	324-0505	International Union of Operating Engineers (IUOE)	928-0399
14	Printing Trades	593	James Wheatley	324-0501	California State Employees Association (CSEA)	326-4207
15	Custodial and Services	4,043	Robert Ledbetter	324-0485	California State Employees Association (CSEA)	326-4207
16	Physician, Dentist and Podiatrist	1,336	Robert Ledbetter	324-0485	Union of American Physicians and Dentists (UAPD)	510-839-0193
17	Registered Nurse	3,278	Frank Marr	324-0504	California State Employees Association (CSEA)	326-4207
18	Psychiatric Technician	5,716	Robert Ledbetter	324-0485	California Association of Psychiatric Technicians (CAPT)	454-1707
19	Health and Social Services/Professional	3,602	David Gilb	324-0431	American Federation of State, County and Municipal Employees (AFSCME)	213-387-7293
20	Medical and Social Services	2,229	Dennis Fujii	324-0429	California State Employees Association (CSEA)	326-4207
21	Educational Consultant, Library and Maritime	547	Dennis Fujii	324-0429	California State Employees Association (CSEA)	326-4207
TOTAL RANK AND FILE		159,157				

EXCLUSIVE REPRESENTATIVES

Contact List (Rev. 6/98)

CSEA Units 1, 3, 4, 11, 14, 15, 17, 20, 21

Tut Tate, Civil Service Division Manager
California State Employees Association
1108 "O" Street
Sacramento, CA 95814
(916) 326-4207 FAX 326-4215

ACSA Unit 2

Bruce Blanning, Executive Assistant
Association of California State Attorneys
660 "J" Street, Suite 480
Sacramento, CA 95814
(916) 422-2272 FAX 442-4182

CAHP Unit 5

Jon Hamm, Exec. Manager of Operations
California Association of Highway
Patrolmen
2030 "V" Street
Sacramento, CA 95818
(916) 452-6751 FAX 457-3398

CCPOA Unit 6

Gerrit Buddingh', Chief of Labor
California Correctional Peace Officers
Association
755 Riverpoint Drive, Suite 200
West Sacramento, CA 95605-1634
(916) 372-6060 FAX 372-9805

CAUSE Unit 7

Alan Barcelona, President
California Union of Safety Employees
2029 "H" Street
Sacramento, CA 95814
(916) 447-5262 FAX 447-2530

CDFEA Unit 8

Woody Allshouse, President
California Department of Forestry
Employee Association
924 Enterprise Drive
Sacramento, Ca 95825
(916) 641-0400 FAX 641-1508

PECG Unit 9

Professional Engineers in California State
Government
660 "J" Street, Suite 445
Sacramento, CA 95814
(916) 446-0400 FAX 446-0489

CAPS Unit 10

David Rasmusen, President
CA Association of Professional Scientists
660 "J" Street, Suite 480
Sacramento, CA 95814
(916) 441-2629 FAX 442-4182

IUOE Unit 12

Ron Glick, Director
IUOE Division Central Office
Locals 3, 12, 39, and 501, AFL-CIO
1010 11th Street, Suite 208
Sacramento, CA 95814
(916) 553-4949 FAX 553-4959

IUOE Unit 13

Walt Norris, Director of Public Employees
Stationary Engineers Division
Locals 39 and 501
337 Valencia Street
San Francisco, CA 94103
(415) 861-1135 FAX 861-5264

UAPD Unit 16

Gary Robinson, Executive Director
Union of American Physicians & Dentists
1330 Broadway, Suite 730
Oakland, CA 94512-2506
(510) 839-0193 FAX 763-8756

CAPT Unit 18

Kenneth Murch, Consultant
California Association of Psychiatric Techs
2000 "O" Street, Suite 250
Sacramento, CA 95814-5224
(916) 329-9140 FAX 329-9145

EXCLUSIVE REPRESENTATIVES

Contact List (Rev. 6/98)

AFSCME Unit 19

Sondra Scolfield, President
American Federation of State, County, and
Municipal Employees
695 S. Harvard Boulevard, #310
Los Angeles, CA 90005
(213) 387-7293 FAX 387-5243

Nancy Clifford, Business Agent
American Federation of State, County, and
Municipal Employees
Local 2620, District Council 57
2000 Embarcadero, #201
Oakland, CA 94606-5300
(510) 533-3791 FAX 533-0890

EXCLUDED/SUPERVISORY EMPLOYEE ORGANIZATIONS

Robert F. Katz, President
**Association of California State
Attorneys and Administrative
Law Judges**
660 "J" Street, Suite 480
Sacramento, CA 95814

Tim Landrus, President
**Association of Supervising
Special Investigators**
10940 Badger Woods Lane
Wilton, CA 95693

Dennis E. Mayhew, President
**California Association
of Professional Scientists**
660 "J" Street, Suite 480
Sacramento, CA 95814

Donald Novey, President
**California Correctional Peace
Officers Association**
755 Riverpoint Drive, Suite 200
West Sacramento, CA 95605

Woody Allshouse, President
**California Department of
Forestry Employees Association**
924 Enterprise Drive
Sacramento, CA 95825

Randy Trefry, President
**California State Supervisory
Peace Officers' Association**
3076 Trabin Way
Pilot Hill, CA 95664

Ron Alexander, President
**Corrections Ancillary Staff
Supervisors**
2616 "J" Street
Sacramento, CA 95816-4313

Tim Behrens, President
**Association of California State
Supervisors**
1108 "O" Street, #205
Sacramento, CA 95814

Ron Snider, President
**California Association of Highway
Patrolmen**
2030 "V" Street
Sacramento, CA 95814

Jim Eddington, President
**California Association of Public
Health Managers and
Supervisors**
1092 Jamie Drive
Concord, CA 94518

Richard L. Tatum, President
**California Correctional Supervisors
Org., Inc.**
1756 Main Street
Escalon, CA 95320

Wayne Heine, President
**California State Managers
and Supervisors Association**
11344 Coloma Road, Suite 505
Gold River, CA 95628

Reese Dixon, President
**Coalition of Communications
Supervisors**
905 Sheridan Avenue
Bakersfield, CA 93308

Jerry Oliver, President
**Department of Transportation
Supervisors**
2616 "J" Street
Sacramento, CA 95816

EXCLUDED/SUPERVISORY EMPLOYEE ORGANIZATIONS

Mike Van Buskirk, President
**Motor Carrier Supervisors'
Benefits Committee**
1551 Benicia Road
Vallejo, CA 94591

Mike Rastegar, President
**Professional Engineers in
California Government**
660 "J" Street, Suite 445
Sacramento, CA 95814

Roger Smith, President
Union of PERB Employees (UPE)
1031 18th Street
Sacramento, CA 95814

Peter Cannon, President
**Motor Vehicle Managers and
Supervisors Association**
4920 Freeport Blvd., Suite A
Sacramento, CA 95822

Stephen D. Johnson, President
**State Park Peace Officers
Association of California**
P.O. Box 248
Tahoma, CA 96142

DEPARTMENT ANALYST CHECKLIST FOR CLASSIFICATION PROPOSALS

(Indicate clearance of each item with a checkmark.)

- 1. Have you explained the personnel management problem you are trying to correct and how your proposal will address it?
- 2. Have you verified and explained that there are no existing classes which can be used, in either current or revised form, to better meet your needs? N/A
- 3. Have you discussed the need for a new class? N/A
- 4. Has a Form 137 been approved and included in this package? N/A
- 5. Does the proposal discuss its effect on other classes and any revisions that will be required? Can any classes be abolished?
- 6. Does the proposal explain what will happen to existing incumbents?
Should they be moved by SPB resolution? yes no;
Examined? yes no; Transferred? yes no
- 7. Have nonrepresented employees been apprised of the proposal's impact? N/A
- 8. Will any existing related employment lists be used as appropriate lists? Are there any related reemployment lists? N/A
- 9. Have you justified the length of the probationary period: six months vs. one year? N/A
- 10. For revised classes, is all of the current wording contained in the revised specifications also contained in strike-out on the proposed specification? N/A
- 11. Are the minimum qualifications justified and written to include inside and outside experience, upward mobility/bridging classes, etc.? N/A
- 12. Have you attached the allocation standards? N/A
- 13. Have you justified the salary with comparisons and other rationale, and included the salary and Work Week Group analyses? N/A
- 14. Have you indicated a collective bargaining unit? N/A
- 15. Have all State agencies which may possibly use the subject class(es) been consulted and all concerns addressed?
- 16. Has the proposal been approved by your supervisor and all subject matter consultants?
- 17. Have you sent a copy of the item, except Part C. SALARY ANALYSIS, to SPB?

**DEPARTMENT OF PERSONNEL ADMINISTRATION
CLASSIFICATION ITEM TRANSMITTAL**

Board Meeting Date:	Location:	ROUTING:	
		ANALYST	SPB ANALYST
Calendar:	Hearing items will be scheduled for 30 minutes unless otherwise specified: _____ Minutes	SUPERVISOR	SPB SUPERVISOR
		MANAGER	SPB MANAGER
<input type="checkbox"/> Consent <input type="checkbox"/> Staff <input type="checkbox"/> Hearing			
SUBJECT (Specify Classes and Type of Action)			SECRETARIAT

DPA OR DEPT REVIEW	
1. Certificate of Conformance (Form 137):	<input type="checkbox"/> Attached <input type="checkbox"/> Not Required
2. Specifications:	<input type="checkbox"/> Attached
3. Allocation Standards:	<input type="checkbox"/> Submitted <input type="checkbox"/> Spec Only
4. Class Data Sheet:	<input type="checkbox"/> Submitted
5. Salary Analysis:	<input type="checkbox"/> Submitted <input type="checkbox"/> Not Required
6. Salary Comp Resolution (Deep Class Only):	<input type="checkbox"/> Included <input type="checkbox"/> Not Applicable
7. Draft Item Sent to Employee Union(s):	Date: _____
NOTIFY AND SEND COPIES TO: (Specify Names, Titles, and Addresses)	
_____ BARGAINING UNIT(S), AS INDICATED ON ATTACHMENT	
SPB REVIEW	
1. Nontesting Class:	<input type="checkbox"/> Examination Processing Unit Notified
2. Entry-Level Class:	<input type="checkbox"/> Health Questionnaire <input type="checkbox"/> Medical Exam
3. Type of Certification:	<input type="checkbox"/> 3 Ranks <input type="checkbox"/> 3 Names
4. Status/Exam Resolution Approved:	<input type="checkbox"/> Date <input type="checkbox"/> Policy Analyst
5. Prob Periods (other than 6 mos):	<input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable
6. Job Category/Categories:	<input type="checkbox"/> Submitted <input type="checkbox"/> Reviewed
SECRETARIAT REVIEW	
<input type="checkbox"/> Before Letters Mailed on _____(Date)	
<input type="checkbox"/> After Letters Mailed on _____(Date)	

RETURN TRANSMITTAL AND ALL ATTACHMENTS TO:
CLASSIFICATION AND COMPENSATION DIVISION
DEPARTMENT OF PERSONNEL ADMINISTRATION
(Rev. 11/96)

BARGAINING UNITS

- UNIT 1 - ADMIN, FIN & STAFF SVCS
CA State Employees Association
1108 O Street, Sacto, CA 95814
Attn:
- UNIT 2 - ATTY & HEARING OFFICER
Association of CA State Attorneys
660 J Street, Suite 480
Sacramento, CA 95814
Attn:
- UNIT 3 - INSTITUTIONAL EDUCATION
CA State Employees Association
1108 O Street
Sacramento, CA 95814
Attn:
- UNIT 4 - OFFICE & ALLIED
CA State Employees Association
1108 O Street
Sacramento, CA 95814
Attn:
- UNIT 5 - HIGHWAY PATROL
CA Assoc of Highway Patrolmen
2030 V Street, Sacto, CA 95818
Attn:
- UNIT 6 - CORRECTIONS
CA Correctional Peace Ofcrs Assn
755 Riverpoint Drive, #200
West Sacramento, CA 95605-1634
Attn:
- UNIT 7 - PROT SVCS & PUBLIC SAFETY
CA Union of Safety Employees
2029 H Street, Sacto, CA 95814
Attn:
- UNIT 8 - FIREFIGHTER
CA Dept of Forestry Employees Assn
924 Enterprise Drive
Sacramento, CA 95825
Attn:
- UNIT 9 - PROFESSIONAL ENGINEER
Professional Engineers in CA Govt
660 J Street, Suite 445
Sacramento, CA 95814
Attn:
- UNIT 10 - PROFESSIONAL SCIENTIST
CA Assn of Professional Scientists
660 J Street, Suite 480
Sacramento, CA 95814
Attn:
- CA STATE SUPERVISORS (CSEA)
1108 O Street
Sacramento, CA 95814
Attn:
- UNIT 11 - ENGR & SCIENTIFIC TECH
CA State Employees Association
1108 O Street, Sacto, CA 95814
Attn:
- UNIT 12 - CRAFTS AND MAINTENANCE
International Union of Opr Engrs
1010 11th Street, Suite 208
Sacramento, CA 95814
Attn:
- UNIT 13 - STATIONARY ENGINEER
International Union of Opr Engrs
337 Valencia Street
San Francisco, CA 94103
Attn:
- UNIT 14 - PRINTING TRADES
CA State Employees Association
1108 O Street
Sacramento, CA 95814
Attn:
- UNIT 15 - ALLIED SERVICES
CA State Employees Association
1108 O Street, Sacto, CA 95814
Attn:
- UNIT 16-PHYS, DENTIST & PODIATRIST
Union of American Phys & Dentists
1330 Broadway, Suite 730
Oakland, CA 94612-2506
Attn:
- UNIT 17 - REGISTERED NURSE
CA State Employees Association
1108 O Street, Sacto, CA 95814
Attn:
- UNIT 18 - PSYCHIATRIC TECHNICIAN
CA Assoc of Psychiatric Techs
2000 O Street, Suite 250
Sacramento, CA 95814-5224
Attn:
- UNIT 19 - HEALTH & SOC SVCS/PROFL
Amer Fed of State, Co & Muni Empl
695 S. Harvard Blvd, #310
Los Angeles, CA 90005
Attn:
- UNIT 20 - MED & SOC SVCS SUPPORT
CA State Employees Association
1108 O Street
Sacramento, CA 95814
Attn:
- UNIT 21- EDUC CONS, LIB & MARITIME
CA State Employees Association
1108 O Street, Sacto, CA 95814
Attn:

SALARY MOVEMENT DOCUMENTATION/INSTRUCTIONS - PAGE 2

(For CBID changes from Supervisory to Managerial)

Salary Movement Instructions are required when changing the CBID code from S (Supervisory) to M (Managerial). Fill in the blanks and attach to the Class Data Sheet to be included in Section B of the Pay Letter.

<u>Schematic</u> <u>Code</u>	<u>Class</u> <u>Code</u>	<u>Class Title</u>
---------------------------------	-----------------------------	--------------------

Employees in the ___ class whose salary rate is below the minimum of the new managerial salary range shall move to the first step of ___. Employees whose salaries are at the minimum rate or above will retain their salary rate and anniversary date. Employees receiving an increase of one or more steps will be given a new anniversary date. Employees receiving an increase of less than one step will be given accelerated anniversary dates as defined in Section 599.683(b) of the DPA regulation.

STATE OF CALIFORNIA

DEPARTMENT OF PERSONNEL ADMINISTRATION

CLASSIFICATION AND COMPENSATION DIVISION

1515 "S" STREET, NORTH BUILDING, SUITE 400
SACRAMENTO, CA 95814-7243



[Date]

[Addressee]

[Address]

[Address]

[Address]

Re: Notification of Classification Change

Dear [Name]:

Attached is a copy of a proposed [Define Class Action] for the class of [Class Title].

If you do not indicate any concerns in writing about this proposal by [Date], it will be placed on the State Personnel Board's Nonhearing Calendar for adoption at the [Date, refer to appropriate contract for response period] meeting.

Please address any questions or communications on this proposal to [Analyst Name], at [Phone Number], [Address].

Sincerely,

[Analyst Name]

[Analyst Title]

Attachment

cc: [Name], Labor Relations Officer, DPA (w/attachment)

DEPARTMENT OF PERSONNEL ADMINISTRATION

CLASSIFICATION AND COMPENSATION DIVISION

1515 "S" STREET, NORTH BUILDING, SUITE 400
SACRAMENTO, CA 95814-7243



[Date]

[Addressee]

[Address]

[Address]

[Address]

Re: Notification of Classification Change

Dear [Name]:

Attached is a copy of a proposed [Define Class Action] for the class of [Class Title].

If you do not indicate any concerns in writing about this proposal by [Date], it will be placed on the State Personnel Board's Nonhearing Calendar for adoption at the [Date, refer to appropriate contract for response period] meeting.

Please address any questions or communications on this proposal to [Analyst Name], at [Phone Number], [Address].

Sincerely,

[Analyst Name]

[Analyst Title]

Attachment

cc: [Name], Labor Relations Officer, DPA (w/attachment)

GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

<i>MAJOR AREA</i>	<i>SUBJECT</i>	<i>SECTION NUMBER</i>
POSITION ALLOCATION	OUT-OF-CLASS ASSIGNMENTS	375

375. OUT-OF-CLASS (OOC) ASSIGNMENTS

1. Definition

OOC work is defined as more than 50 percent of the time performing the full range of duties and responsibilities allocated to an existing class and not allocated to the class in which the person has a current, legal appointment. This includes the inappropriate assignment of duties of a higher, lower, or substantially the same classification.

2. Alternatives to OOC Assignments

Whenever possible or practical, temporary staffing needs should be accommodated by the use of civil service alternatives rather than the assignment of OOC work. Managers and supervisors should explore the feasibility of using the following alternatives any time an OOC assignment is being considered:

- 2.1 Limited-Term Appointment
- 2.2 Temporary Reassignment of Work to Appropriately Classified Positions
- 2.3 Rotating Assignments
- 2.4 T&D Assignments
- 2.5 Acting Assignments Under the State Personnel Board (SPB) Rule 302.3 (Compensable up to 60 Work Days)
- 2.6 Compelling Management Need Assignments Under SPB Rule 442 (Noncompensable)

NOTE: SPB Rule 302.3 should not be used when the acting assignment can reasonably meet the OOC provisions in a current Memorandum of Understanding (MOU) agreement or in the Department of Personnel Administration (DPA) Rule 599.810. In addition, SPB Rule 302.3 should not be used in sequence with MOU or DPA Rule 599.810 acting assignments. (See Section 4 on next page.)

3. DPA Preapproval



GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

<i>MAJOR AREA</i>	<i>SUBJECT</i>	<i>SECTION NUMBER</i>
POSITION ALLOCATION	OUT-OF-CLASS ASSIGNMENTS	375

OOO assignments are inappropriate in the following situations unless approved in advance by DPA:

- 3.1 To Exempt positions or levels.
- 3.2 To supervisory, Career Executive Assignment, and other managerial positions or levels, requiring classification preapproval by DPA [classifications requiring preapproval are identified in the pay scales as NONE under Modified Classification Review (MCR); MCR II classes may also require preapproval if the duties were not previously approved by DPA]. Before considering preapproval in these situations, DPA will require the department to demonstrate that there are no viable alternatives to OOC and that there is a plan to correct the OOC by the end of 120 days.
- 3.3 To positions or levels not authorized in the department's budget. Before considering preapproval in these situations, DPA will require specific written notice from the Department of Finance that funding is available.
- 3.4 Where the employee's class specification provides for the proposed work assignment. An example would be an Assistant Section Chief acting for the Section Chief.

4. **OOO Duties Assigned**

Certain MOU provisions and DPA Rule 599.810 allow for short-term OOC assignments to meet temporary staffing needs. Should OOC work become necessary, the assignment would be made pursuant to the applicable MOU provision or DPA regulation (see below). Before assigning the OOC work, the appointing power should have a plan to correct the situation before the 120-day time period runs its course.

GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

<i>MAJOR AREA</i>	<i>SUBJECT</i>	<i>SECTION NUMBER</i>
POSITION ALLOCATION	OUT-OF-CLASS ASSIGNMENTS	375

5. OOO Duties - Represented Employees

MOU provisions for compensating rank-and-file employees for assigned OOC duties are as indicated below:

5.1 All California State Employees Association (CSEA) Bargaining Units (1, 3, 4, 11, 14, 15, 17, 20, and 21) and Bargaining Units 12 and 18

An employee who is required to work in a higher classification for more than 15 consecutive calendar days shall receive a pay differential of 5 percent over his/her normal daily rate for that period in excess of 15 calendar days. If the employee is required to work in a higher classification for 30 consecutive calendar days or more, the employee shall receive a 5 percent pay differential over his/her normal daily rate from the first day of the assignment. If the assignment to a higher classification is not terminated before it exceeds 120 consecutive calendar days, the employee shall receive the difference between his/her salary and the salary of the higher class at the same step the employee would receive if he/she were to be promoted to that class, for that period in excess of 120 consecutive calendar days. The 5 percent differential shall not be considered as part of the base pay in computing the promotional step in the higher class.

5.2 Bargaining Units 6, 7, 9, and 13

The same provisions apply as described for the CSEA Units and Bargaining Units 12 and 18, EXCEPT that employees must be assigned OOC duties in writing. Unit 13 also provides that no employee can be compensated for more than one year of OOC work for any one assignment.

5.3 Bargaining Unit 8

No employee can be involuntarily assigned to work OOC. If the department head or his/her designee requires an employee in writing to work in a higher classification for more than 30 consecutive days (and the employee consents) the employee shall receive a pay differential of 5 percent over his/her normal daily rate of the class to which he/she is appointed for that period in excess of 30 days. If a department head or designee requires in writing (and the employee consents) an employee

GUIDE TO CLASSIFICATION AND PAY POLICIES AND PROCEDURES

<i>MAJOR AREA</i>	<i>SUBJECT</i>	<i>SECTION NUMBER</i>
POSITION ALLOCATION	OUT-OF-CLASS ASSIGNMENTS	375

to work in a higher classification for 60 consecutive calendar days or more, the employee shall receive a pay differential of 5 percent over his/her normal daily rate of the class to which he/she is appointed from the first day of the assignment. If the assignment to a higher classification is not terminated before it exceeds 120 consecutive calendar days, the employee shall be entitled to receive the difference between his/her salary and the salary of the higher class at the same step the employee would receive if he/she were to be promoted to the class, for that period in excess of 120 consecutive calendar days. No employee will be assigned to OOC work for more than one year. The differential shall not be considered as part of the base pay in computing the promotional step in the higher class.

5.4 Bargaining Units 10 and 16

An employee may be directed in writing to perform OOC work for 30 consecutive calendar days without any increase in compensation. An employee assigned in writing to perform OOC work in a higher level classification shall receive a one-step salary increase for OOC work performed for more than 30 consecutive calendar days up to 120 consecutive days. If the assignment to a higher classification is not terminated before it exceeds 120 consecutive calendar days, the employee shall receive, if greater, the difference between his/her salary and the salary of the higher class at the same step he/she would receive if promoted to that class for that period in excess of 120 consecutive calendar days provided that the salary increase is equivalent to at least one-step salary increase during the period in excess of 120 consecutive calendar days. An employee may only be compensated up to one step for a maximum of six months prior to filing an OOC grievance.

5.5 Bargaining Units 2, 5, and 19

There are no bargaining agreement provisions allowing the assignment of OOC work. Bargaining Unit 19 states that an employee shall not be assigned duties of any class other than that to which his/her position is allocated (see Section 8.2).

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6. OOO Duties - Nonrepresented Employees

Confidential, supervisory, and excluded employees are eligible to be compensated for OOC assignments based on provisions established by DPA Rule 599.810. NOTE: Individuals designated as managerial and exempt are not covered by specific provisions governing OOC assignments and, therefore, are not eligible for OOC assignment pay; and, furthermore, no authority exists to assign such individuals OOC work. [However, managerial employees who believe they have performed OOC duties may file a claim in accordance with Government Code (GC) Section 19818.16.]

In accordance with DPA Rule 599.810, confidential, supervisory, and excluded employees are eligible to be compensated for OOC assignments subject to certain provisions. Employees performing in a higher class for more than 15 consecutive work days shall receive a 5 percent differential or the differential the employee would receive if promoted to the higher class, whichever is greater. Assignments must be made in advance and in writing. Payments will be made for the entire duration of qualifying assignments. Assignments may exceed 120 calendar days with a proper certification of need statement filed with DPA (see Section 7 below).

7. Justification for OOC Assignments Which Exceed 120 Days

All OOC assignments which exceed 120 days must be reported to DPA no later than day 130 of the assignment, unless delegated to the department. DPA will not normally accept the department's failure to complete an examination as a basis for continuing the OOC assignment beyond 120 days. Extensions may be granted when the examination is in process and virtually completed. For assignments to exceed 120 calendar days, the appointing power or his/her chief deputy must file a statement with DPA on DPA Form PMS 232 (see Attachment 1) certifying that the additional OOC work is required to meet a need that cannot be met through other civil service or administrative alternatives.

8. OOO Grievances vs. OOC Claims

Employees who were not formally assigned OOC duties, but who believe they have been and/or are performing OOC work may file either an OOC grievance or an OOC claim as described below.

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8.1 OOC Grievances

As stipulated in their MOUs, all represented employees (except in Bargaining Units 2, 5, and 19) may file grievances concerning any disputes arising from OOC assignments in accordance with the respective bargaining unit grievance procedure. The grievance process begins with the employee preparing an OOC grievance form as specified in the contract. In order for a department to approve and pay an OOC grievance, it must be reviewed and responded to at the third level. Grievances which are denied at the third level of review, may be appealed to DPA, the fourth and final level of review.

If an OOC grievance has been approved at the first three levels within the department, it is no longer required that the grievance be sent to DPA for a fourth and final level of review.

8.2 OOC Claims

Represented employees in Bargaining Units 2, 5, and 19 and nonrepresented employees who believe that they have been assigned OOC duties may file an OOC claim within 30 days of the completion of the alleged OOC duties. Nonrepresented employees may file an Excluded Employee Grievance Form 631 (see Attachment 2).

The department's third level will respond within 30 calendar days of receiving the OOC claim. The claimant may appeal the response to DPA within 30 days. OOC claims must be reviewed and approved by DPA as a final level of review before they can be processed for payments. Reimbursement payments are calculated based on applicable bargaining unit OOC payment provisions and DPA Rule, respectively.

9. Timelines - Filing of OOC Grievances and Claims

An OOC grievance or claim must be determined to be timely in order to be reviewed. The grievance/claim must be dated and must be filed in writing at the first level. For **grievances**, the appropriate contract must be referenced for filing requirements (most MOUs, including CSEA, require that the grievance be filed within 14 days of the last day of the alleged OOC work). **OOO claims** must be filed within 30 days of the cessation of the alleged OOC duties (DPA Rule 599.904).

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10. One-Year Limitation on Retroactive OOC Grievances/Claims

In accordance with the provisions of GC Section 19818.16 (a), retroactive payment of an OOC grievance or claim shall be awarded for a period no greater than one year preceding the filing of the grievance or claim.

11. OOC Grievances/Claims - Standards of Review

11.1 General Standards

In determining whether or not the assigned work is in a higher classification, the kind and variety of duties performed, and the relative amount of time which the employee spent performing these duties must be evaluated in the same way that a position reallocation request is evaluated. An employee will be found to be working in a higher classification only when he/she is performing the full range of duties of the higher class on a regular and consistent basis (at least 50 percent of the time) and the position meets all of DPA's classification allocation guidelines to warrant allocation to the higher class.

11.2 Specific Standards

An employee is not considered to be working OOC if he/she meets any one of the criteria below:

11.2.1 He/she is performing the full range of the duties described in the employee's class. In other words, an employee who is performing the duties of his/her class the majority of the time is not considered to be working OOC even though these duties may substantially overlap those of another class at the same or higher level.

11.2.2 The employee is performing the prescribed duties on a compelling management need assignment, a T&D Assignment, in an apprenticeship or other training classification, or when performing duties different from the employee's regular duties because of injury, illness, or return-to-work program.

11.2.3 If DPA approves a change in allocation standards and an employee claims that he/she was working in a higher

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classification prior to the effective date of the change in the standards.

11.2.4 SPB establishes a new class which describes duties that were previously properly allocated to another class and an employee claims that he/she was working in a higher class prior to establishment of the class.

11.2.5 The claim is based upon alleged accelerated movement in a deep class series (e.g., Staff Services Analyst, Ranges A, B, and C) or from the trainee to/through journey level of a class series.

12. Board of Control (BOC)

Employees should not be advised to pursue OOC claims through BOC. The proper recourse is for employees to follow the administrative process associated with OOC grievances and claims as described above. If the employee is represented by a bargaining unit contract and the contract specifies that DPA is the final level of review in OOC, then the decision rendered by DPA is the final decision.

13. Payment of Grievances/Claims

13.1 For OOC grievances where departments are authorized to approve and pay direct (as specified in the bargaining unit contracts), payment can be made via the Form 674 process.

13.2 For grievances and OOC claims which must be reviewed and approved by DPA as the final level of review, reimbursements are paid through the Controller's Premium Pay Unit. When DPA certifies approval of a specific time period for OOC work, the "Release of All Claims" form and the payment form are initiated by DPA and sent to the personnel office in the employee's department for calculation of the correct amount for the OOC payment.

