

MEMORANDUM

DATE: November 1, 2002  
TO: PERSONNEL MANAGEMENT LIAISONS REFERENCE CODE: 2002-071

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Employee Relations Officers  
Personnel Officers  
State Restriction of Appointments (SROA)  
Coordinators

FROM: Department of Personnel Administration  
Classification and Compensation Division

SUBJECT: New Edition of the California State Restriction of Appointments  
(SROA) Policy and Procedure Manual.

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The purpose of this memorandum is to distribute a new edition of the California State Restriction of Appointments (SROA) Policy and Procedure Manual. This new edition of the SROA Manual supersedes all previous Personnel Management Liaisons (PML) Memoranda and policy memoranda pertaining to the SROA Program.

Minor changes clarifying the SROA process and procedures are included in this new edition of the SROA Manual. Major changes to the SROA process include:

- Surplus status will end at the point in time an appointing power (1) notices the employee that he/she is no longer Surplus and (2) the appointing power requests that the Department of Personnel Administration (DPA) remove the employee's Surplus status. If a job offer is made with a specific start date and an employee accepts it prior to an appointing power completing both of these steps, the employee is still considered to be on Surplus status.

- DPA is rescinding all departmental delegations to determine whether or not employees possess the requisite knowledge, skills, and abilities for appointment to the Staff Services Manager I pay level and above. Consequently, all requests for exemptions from hiring SROA/Surplus employees must be submitted to DPA for approval.
- The contracts for Bargaining Units (BU) 2 and 9 include a clause typically referred to as "Super SROA." This clause provides:  
  
"Departments filling vacancies shall offer positions to employees facing layoff, demotion in lieu of layoff, or mandatory geographic transfer, who meet the minimum qualifications for the vacancy being filled, provided that the vacancy is equivalent in salary and responsibility and in the same geographic area and bargaining unit."

The "Super SROA" hiring restrictions are explained in detail in Subsection V.E.5 of this SROA Manual.

We hope that this new edition of the SROA Manual provides improved policy direction in the administration of the SROA program. Questions concerning the SROA process or procedures should be directed to the contact of this PML, listed above.



Michael T. Navarro, Chief  
Classification and Compensation Division

Attachment



**THE CALIFORNIA STATE  
RESTRICTION OF APPOINTMENTS  
POLICY AND PROCEDURE MANUAL**

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**SROA MANUAL  
FOR  
AGENCY PERSONNEL OFFICERS**

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**DEPARTMENT OF  
PERSONNEL ADMINISTRATION**

NOVEMBER 2002



STATE RESTRICTION OF APPOINTMENTS  
PROGRAM

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POLICY AND PROCEDURE MANUAL  
SEPTEMBER 2002



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## STATE RESTRICTION OF APPOINTMENTS PROGRAM POLICY AND PROCEDURE MANUAL

### I. INTRODUCTION

The State Restriction of Appointments (SROA) process is an alternative to layoff that gives the Department of Personnel Administration (DPA) the authority to restrict the methods of appointment available to appointing powers in order to give employees in jeopardy of layoff an opportunity to retain State employment.

This manual contains a description of the SROA process and a description of the responsibilities and rights of all affected parties.

### II. ADMINISTRATIVE RESPONSIBILITY

#### A. DEPARTMENT OF PERSONNEL ADMINISTRATION (DPA)

DPA administers the SROA Program and has the following responsibilities:

1. Developing and maintaining the SROA rules and policies.
2. Making the initial determination that an agency has surplus employees who are eligible to participate in the SROA Program.
3. Approving individual employees for participation in the SROA Program.
4. Exercising control over the number of employees placed on SROA lists and those granted surplus status to ensure those included will lessen the impact of layoffs.
5. Reviewing and making decisions on requests for exemptions to the SROA process.
6. Auditing appointments to surplus classes to ensure compliance with SROA policy.
7. Determining and implementing appropriate corrective actions for SROA policy violations.

**B. STATE PERSONNEL BOARD (SPB)**

SPB is responsible for the following activities:

1. Collecting employee information on the SROA scantron form, "State Restriction of Appointments Program" (Attachment C), and placing employees' names on SROA employment lists. Returning forms to layoff departments after names are placed on lists.
2. Maintaining and issuing SROA employment lists to hiring agencies.
3. Answering telephone inquiries regarding certification of eligible surplus employees.
4. Maintaining data printout listings for SROA lists.
5. Reviewing and making decisions on appeal determinations made by SPB Certification Unit staff.

**C. LAYOFF DEPARTMENT**

A layoff department's responsibilities include the following:

1. Briefing employees in jeopardy of layoff in person, in writing, or by telephone of their rights and obligations and how to complete the SROA scantron form.
2. Making DPA resource materials available.
3. Reviewing SROA scantron forms for completeness and accuracy and sending them to the SPB Certification Unit.
4. Issuing letters to SROA and surplus-designated employees introducing them to prospective hiring departments. Letters should include class titles, status as SROA or surplus, the reasons for the layoffs, and the dates of layoffs.
5. Conducting the initial investigation into SROA or surplus employee complaints of SROA violations and forwarding those with substance to DPA's SROA Unit.

#### D. HIRING DEPARTMENT

A hiring department's responsibilities include the following:

1. Instructing all hiring supervisors and managers of the rights and obligations of SROA and surplus-designated employees.
2. Cooperating with DPA and layoff departments in the investigation of potential violations of the SROA process.

### III. SROA AND SURPLUS DESIGNATIONS

#### A. DESIGNATION AS A LAYOFF/SURPLUS DEPARTMENT

The first step in the process of placing employees on SROA lists and designating them as surplus is for a department to be recognized by DPA as being in a layoff mode. This is accomplished through the submission to your Classification and Compensation Division (CCD) analyst at DPA of a layoff plan that includes the classes and areas of layoffs, the total positions in each class, the number of positions to be abolished in each class/area, the number of surplus employees in each class/area, the reason for the layoff, demotional charts, and the effective date of the layoff.

The CCD analyst will recommend to the SROA Unit the classes to be placed on the SROA lists, the number of employees to be placed on each SROA list, and the classes designated surplus.

An entire department may be designated surplus when the layoff will be extensive and complex enough to warrant it.

#### B. ELIGIBILITY FOR PLACEMENT ON SROA LISTS

Placement on SROA lists is limited by DPA Rule 599.854.1 to those employees who are actually subject to layoff or demotion in lieu of layoff.

1. The layoff department may use the years of service which are used to determine their employees' vacation accrual rates as rough seniority scores. These scores can then be used to identify the employees who are actually in jeopardy of layoff/demotion in each class/area of layoff. (Please note that, prior to actual layoffs/demotions, actual seniority scores must be obtained from DPA.)
2. For each class approved for SROA, **THREE EMPLOYEES PER POSITION BEING ABOLISHED** may be offered the opportunity to submit SROA forms. DPA Rule 599.854.1, however, authorizes DPA to

add more employees in the classes and areas of layoff, if it will prevent the layoff/demotion of other employees.

Example: A department plans to abolish five of its total of 50 Office Technicians in Sacramento. The 15 employees with the lowest years of service would be offered the opportunity to submit SROA forms. The layoff department could request that DPA designate the remaining Office Technicians as surplus employees.

3. Exceptional Situations.

DPA may make exceptions to the general rule described in Section B.1. and 2 if it appears that the anticipated layoff will be very severe or some other unusual circumstance warrants it.

- a. Normally, employees in jeopardy of layoff/demotion who can be placed within the agency through involuntary transfer to other classes and/or locations are not placed on SROA lists. However, DPA will determine, on a case-by-case basis, whether the inclusion of such employees on SROA lists is appropriate.
- b. Normally, employees in a program that is leaving the State's jurisdiction, such as one becoming part of a county government, are not placed on SROA lists. However, DPA will determine, on a case-by-case basis, whether the inclusion of such employees on SROA lists is appropriate.

C. ELIGIBILITY FOR PLACEMENT OF EMPLOYEES IN DEPARTMENT-SPECIFIC CLASSES ON SROA LISTS (LAYOFF DEPARTMENT)

An employee is normally placed on the SROA list for the class that he/she is currently serving in; however, this would not be logical in the case of an employee in a class used only by the layoff department. The employee should instead be placed on the list for an appropriate class in which actual employment opportunities exist. An employee shall be placed only on one appropriate class list.

1. Determination of Appropriate SROA Class (Layoff Department)

An appropriate SROA class must meet the following criteria:

- a. Have a salary range the same as or lower than the class of layoff; and
- b. Have essentially the same class concept; and

- c. Be a servicewide class or another department-specific class in which actual employment opportunities exist.

2. Selection of Another Department's Department-Specific Class (Layoff Department)

If the layoff department selects another department's department-specific class as an appropriate class, the layoff department must first discuss the selection with the other department to ensure that the classes have essentially the same class concepts and that the appropriate class offers actual employment opportunities. DPA will resolve any differences of opinion.

3. Delegation of Selection of Appropriate Classes (Layoff Department)

Layoff departments are delegated the authority to select appropriate SROA classes for placement of employees in their department-specific classes. The layoff departments must maintain a record of their analyses that shows that the selected classes meet the three criteria in Subsection C.1. above. If the selected class is a department-specific class used by another department, the layoff department must maintain a record of the contact with the other department that includes the name of the contact person who agreed to the use of the class and the date of the contact.

#### D. DESIGNATION AS A SURPLUS EMPLOYEE

Employees who are designated surplus must seek out their own job opportunities since they will not receive contact letters. There are three categories of surplus employees:

1. Every employee on an SROA list is considered surplus for any other class to which he or she is eligible to transfer and may compete for positions in those classes with employees on the SROA lists for those classes. For example, an employee on the Associate Governmental Program Analyst (AGPA) list may compete for a vacant Associate Personnel Analyst (APA) position. A hiring department may hire either the surplus AGPA or someone on the APA SROA list.
2. An employee who is going to be completing an SROA scantron form for placement on an SROA list is considered surplus until the form is processed, so that he/she will not miss the opportunity to compete for a position during the processing time.

3. A department with an extremely large and/or complex layoff may place additional employees not on SROA lists on surplus status so as to increase the chances of avoiding layoff.
4. Surplus status will end at the point in time an appointing power (1) notices the employee that he/she is no longer Surplus; and (2) the appointing power requests that the Department of Personnel Administration (DPA) remove the employee's Surplus status. If a job offer is made with a specific start date and an employee accepts it prior to an appointing power completing both of these steps, then the employee is still considered to be on Surplus status.
5. The "holding" time period for a department that is transferring a surplus employee to a hiring department is 30 days, per SPB Rule 425.

DPA encourages departments that are downsizing to work cooperatively with hiring departments in arranging as early a release date as possible in order to facilitate the placement of the surplus employee and expedite downsizing.

E. **PLACEMENT OF CAREER EXECUTIVE ASSIGNMENTS (CEA)  
EMPLOYEES ON SROA LISTS**

If a CEA position is to be abolished as surplus, the incumbent may be placed on the SROA list for his/her former position **ONLY IF** the return to the former position will result in a layoff. "Former position" is defined as the last position held as a probationer or permanent employee or a position in another class that has the same or lower salary range, essentially the same class concept, and in which actual employment opportunities exist. There are no enhanced SROA rights. If a CEA employee exercises enhanced reinstatement rights and a layoff occurs later, then the employee and/or others in the class will be eligible for placement on an SROA list.

F. **ELIGIBILITY OF PART-TIME OR PERMANENT INTERMITTENT  
EMPLOYEE FOR A FULL-TIME POSITION**

A part-time or permanent intermittent employee on an SROA list or who is surplus need only be considered for a permanent, full-time position if he/she has worked the necessary hours to qualify for a full-time appointment.

IV. **MANAGEMENT OF SROA LISTS**

A. **EMPLOYEE RIGHTS AND OBLIGATIONS**

1. When DPA has approved an employee's department, class, and work location for inclusion in the SROA program, and has agreed that the

employee is eligible for SROA list participation, the employee may place his/her name on the SROA list for the class by completing the SROA scanner form (Attachment C) available in his/her department's personnel office. This is voluntary on the part of the employee; however, placement on an SROA list is the only method by which an employee in jeopardy of layoff/demotion can be guaranteed to be contacted for employment opportunities. Scantron forms should be sent directly to SPB Certification Unit which will return the forms to the departments when names are placed on SROA lists.

2. A limited-term or temporary authorization appointment does not give an employee SROA eligibility. An employee's SROA eligibility is limited to status resulting from a probationary or permanent appointment.
3. An employee on an SROA list who does not respond to written or telephone contacts or does not appear for interviews is removed from the SROA list by the hiring department.
4. An employee on an SROA list (or an employee who has surplus status) must respond in a reasonable time to an inquiry from a potential hiring department to see if the employee is interested in a possible appointment. The following time standards contained in SPB Rule 258 apply: (1) Telephone: two days' response time following the initial contact; (2) Telegram: three days, exclusive of Saturdays, Sundays, and legal holidays, after the date the telegram is sent; (3) Mailgram: four days, exclusive of Saturdays, Sundays, and legal holidays, after the date the mailgram is sent; (4) Mail (in town): four days, exclusive of Saturdays, Sundays, and legal holidays, after the date the notice is sent; (5) Mail (out of town): six days, exclusive of Saturdays, Sundays, and legal holidays, after the date the notice is sent. Failure to respond within these time frames constitutes a waiver of certification and the hiring department may bypass the employee.
5. An employee on an SROA list (or an employee who has surplus status) must make himself/herself available for a job interview within a reasonable time or it will constitute a waiver of certification. This time standard should be the same as that used by the hiring department when normally scheduling and conducting job interviews.
6. An employee on an SROA list who is offered a job that meets the employee's conditions of employment on the SROA scanner form must respond with a decision within two working days or it will constitute a waiver of certification and the hiring department may bypass the employee.
7. An employee on an SROA list may be removed from the list or surplus status if he/she refuses a valid job offer. A valid job offer means that the job is in one of the areas selected by the employee on the SROA scanner

form and is in the employee's current class or closely related class in which he/she could be expected to succeed. If an employee refuses one job offer, DPA will investigate and if the reason for refusal is not valid, the layoff department will notify the employee in writing that another nonvalid refusal will result in loss of SROA/surplus status. If that occurs, DPA will notify the layoff department and employee in writing.

8. An employee on an SROA list may update pertinent information on the SROA scanner form, such as home telephone and areas in which he/she would work, in the following ways:
  - a. Request that his/her personnel office revise the information through the certification process; or
  - b. By writing to the SPB Certification Unit, 801 Capitol Mall, Room 360, Sacramento, CA 95814.
9. An employee on an SROA list may not place himself/herself on inactive status. An employee may, however, request that his/her name be removed from an SROA list and later request that his/her name be placed back on the list. There is no guarantee that the employee's name will be placed back on the list, because the department may no longer be in a layoff mode. If the name is placed back on the list, the time that the employee was initially on the list will count toward the 120-day limit.
10. When a surplus employee with a Hire-Above-Minimum (HAM) salary rate transfers to a nongeneral fund agency, he/she is not required to serve the minimum two years in the HAM class in order to retain the HAM.
11. A surplus employee cannot be promoted to a vacant position until SROA and surplus employees within transfer range are cleared.
12. An employee on an SROA list or who is designated surplus may transfer to other classes based on his/her surplus status.
13. An employee on an SROA list who accepts a limited-term appointment is not removed from the SROA list until the conclusion of the 120-day period.

#### B. LENGTH OF SROA ELIGIBILITY

##### 1. Initial

Eligibility is initially granted for 120 calendar days.

2. Extension

Extensions are rare. DPA may grant a maximum extension of 120 calendar days if a substantial number of the SROA employees have not been placed, typically due to being in hard-to-place classes or remote geographic locations, and the extension is likely to result in additional placements.

C. PLACEMENT OF EMPLOYEE NAMES ON SROA LISTS

The layoff department inserts the class title of the **last class in which the employee had permanent or probationary status** on the "List I Class Title" line and the class title and class code of this status class in the "List I Class Code" box on the SROA scanner form (Attachment C). The layoff department submits the SROA scanner forms to the SPB Certification Unit. **The class title and code must be of the employee's last permanent status appointment class.** Please use a Number 2 pencil; ensure that the scanner forms are completed in their entirety; and do not fold, bend, or staple them.

D. PLACEMENT OF EMPLOYEE NAMES ON APPROPRIATE SROA LISTS

This process applies only in the case of an employee in a department-specific class whose name is to be placed on an appropriate servicewide or other department-specific class. The layoff department enters the class title of the employee's current class on the "List I Class Title" line and the class title and class code of the employee's current class in the "List I Class Code" box on the SROA scanner form (Attachment C). The class title of the appropriate class is entered in the "List II Class Title" line and the class title and class code of the appropriate class are inserted in the "List II Class Code" box on the scanner form. The "List II" designation is for SPB identification purposes only, as the appropriate class is a List I class for an employee in a department-specific class.

E. PLACEMENT OF CEA EMPLOYEE NAMES ON SROA LISTS

If the employee is to be placed on the SROA list for the class in which he/she last served as a probationer or permanent employee, placement on the list occurs as it does in Section C, above. If the employee is to be placed on the SROA list for a comparable class that has the same or lower salary range, essentially the same class concept, and offers actual employment opportunities, placement on the list occurs as it does in Section D, above.

F. REMOVAL FROM SROA LISTS

1. If an employee does not respond to a written or telephone contact or appear for a scheduled interview, the employee's name should be removed from the SROA list by the department initiating the contact or scheduling the interview. For SROA lists only, departments should remove the names of

ALL persons who do not respond or appear, not just those down to the name of the person hired from the list; and the names of those who do not respond or appear should be removed even if the list is not used to fill the position. The removal of these names will contribute to maintaining workable SROA lists.

2. At the conclusion of 120 calendar days, an employee's name is automatically deleted from the SROA list.
3. When a department is no longer in a surplus mode, it should notify DPA so that all its employees' names may be removed from SROA.

Surplus status will end at the point in time when an employee is noticed by the employer that the employee is no longer surplus and the employer has requested DPA to remove the employee's surplus status.

If a job offer is made with a specific start date and an employee accepts it prior to notification from his/her current employer that he/she is no longer surplus, the employee is still considered to be on surplus.

4. When a class is no longer subject to layoff/demotion, the department that placed the class on SROA should notify DPA that employees' names should be removed from the SROA list. The notification should contain the names, classes, and social security numbers of the employees to be removed. The notice will be forwarded by DPA to SPB for removal of names.
5. When an employee is hired from an SROA list, the hiring department **MUST** clear the name from the list.
6. When an employee is laid off or demoted in lieu of layoff, he/she is placed on the reemployment list and his/her name will be removed from the SROA list by SPB.
7. When an employee refuses more than one valid job offer. Refer to Section IV.A.7 for more details.

## V. FILLING POSITIONS

### A. CERTIFICATIONS

#### 1. Order of Preference

The order of preference, in accordance with GC Section 19054, in certifying eligibles is: NextSTEP; Subdivisional Reemployment List; Departmental Reemployment List; General Reemployment List; SROA

List/Surplus status employees; and promotional and open lists. SROA lists will appear on the certification following general reemployment list names; however, appointments of persons on an SROA list and of persons designated surplus are not list appointments, but transfers. This means that, in accordance with GC 19052, the appointments of SROA and surplus employees may take precedence over all list appointments.

2. Certification Rules

a. NextSTEP Lists

These lists take precedence over all types of appointments, including SROA and surplus except mandatory reinstatements. Rule of the List applies. (Refer to PML 2000-003.)

b. Subdivisional and Departmental Reemployment Lists

The individual standing highest on the subdivisional reemployment list must be appointed (Rule of One Name). If there is no subdivisional reemployment list, the individual standing highest on the departmental reemployment list must be appointed (Rule of One Name).

c. General Reemployment Lists

If there is not a subdivisional or a departmental reemployment list, appointment may be made from one of the three persons highest on the general reemployment list (Rule of Three Names). If fewer than three names are on a general reemployment list, an appointing power may make an appointment of a person on the general reemployment list or go to the SROA list and make an appointment of anyone on the SROA list, since it is Rule of the List. In such a case, the appointing power could also appoint an employee designated surplus who is not on any list.

d. SROA Lists

Appointment may be made from anyone on an SROA list (Rule of the List—DPA Rule 599.854.2[f]). You may not move to the next employment list (usually promotional) without an exception as long as there is at least one name on the SROA list or on surplus status.

e. Surplus Employees

Employees not on SROA lists who have been designated surplus by DPA have status equal to employees on SROA lists.

Surplus employees may be appointed even if an SROA list exists.

f. Injured State Worker assistance Program (ISWAP) Lists

Rule of the List applies, but it is not necessary to clear the list.  
Please see X.D. for more detail.

3. Extension of Certifications

Departments may request an extension of a certification if an appointment has not been made in 60 days. If the SROA names on the original certification were cleared, new SROA names on the extension need not be cleared. New reemployment list names, however, would have to be cleared prior to using lists other than the SROA lists.

B. UPDATING SROA LISTS

1. The number of names on an SROA list may vary daily because of the addition or deletion of names.
2. **A department need only clear the certification list ordered at the time recruitment began that was used to make a commitment. It is not necessary to clear additional SROA employees added to the original list once a commitment has been made.**

C. CONTACTS

All contacts to employees on SROA lists should be made in writing. Telephone contacts may be made if followed up in writing. Contacts are normally valid for 60 days; however, if an SROA certification is extended beyond 60 days, it is not necessary to reissue contact letters to the SROA eligibles.

D. CLEARANCE OF SROA LISTS

1. Employees who do not respond (IDNR) or do not appear for interviews or work (IDNA) should be removed from the SROA lists by the hiring departments. Employees are to be allowed a reasonable time to respond to inquiries, as provided for by SPB Rules 258 and 260. For SROA lists only, departments should remove the names of ALL persons who do not respond or appear, not just those down to the name of the person hired from the list; and the names of those who do not respond or appear should be removed even if the list is not used to fill the position. An employee may request that his/her name be restored to the list if there was a valid reason for not responding or appearing. The request must be in writing and include a

description and validation of the reason. An example of "acceptable reasons and validations" is an emergency medical condition requiring hospitalization verified by a doctor.

2. A name may be cleared from an SROA list if the employee: (1) has been hired by another agency to a nonsurplus position (HS); (2) waives eligibility for appointment (AW); or (3) is hired from this certification (H).
3. A name may be removed from an SROA list after refusal of a job offer if the procedures in Section IV.A.7 of this manual are followed.
4. Special exemptions authorized in this manual may be used to clear a name of an SROA list eligible.
5. Interchangeable Positions (Classes)

The groupings of interchangeable positions (classes) are listed in the State Controller's Office Payroll Procedures Manual. They were approved by the Department of Finance to facilitate the practice of hiring employees at the entry level and later promoting them to the journey level without submission of another Form 607.

When filling a position in a grouping of interchangeable positions (classes), it is only necessary to clear the SROA list for the class that is being recruited for. For example, the AGPA, SSA (General), and Junior Staff Analyst (General) are interchangeable. If the position is to be advertised and filled as an SSA (General), it is only necessary to clear the SSA (General) SROA list and surplus employees who are eligible for the SSA (General) class.

6. Department-Specific Classes (Hiring Department)

If there is no SROA list for a department-specific class in a hiring department and the hiring department wishes to fill a position in the class, it is not necessary for the hiring department to select an appropriate class. The hiring department, however, must advertise the position in accordance with the provisions in this manual at least ten calendar days for department-specific classes prior to the closure of the filing period and consider all surplus employees who apply.

## E. HIRING

1. Hiring departments must widely circulate job opportunity bulletins, focusing on departments that are facing layoffs. Departments are encouraged to utilize the SPB vacancy database system (VPOS).

Departments should advertise at least five working days for servicewide classes and at least ten calendar days for department-specific classes.

2. Contact SROA eligibles for the class or for an appropriate class, if there are no reemployment lists or mandatory reinstatements, for the class in which the position is to be filled.
3. Verify that employees who claim to be surplus are in classes/departments listed as surplus on DPA's Web page. DPA's Web page lists surplus classes, sorted by department and by class.
4. If there is no reemployment list, the SROA list has been cleared, and no surplus employees express interest, the position may be filled by a non-SROA, nonsurplus employee without contacting DPA for approval.
5. "Super SROA"

The contracts for Bargaining Units (BUs) 2 and 9 contain the following clause, which is referred to as "Super SROA":

"Departments filling vacancies shall offer positions to employees facing layoff, demotion in lieu of layoff, or mandatory geographic transfer, who meet the minimum qualifications for the vacancy being filled, provided that the vacancy is equivalent in salary and responsibility and in the same geographic area and bargaining unit."

"... in the same geographic area ..." has been defined as any county that touches the county in which the vacancy exists. Mileage restrictions such as "within a 35 mile radius" may NOT be imposed.

DPA has determined that this contract provision requires hiring restrictions above and beyond those in the SROA Program as follows:

- a. Hiring departments who are filling vacancies in BU 2 and/or 9 classes must contact the SROA or layoff coordinators of departments that are laying off employees in BU 2 and/or 9 classes and advise them of the number of vacancies and class titles, salaries, and geographic locations of classes in which the vacancies exist.
- b. The SROA or layoff coordinator of the layoff department will refer QUALIFIED (i.e., meeting Minimum Qualifications [MQs] and having transfer eligibility) SROA and surplus employees in BU 2 and/or 9 classes to the contact at the hiring department.

- c. The hiring department **MUST HIRE** one of the SROA or surplus BU 2 and/or 9 employees (if any are available).
- d. There is no provision for exemptions.

#### F. APPOINTMENT OF SURPLUS EMPLOYEE NOT ON SROA LIST

1. A hiring department need only interview and hire a surplus employee in the employee's current class or in other classes to which the employee could otherwise transfer (GC Section 18525.3[b] and SPB Rule 431) IF the employee possesses personal skill and experience in the occupational area encompassed by the class. The skill and experience may have been obtained either inside or outside State service.

Example 1: If the Employment Development Department (EDD) wished to fill a Tax Auditor III, EDD, position, EDD would be required to interview a surplus AGPA who applies, IF he/she possesses experience in a different job performing professional tax accounting or auditing work, including complex audits or financial examinations. EDD would be required to hire the AGPA or another surplus or SROA list employee or obtain an exemption.

Example 2: If a second surplus AGPA applied for the Tax Auditor III, EDD, position and did not possess any professional tax accounting or auditing experience, EDD would not have to interview or consider him/her for appointment. Documentation must be maintained by EDD.

2. The skill and experience that are evaluated in determining whether or not an individual must be considered for a position must represent the area(s) of expertise that is/are most important for success in the class. This would normally be the basis for the setting of the salary of the class.

#### G. PROBATIONARY PERIODS

An appointing power may require a surplus/SROA employee to serve a new probationary period, unless the appointment is to a class in which the employee satisfactorily completed the probationary period under the same appointing power. An employee rejected during probation would be returned to his/her former agency and would again be subject to layoff.

#### H. APPOINTMENT AUDIT PROCEDURES

All appointments to layoff classes are subject to audit by DPA.

**VI. SROA POLICY EXEMPTIONS**

The following types of appointments are not subject to the SROA policy and require no prior approval, providing the stated specific criteria (if any) are met (DPA Rule 599.854.4).

- A. APPOINTMENT FROM A REEMPLOYMENT LIST
- B. MANDATORY REINSTATEMENT TO SAME CLASS IN SAME DEPARTMENT
- C. TRANSFER OR TRAINING AND DEVELOPMENT ASSIGNMENT TO SAME CLASS IN SAME DEPARTMENT
- D. TRANSFER OR TRAINING AND DEVELOPMENT ASSIGNMENT TO DIFFERENT CLASS IN SAME DEPARTMENT, OR VOLUNTARY DEMOTION IN SAME DEPARTMENT
- E. PERMANENT APPOINTMENT IN THE SAME POSITION OF AN EMPLOYEE WHO IS ON A TRAINING AND DEVELOPMENT ASSIGNMENT

An employee who is on a training and development (T&D) assignment may be converted to a permanent appointment in the same position if SROA was cleared when the T&D assignment was made or if there was no SROA list for the class or no surplus employees when the T&D assignment was made.

- F. APPOINTMENT OF A RETIRED ANNUITANT
- G. REASONABLE ACCOMMODATION

Maintain requests for accommodation, doctors' statements, and analyses of the requests.

- H. EMERGENCY APPOINTMENTS

Maintain records of the rationales for the emergencies, duty statements, and descriptions of the assignments.

- I. PERMISSIVE REINSTATEMENTS AFTER LAYOFF AND HIRES FROM GENERAL REEMPLOYMENT LISTS

An employee who has been laid off or demoted in lieu of layoff may be permissively reinstated to a class other than the one from which he/she was laid off/demoted.

**J. EMPLOYEE WITH DOCUMENTED PERFORMANCE PROBLEM**

An SROA or surplus employee need not be considered for appointment **IF** the employee's performance was documented as less than "Satisfactory" in his/her current class, which is the class upon which the SROA or surplus eligibility is based. Documentation includes:

1. A performance report during the last 12-month period with an overall rating of "Improvement Needed" or "Unsatisfactory;" or
2. A performance report during the last 12-month period with a rating of "Improvement Needed" or "Unsatisfactory" in a factor that is critical to success in the position to be filled. (For example, an employee on the SROA list for a supervisory class whose supervisory skills were rated "Improvement Needed" or "Unsatisfactory"); or
3. A rejection during probation within the last three-year period in the SROA class; or
4. A formal adverse action during the last three-year period, if the causes of the action are related to performance of the duties of the position.
5. Letters of correction from supervisors.

**K. TO FULL-TIME FROM A REDUCED WORKTIME IN THE SAME CLASS AND DEPARTMENT**

Applies only to permanent full-time employees who voluntarily reduced their time bases under the Reduced Worktime Act and are returning to full-time status in the same classes/agencies.

**L. PROMOTIONS IN PLACE.**

All of the following criteria must be met:

1. There is no true vacancy; and

**NOTE:** In order to determine whether or not a true vacancy exists, it is necessary to look beyond the position in question. For example, presume that an Office Services Supervisor (OSS) I position has gradually increased in numbers of subordinates to the level where it may be more appropriately classified as an OSS II. If this is the only OSS I position in the department in the geographic area, then no true vacancy exists. If, however, there are several other OSS I positions and one is vacant, then the incumbent of the position that has grown could be placed in it and the SROA process must be used to fill the new OSS II position.

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 is to move to the next higher level in a class series. To determine if the promotion is "typical," identify the classes from which the majority of incumbents in the promotional class have historically promoted from.

NOTE: Positions that are established interchangeably, such as SSA and APA, meet the criteria for promotions in place.

- M. TRANSITION OF LIMITED-TERM (LT) EMPLOYEE WHO WAS SURPLUS OR ON SROA LIST AT TIME OF LT APPOINTMENT TO PERMANENT POSITION
- N. LT APPOINTMENT OF LESS THAN THREE MONTHS
- O. PERMANENT APPOINTMENT IN THE SAME POSITION OF AN EMPLOYEE WHO IS ON AN LT APPOINTMENT

An employee on an LT appointment may be converted to a permanent appointment in the same position if SROA was cleared when the LT appointment was made and it was announced at that time that the position would be converted if specific events occurred, such as the retention of Federal or industry funding. An incumbent may also be converted if there was no SROA list for the class or no surplus employees when the LT appointment was made. A layoff department shall not convert an LT appointment to permanent if the class is in the area and class of layoff.

- P. SEASONAL CLERKS, STUDENT ASSISTANTS, GRADUATE STUDENT ASSISTANTS, AND CASUAL TRADES CLASSES
- Q. OUT-OF-CLASS ASSIGNMENTS

## VII. SPECIAL EXEMPTIONS TO SROA

Some types of appointments may be considered for special exemptions due to extraordinary circumstances. Special exemptions must be requested in writing and approved in advance by the SROA Unit at DPA. Blanket special exemptions will not be granted (DPA Rule 599.854.4). Attachment D contains a summary of transactions covered by the SROA Program (and whether determinations are delegated to departments) and those exempted.

**A. LT APPOINTMENTS**

For project jobs of three to nine months where there is no possibility of a permanent appointment. A narrative request must be submitted that fully describes the project and the product to be produced, explains why the SROA process cannot be used, and includes a copy of the duty statement. Extensions will RARELY be granted. Such a request must include an explanation of what caused the need to extend the project; the length of the requested extension and an analysis that shows that this time will be sufficient to complete the project; and a description of the consequences of not extending the appointment.

**B. TRANSFERS, VOLUNTARY DEMOTIONS, OR TRAINING AND DEVELOPMENT ASSIGNMENTS TO DIFFERENT DEPARTMENTS**

A nonsurplus or non-SROA employee may be transferred, voluntarily demoted, or placed in a training and development assignment TO Department A FROM Department B, without clearing SROA and surplus employees, if Department B commits to replacing the employee with an SROA or surplus employee in the same class or in a class with closely-related duties and responsibilities and the same salary.

Department A must submit written documentation to DPA that includes the class title of the position being filled in Department A and a signed statement from Department B that it will fill its resulting vacancy with an SROA or surplus employee and will not request an SROA exemption.

**C. OTHER SPECIAL EXEMPTIONS**

Special exemptions to meet critical hiring needs will be considered only for the most sensitive positions (DPA Rule 599.854.4). Written requests must include:

1. The nature of the critical hiring need and why it cannot be met through the SROA process; and
2. A statement that ALL interested SROA list employees and surplus applicants were interviewed; and
3. Copies of the applications of the SROA/surplus employees; and
4. The application of the proposed appointee; and
5. An analysis of why the need cannot be met with one of the SROA/surplus employees; and
6. An analysis of why the proposed appointee can meet the need; and

7. A copy of the position's duty statement, organization chart, and job opportunity bulletin; and
8. The consequences of not being granted an exemption; and
9. A statement that indicates whether the appointment of the proposed appointee will create a vacancy that can be filled by the SROA process. If a vacancy does result but it cannot be filled by SROA, explain why; and
10. If necessary, DPA may require additional information necessary to substantiate the request, including historical data pertaining to the department's participation in the SROA/surplus program.

### **VIII. MEMORANDUMS OF UNDERSTANDING (MOUs)**

MOUs should be reviewed to ensure that they do not contain negotiated agreements that conflict with and supersede the provisions of this manual. For example, the representative of BUs 2 and 9 negotiated special SROA provisions that apply to their members. Members of these units are entitled to the provisions of these agreements, referred to as "Super SROA" (see Section V.E.5), as well as the provisions contained in this manual.

### **IX. CORRECTION OF SROA VIOLATIONS**

#### **A. CLERICAL OR PROCEDURAL ERROR**

The appointment will be allowed to stand, having been made in good faith.

#### **B. POLICY OR RULE VIOLATIONS**

The violation and corrective action will be identified to the appointing power. Corrective actions include initiating procedures with SPB to rescind the appointment.

### **X. SROA INTERACTION WITH SPECIAL PROGRAMS**

#### **A. CAREER OPPORTUNITIES DEVELOPMENT (COD)**

##### **1. COD Contract Planning**

It is very important for departments to consider the impact of the SROA Program when planning COD contracts. Contracts should not be considered in classes with large numbers of surplus employees. Meaningful contracts can still be developed, because many COD classes are not on SROA and others, such as Office Assistant, that are on SROA, have significant turnover rates. Appointing powers and the COD Unit at SPB should consider these factors before finalizing contracts.

2. Initial Hires Into COD-Funded Positions in Restricted Classes

COD eligibles may be on SROA lists; therefore, 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. If an SROA list contains no COD eligibles, it may be bypassed and other lists used.

3. Transitioning COD Employees Into Permanent Positions in SROA Classes

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

- a. COD employees hired to status classes from eligible lists which were cleared for SROA candidates may transfer to permanent positions in the same class without clearing SROA (Intra-agency transfers in same class are exempt from SROA).
- b. COD employees hired into TAU classes, who must compete in competitive examinations to transition, may be hired into permanent positions only after the SROA lists for the classes of transition have been cleared.

B. LIMITED EXAMINATION APPOINTMENT (LEAP) PROGRAM

Before a LEAP eligible may be initially hired, the SROA list for the class of appointment must be cleared. When a LEAP eligible has successfully completed the training period, he/she may receive a permanent appointment without clearing the SROA list again.

C. STATE EMPLOYEE PLACEMENT PROGRAM (NEXTSTEP)

NextSTEP applies only to employees in Bargaining Units 1, 4, 15, 18, and 20 who have suffered qualifying industrial injuries and illnesses and who are unable to perform the duties of their current classes. The NextSTEP Program is described in Personnel Management Liaison Memorandum 95-054. NextSTEP employees will be placed on up to six SROA lists and may remain on the lists for up to 15 months. They have hiring preference over all appointments except mandatory reinstatements, and they do not have the option of waiving appropriate job offers. Their names will appear at the tops of SROA lists and will be noted as NextSTEP. The NextSTEP Program is managed in DPA's Workers' Compensation and Safety Program, and SROA/NextSTEP application forms should be sent to the NextSTEP Coordinator at DPA. The SROA system is used to assist in the placement of these employees so that it is not necessary to develop a separate parallel system.

**D. INJURED STATE WORKER ASSISTANCE PROGRAM (ISWAP)**

ISWAP is intended to identify employees who are injured and need to be placed in other than their regular jobs.

The SROA process is used as a vehicle to make the names of ISWAP participants known to prospective employers. ISWAP employees receive no preferential hiring rights; that is, their names are published for information only. If, however, an employer wishes to make an appointment of an ISWAP participant, it is not necessary to clear SROA or surplus.

An employee whose medical condition is "permanent and stationary" and is unable to perform his/her normal job may be placed on a maximum of six ISWAP lists and will appear after the names of NextSTEP and SROA employees. ISWAP names may remain on lists for a maximum of one year.

The form included in this manual as Attachment E should be used to place the names of ISWAP employees on SROA lists.

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PART 26. PERSONNEL ADMINISTRATION  
CHAPTER 1. DEPARTMENT OF PERSONNEL ADMINISTRATION

Chapter 7. Separations From Service  
Article 3. Layoff Reemployment

19998.

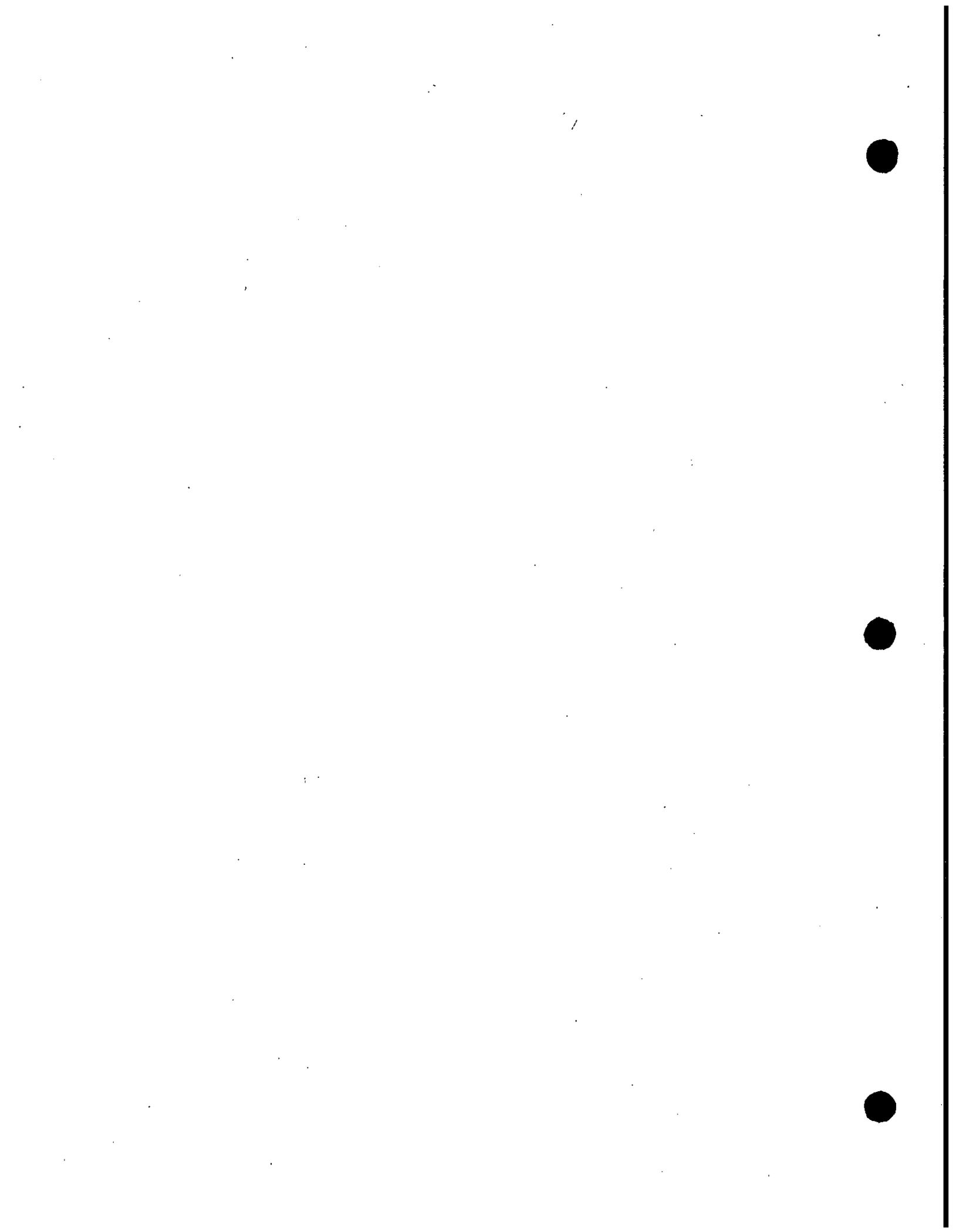
(a) It is the policy of the state that when an employee is to be separated from state service because the tasks he or she was assigned are to be eliminated or substantially changed due to management-initiated changes, including but not limited to automation or other technological changes, steps should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

(b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.  
(Added by Stats. 1981, Ch. 230.)

19998.1.

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

(b) If the provisions of this section are in conflict with the provisions of a memorandum of understanding reached pursuant to Section 3517.5, the memorandum of understanding shall be controlling without further legislative action, except that if such provisions of a memorandum of understanding require the expenditure of funds, the provisions shall not become effective unless approved by the Legislature in the annual Budget Act.  
(Added by Stats. 1981, Ch. 230.)



DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854. Scope Excluded Employees

(a) This article shall govern the Department of Personnel Administration's program under Sections 19998 and 19998.1 of the Government Code to assist in the job placement of excluded 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, an excluded employee is: an employee as defined in Section 3527(b) 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: Sections 3527(b), 19998 and 19998.1, of the Government Code.

HISTORY

1. New section filed 8-28-90; operative 9-27-90 (Register 90, No. 42).
2. Change without regulatory effect amending section heading, subsection (a) and NOTE filed 4-2-92 pursuant to Section 100, Title 1, California Code of Regulations (Register 92, No. 14).

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.1 State Restriction of Appointments Program Eligibility-  
Excluded 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.

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

HISTORY

1. New section filed 8-28-90; operative 9-27-90 (Register 90, No. 42).
2. Change without regulatory effect amending section heading, subsections (c) and (e)(1), filed 4-2-92 pursuant to Section 100, Title 1, California Code of Regulations (Register 92, No. 14).



DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.2 State Restriction of Appointments Program Lists-Excluded 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 a 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.

#### HISTORY

1. New section filed 8-28-90; operative 9-27-90 (Register 90, No. 42).
2. Change without regulatory effect amending section heading and subsection(g) and (h) filed 4-2-92 pursuant to Section 100, Title 1, California Code of Regulations (Register 92, No. 14).

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

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

(a) All job interest inquiries to fill a vacant position from a 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 a 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 a 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: Sections 19998 and 19998.1 of the Government Code.

HISTORY

1. New section filed 8-28-90; operative 9-27-90 (Register 90, No. 42).
2. Change without regulatory effect amending section heading filed 4-2-92 pursuant to Section 100, Title 1, California Code of Regulations (Register 92, No. 14).

DEPARTMENT OF PERSONNEL ADMINISTRATION

Article 20.5 State Restriction of Appointments

599.854.4 State Restriction of Appointments Program Exemptions-  
Excluded 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.

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

#### HISTORY

1. New section filed 8-28-90; operative 9-27-90 (Register 90, No. 42).
2. Change without regulatory effect amending section heading and subsections (a), (c)(1), and (c)(3) filed 4-2-92 pursuant to Section 100, Title 1, California Code of Regulations (Register 92, No. 14).





**PRIVACY STATEMENT**

**AGENCY NAME:** Department of Personnel Administration

**AUTHORITY:** Government Code Section 19999.1 is the authority for the establishment of State Restrictions of Appointments Program.

**PURPOSE:** The information you furnish will be used to add your name to restricted lists.

**PROVIDING INFORMATION:** Participation in the State Restriction of Appointments Program is voluntary. If you choose to participate, it is required that you provide all information requested on both sides of this form.

**ACCESS:** When submitted to the Department of Personnel Administration, your completed State Restrictions Of Appointments Form becomes confidential information and the property of the Department of Personnel Administration. Only authorized personnel directly involved in the selection process will be allowed access.

**LANGUAGE FLUENCY:**

I am fluent in and interested in appointment to a position requiring a second language:

- E1 Chinese-Cantonese dialect
- C1 Tagalog
- B1 Japanese
- A1 Mexican-Spanish
- D1 American Sign
- F1 Portugese
- G1 Braille
- H1 Korean
- J1 Vietnamese

**Mark your choices - Blacken the circle next to the County or Region where you wish to work. You will not be offered a job in locations NOT marked... If more than 16 location choices are selected... You may be considered available for work anywhere in the State.**

5 ANYWHERE IN THE STATE - If marked, no further selection is necessary.

8004 ANYWHERE IN THE NORTHERN REGION OR make Northern Region county choices

- 0400 Butte
- 0600 Colusa
- 0800 Del Norte
- 1100 Glenn
- 1200 Humboldt
- 1700 Lake
- 1800 Lassen
- 2300 Mendocino
- 2500 Modoc
- 2900 Nevada
- 3100 Placer
- 3200 Plumas
- 4500 Shasta
- 4600 Sierra
- 4700 Siskiyou
- 5100 Sutter
- 5200 Tehama
- 5300 Trinity
- 5800 Yuba

8001 ANYWHERE IN THE CENTRAL REGION OR make Central Region county choices

- 0100 Alameda
- 0200 Alpine
- 0300 Amador
- 0500 Calaveras
- 0700 Contra Costa
- 0900 El Dorado
- 1000 Fresno
- 2000 Madera
- 2100 Marin
- 2200 Mariposa
- 2400 Merced
- 2700 Monterey
- 2800 Napa
- 3400 Sacramento
- 3500 San Benito
- 3800 San Francisco
- 3900 San Joaquin
- 4100 San Mateo
- 4300 Santa Clara
- 4400 Santa Cruz
- 4800 Solano
- 4900 Sonoma
- 5000 Stanislaus
- 5500 Tuolumne
- 5700 Yolo

8011 ANYWHERE IN THE SOUTHERN REGION OR make Southern Region county choices

- 1300 Imperial
- 1400 Inyo
- 1500 Kern
- 1600 Kings
- 1900 Los Angeles
- 2600 Mono
- 3000 Orange
- 3300 Riverside
- 3600 San Bernardino
- 3700 San Diego
- 4000 San Luis Obispo
- 4200 Santa Barbara
- 5400 Tulare
- 5600 Ventura

**PLEASE NOTIFY THE PERSONNEL BOARD PROMPTLY...OF ADDRESS CHANGES...OR AVAILABILITY FOR EMPLOYMENT**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

SUMMARY OF TRANSACTIONS  
COVERED AND NOT COVERED BY SROA AND THOSE DELEGATED TO  
DEPARTMENTS

<u>TYPE OF TRANSACTION</u>	<u>SROA CLEARANCE REQUIRED</u>	<u>DELEGATED</u>
Appointment of employee in Injured State Worker Placement Program	No	N/A
Appointment of employee in State Employee Placement Program (NextSTEP)	No	N/A
Appointment from reemployment list	No	N/A
Appointment of retired annuitant	No	N/A
Appointment of Seasonal Clerk, Student Assistant, Graduate Student Assistant, or Casual Trades employee	No	N/A
Appointment of SROA eligible	No	N/A
Appointment of surplus employee	No	N/A
Appointment to LT position for project of three to nine months	Yes	Yes
Clearance of SROA or surplus employee with documented performance problem	Yes*	Yes*
Critical hiring need	Yes	No
Demotions in lieu of layoff	No	N/A
Emergency appointments	No	N/A
Hire of COD and LEAP employees	Yes	Yes
Increase in time base in same class and agency	Yes*	Yes*
Limited-term appointments of less than three months	No	N/A

\* = SROA clearance required unless special criteria in SROA Manual are met.

<u>TYPE OF TRANSACTION</u>	<u>SROA CLEARANCE REQUIRED</u>	<u>DELEGATED</u>
Mandatory reinstatement to same class in same department	No	N/A
Permissive reinstatements after layoff	No	N/A
Promotions in place	Yes*	Yes*
Promotions not in place	Yes	No
Reasonable accommodation of disabled employee	No	N/A
Transfer or T&D assignment to same class in same department	No	N/A
Transfer or T&D assignment to different class in same department	No	N/A
Transfer, Voluntary Demotion, or T&D assignment to different department	Yes*	Yes*
Transition of LT employee, who was surplus or on SROA list at time of LT appointment, to permanent position	No	N/A
Transition of LT employee in same position to permanent appointment	Yes*	Yes*
Transition of COD and LEAP employees to permanent appointments	Yes*	Yes
Transition from reduced worktime to full-time in same class and same department	Yes*	Yes*
Transition of T&D employee in same position to permanent appointment	Yes*	Yes*
Voluntary demotion in same department	No	N/A

\* = SROA clearance required unless special criteria in SROA Manual are met.

**SROA/ISWAP**

**SROA/ISWAP Coordinator: Barbara Birt**

Classification and Compensation Division  
 Department of Personnel Administration  
 1515 "S" Street, North Building, Suite 400  
 Sacramento, CA 95814

**Regarding**

Name: \_\_\_\_\_  
 SSA#: \_\_\_\_\_  
 Home Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Primary Class: \_\_\_\_\_ Current Salary: \_\_\_\_\_  
 Location Designation: \_\_\_\_\_

In accordance with PML 95-41, please place the above named State worker on the SROA/ISWAP lists indicated below:

	County	Job Class	Class Code	Meets Legal & Educational Requirements	Within Salary Range	Minimum Salary	Maximum Salary
1							
2							
3							
4							
5							
6							

I have verified that the above named individual meets the legal and educational requirements and the salary range restrictions of each of the classifications listed. Additionally, I have advised this employee that participants' names are included on SROA certs for informational purposes only, no preferential hiring status is gained. Their applications should be coded in the upper right corner, "ISWAP Participant."

Thank you for your assistance in this matter. If you have any questions, I can be reached at ( ) \_\_\_\_\_.

Sincerely,

\_\_\_\_\_  
 Return-to-Work Coordinator

\_\_\_\_\_  
 Department/Work Site

