

Department of Personnel Administration
Memorandum
TO: Personnel Management Liaisons (PML)

| | |
|---|--------------------------------------|
| SUBJECT: State Restriction of Appointments (SROA/Surplus) Updates | REFERENCE NUMBER: 2011-051 |
| DATE ISSUED: 12/20/11 | SUPERSEDES: |

This memorandum should be forwarded to:

Personnel Officers
Labor Relations Officers
Personnel Transactions Supervisors

FROM: Department of Personnel Administration
Labor Relations Division

CONTACT: Personnel Services Branch
(916) 323-3343
Fax: (916) 324-2914
Email: psb@dpa.ca.gov

This Personnel Management Liaison Memorandum (PML) is to stress the importance that departments adhere to the processes outlined in the State Restrictions of Appointment (SROA) Program. The Department of Personnel Administration's (DPA) website ([SROA webpage](#)) has been updated to include the following statement: Personnel Office staff should refer to the [SROA Manual \(DPA 2004\)](#) and recent PMLs ([2009-026](#); [2010-001](#)) for detailed guidance. Also, in order to assist Super SROA employees with every opportunity for a job placement, this PML outlines additional requirements for Layoff and Hiring departments for Super SROA processes.

General Information

- Clarification to Section V.E.2 of the SROA Manual: Hiring departments must contact SROA eligible employees (by requesting a certification list for the vacant position and following SPB Rule 258 for contact requirements), unless the appointment is a mandatory reinstatement or is specifically excluded per Section VI of the SROA Manual.
- Any SROA/Surplus employee that applies for a job vacancy in a class other than the class they are currently in (including any department-specific class) must be considered for the vacant position. The SROA/Surplus candidates must indicate on their application (or attach a copy of their surplus letter) that they have been designated surplus and must meet transfer eligibility like any other applicant.
- SROA/Surplus employees are required to comply with the filing instructions outlined in job vacancy bulletins and inquiry/contact letters just like any other candidate. Example: If the job vacancy bulletin and inquiry/contact letter indicate that the applicant must return a completed Standard State Application form and a completed Supplemental Questionnaire to be considered for the position, all applicants (including SROA and Surplus employees) must comply with the instructions to be considered for the position. Departments are to ensure that the filing instructions are clear and concise.

- All exemptions from SROA/Surplus must be approved by DPA's Personnel Services Branch (PSB) (unless the exemption is specifically excluded per Section VI of the SROA Manual). Special exemption requests are to be submitted in writing to DPA's PSB. Note: In May 2003, DPA rescinded delegation to departments to determine whether or not employees possess the requisite knowledge, skills, and abilities for appointment to any class. The 2004 SROA Manual, Section V, page 16, the first "F" on the page was printed in the 2004 SROA Manual in error. Delegation to departments was rescinded on May 19, 2003, therefore, this paragraph F should have been deleted in the 2004 SROA Manual. If a department feels an SROA or Surplus employee does not possess the requisite knowledge, skills, and abilities the department must submit an exemption request in writing to DPA's PSB.
- Hiring departments that have determined a Super SROA employee does not have the required professional license and/or credentials for the job vacancy is to contact DPA's PSB for review before proceeding with the recruitment.
- SROA candidates are required to accept a valid job offer for a vacant position. Please notify DPA's PSB if a SROA candidate declines a valid job offer.

Super SROA

Effective immediately, the SROA Program, Super SROA process is amended adding additional requirements as follows:

Background

The Memoranda of Understanding between the State and Bargaining units (BU) 2, 9, and 10 (California Department of Corrections and Rehabilitation AB 109 Realignment Side Letter Agreement) contain a clause, which is referred to as "Super SROA" and 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 (MQs) for the vacancy being filled, provided the vacancy is equivalent in salary and responsibility and in the same geographic area and bargaining unit.

Who Qualifies for Super SROA?

An employee in BU 2, 9, or who has been designated as having Super SROA status for purposes of a particular layoff (currently this applies to BU 10 CDCR employees affected by the AB 109 realignment).

Super SROA employees must also meet the following three criteria:

1. Work in a county touching the county in which the job vacancy exists.
2. Currently serve in a class eligible to transfer to the position being filled (meet transfer eligibility requirements).
3. Meet the minimum qualifications (MQs) of the position being filled. Only those requirements specifically included in the MQs on the class specification, such as particular types of professional licenses or credentials, may be relied upon to request exclusion of an applicant from consideration.

Role of the Departments Laying Off Super SROA Employees

In addition to completing and updating the Scantron form as you do with all SROA employees, departments have unique obligations for Super SROA employees to help them locate jobs:

1. Issue Surplus/Super SROA Certification letter (sample attached) to the affected employee(s).
2. Super SROA Worksheet form:
 - a. Send the Super SROA employee a Super SROA Worksheet form (sample attached) to complete and return to the department's human resource contact.
 - b. Review the returned form and contact the employee to discuss their eligibility for the classes listed. If changes to the form are made, send a copy back to the employee for their records.
 - c. Educate the employee on how to identify employment opportunities utilizing the State Personnel Board's Vacancy Data Base System (VPOS).
3. Search for employment opportunities on the VPOS website.
4. Verify receipt of job vacancy bulletins from the hiring departments. Notify DPA's PSB of any job vacancies bulletins that you did not receive a notification from the hiring department.
5. Upon receipt of job vacancy bulletins personally and expeditiously contact each Super SROA employee by email, telephone, or via their supervisors or managers to notify them of the job vacancies.
6. Immediately follow this initial contact by providing copies of the job vacancy bulletins to each Super SROA employee.
7. Instruct each Super SROA employee that meets the MQs for the class of the position to apply for the jobs he/she is interested in within five calendar days of receipt of the job vacancy bulletin. In addition, remind the Super SROA employee to follow the filing instructions on the job vacancy bulletin when applying for the job and to indicate that they are Super SROA on their application.
8. Super SROA status ends in the same way SROA status ends for all designated employees.

Role of the Departments Hiring Employees in BU 2, 9, and 10

In addition to following the SROA procedures when filling a job vacancy, departments also have unique obligations to help Super SROA employees locate jobs:

1. Order a certification list for the job vacancy and contact (such as sending Inquiry/Contact letters) each Super SROA employee listed.
2. Widely advertise employment opportunities including posting them on the VPOS and posting them in their own department.
3. Contact the SROA Coordinator in each of the departments listed on DPA's SROA website for having Super SROA employees in the Super SROA BU of the position vacancy being advertised. Notify the layoff department of the classification and duties

of the job vacancy, number of vacancies, geographic location, and salary of the position(s) to be filled.

4. Follow up the contact by sending each SROA Coordinator and DPA's PSB a job vacancy bulletin for each position to be filled.
5. Departments MUST fill each vacant position with an employee who meets the Super SROA criteria, if one applies. There are NO EXEMPTIONS to Super SROA requirements.

Note: Hiring departments that have determined a Super SROA employee does not have the required professional license and/or credentials for the job vacancy is to contact DPA's PSB for review of the determination before proceeding with the recruitment.

6. If no Super SROA employee, who is qualified for the job vacancy, applies for the job follow the provisions of the regular SROA Program.
7. Complete a Super SROA Compliance Audit form (sample attached) for each Super SROA job vacancy filled and send it and the required document to DPA's PSB.
8. Keep recruitment and hiring process documentation on file for audit purposes.

Departments can locate the attachments indicated in this PML on DPA's SROA website under the Forms section. For questions related to this PML, state department personnel office designated liaisons should contact DPA's Personnel Services Branch by emailing questions to PSB@dpa.ca.gov or calling (916) 323-3343. Departments may also mail questions to:

Department of Personnel Administration
Personnel Services Branch
1515 S Street, North Building, Suite 400
Sacramento, CA 95811-7258

/s/Julie Chapman

Julie Chapman
Deputy Director of Labor Relations

Attachments

1. Sample Surplus/SROA Status Certification Letters for BU 2, 9, and 10
2. Sample Super SROA Worksheets for BU 2, 9, and 10
3. Sample Super SROA Compliance Audit Form

Super SROA Compliance Audit Form

DPA must ensure that departments are in compliance with the Super SROA process. Departments are required to complete the form and provide the required documentation for each job vacancy filled in Bargaining Unit (BU) 2, 9 and 10. Immediately upon filling the job vacancy, this form must be returned to DPA's Personnel Services Branch (PSB) either by mail or email at:

Department of Personnel Administration
 Personnel Services Branch
 1515 S Street, North Building, Suite 400
 Sacramento, CA 95811-7258
psb@dpa.ca.gov

Employee Hired: _____

Position Number: _____ **Appointment Date:** _____

| Job Vacancy Bulletin | |
|---|--|
| 1. Was a job vacancy bulletin posted for this vacancy? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| If yes, provide a copy of the job vacancy bulletin. | |
| If no, please specify the reason below. | |
| Applications Received | |
| 2. How many applications were received for this vacancy? | # of Super SROA _____ # Other _____ |
| Applicants Interviewed | |
| 3. How many applicants were interviewed for this vacancy? | # of Super SROA _____ # Other _____ |
| Appointment Selection | |
| 4. Was a Super SROA candidate selected? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| If no, please specify the reason below. | |
| Department Certification | |
| Department: _____ | |
| As a designee for the Director's Office, I certify by submission of this Super SROA Compliance Audit Form that the above information is true and accurate and that original documentation to verify this information is maintained at the Department/Board. | |
| Name: _____ | Date: _____ |
| Title: _____ | |
| Phone: _____ | Email: _____ |

SUPER SROA WORKSHEET - Bargaining Unit 2

TO: SUPER SROA EMPLOYEE

It is the Department of Personnel Administration's (DPA) policy to do everything possible to assist you in finding employment within your bargaining unit (BU) and your geographic/work location (county) as well as any county that touches your geographic/work location (county). You have been placed in the State Restriction of Appointments (SROA) program for your current class. However, there may be other classes within your BU that you may be interested in and meet the required licenses or credentials and are eligible to transfer. Following are two links that will assist you to identify those classes. The 1st link is a listing of classes in your BU. The 2nd link can be used to search and review the class specifications minimum qualifications for the classes you may be interested in.

[BU 2 Classes](#)

[Class Specifications](#)

Once you have identified the classes you are interested in, list the classes in the space provided below. Send a copy of this worksheet to your department Human Resources (HR) contact. The department HR contact will review this form and contact you to discuss your eligibility for the classes listed.

NOTE: The department filling the job vacancy will have final verification of your eligibility to transfer to the vacant position. Please keep a copy of this form to assist you in applying for future job vacancies.

| EMPLOYEE INFORMATION | | | | | |
|-------------------------|-------------|------------|--|---|------------------|
| Name: | | | | | |
| Department Name: | | | | | |
| Work Phone: | | | Email Address: | | |
| Current Class: | | | | Salary (min/max): | |
| Work Location (County): | | | | | |
| ELIGIBLE CLASSES | | | | | |
| # | Class Title | Class Code | Are There Required Licenses/Credentials for the Class? (Yes or No) | Do You Possess the Required Licenses/Credentials for the Class? (Yes or No) | Salary (min/max) |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |

Following is the Vacancy Search (VPOS) link which you may use to locate job vacancies.

<http://www.spb.ca.gov/jobs/vpos/index.htm>

You must follow the directions in the job vacancy bulletin for applying for the position and submit all required documents.

| EMPLOYEE SIGNATURE | |
|-----------------------------------|----------------|
| Employee Name: | Date: |
| DEPARTMENT CONTACT INFORMATION | |
| Department Contact Reviewer Name: | Review Date: |
| Work Phone: | Email Address: |

SUPER SROA WORKSHEET - Bargaining Unit 9

TO: SUPER SROA EMPLOYEE

It is the Department of Personnel Administration's (DPA) policy to do everything possible to assist you in finding employment within your bargaining unit (BU) and your geographic/work location (county) as well as any county that touches your geographic/work location (county). You have been placed in the State Restriction of Appointments (SROA) program for your current class. However, there may be other classes within your BU that you may be interested in and meet the required licenses or credentials and are eligible to transfer. Following are two links that will assist you to identify those classes. The 1st link is a listing of classes in your BU. The 2nd link can be used to search and review the class specifications minimum qualifications for the classes you may be interested in.

[BU 9 Classes](#)

[Class Specifications](#)

Once you have identified the classes you are interested in, list the classes in the space provided below. Send a copy of this worksheet to your department Human Resources (HR) contact. The department HR contact will review this form and contact you to discuss your eligibility for the classes listed.

NOTE: The department filling the job vacancy will have final verification of your eligibility to transfer to the vacant position. Please keep a copy of this form to assist you in applying for future job vacancies.

| EMPLOYEE INFORMATION | | | | | |
|-------------------------|-------------|------------|--|---|------------------|
| Name: | | | | | |
| Department Name: | | | | | |
| Work Phone: | | | Email Address: | | |
| Current Class: | | | | Salary (min/max): | |
| Work Location (County): | | | | | |
| ELIGIBLE CLASSES | | | | | |
| | Class Title | Class Code | Are There Required Licenses/Credentials for the Class? (Yes or No) | Do You Possess the Required Licenses/Credentials for the Class? (Yes or No) | Salary (min/max) |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |

Following is the Vacancy Search (VPOS) link which you may use to locate job vacancies.

<http://www.spb.ca.gov/jobs/vpos/index.htm>

You must follow the directions in the job bulletin for applying for the position and submit all required documents.

| EMPLOYEE SIGNATURE | |
|-----------------------------------|----------------|
| Employee Name: | Date: |
| DEPARTMENT CONTACT INFORMATION | |
| Department Contact Reviewer Name: | Review Date: |
| Work Phone: | Email Address: |

SUPER SROA WORKSHEET - Bargaining Unit 10 (CDCR AB 109 Realignment)

TO: SUPER SROA EMPLOYEE

It is the Department of Personnel Administration's (DPA) policy to do everything possible to assist you in finding employment within your bargaining unit (BU) and your geographic/work location (county) as well as any county that touches your geographic/work location (county). You have been placed in the State Restriction of Appointments (SROA) program for your current class. However, there may be other classes within your BU that you may be interested in and meet the required licenses or credentials and are eligible to transfer. Following are two links that will assist you to identify those classes. The 1st link is a listing of classes in your BU. The 2nd link can be used to search and review the class specifications minimum qualifications for the classes you may be interested in.

[BU 10 Classes](#)

[Class Specifications](#)

Once you have identified the classes you are interested in, list the classes in the space provided below. Send a copy of this worksheet to CDCR Headquarters Human Resources (HR) contact. The HR contact will review this form and contact you to discuss your eligibility for the classes listed.

NOTE: The department filling the job vacancy will have final verification of your eligibility to transfer to the vacant position. Please keep a copy of this form to assist you in applying for future job vacancies.

| EMPLOYEE INFORMATION | | | | | |
|-------------------------|-------------|------------|--|---|------------------|
| Name: | | | | | |
| Department Name: | | | | | |
| Work Phone: | | | Email Address: | | |
| Current Class: | | | | Salary (min/max): | |
| Work Location (County): | | | | | |
| ELIGIBLE CLASSES | | | | | |
| # | Class Title | Class Code | Are There Required Licenses/Credentials for the Class? (Yes or No) | Do You Possess the Required Licenses/Credentials for the Class? (Yes or No) | Salary (min/max) |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |

Following is the Vacancy Search (VPOS) link which you may use to locate job vacancies.

<http://www.spb.ca.gov/jobs/vpos/index.htm>

You must follow the directions in the job bulletin for applying for the position and submit all required documents.

| EMPLOYEE SIGNATURE | |
|-----------------------------------|----------------|
| Employee Name: | Date: |
| DEPARTMENT CONTACT INFORMATION | |
| Department Contact Reviewer Name: | Review Date: |
| Work Phone: | Email Address: |

Surplus/Super State Restriction of Appointments (SROA) Status Certification Letter for Bargaining Unit (BU) 2

Date: [Enter Date]

To: [Enter Employee's Name]

This letter confirms that effective the date of this letter you are designated surplus and have Super SROA status in your class of [Enter Class Title] in the geographic/work location (county) of [Enter Location].

Super SROA Status: Applies to you when submitting applications for job vacancies where you meet the following criteria:

- Work in any county touching the county in which the BU 2 job vacancy exists.
- In a BU 2 class whose salary and responsibility levels are within transfer range of the job vacancy and is eligible to transfer to the position being filled.
- Meet the minimum qualifications (MQs) of the position being filled. Only those requirements specifically included in the MQs on the class specification may be considered to exclude you from consideration.

To assist hiring departments in identifying you as a Super SROA employee, the Department of Personnel Administration (DPA) has posted your class title on DPA's internet listing of Super SROA classes.

Surplus Status: As a surplus employee you should seek out job vacancies in classes you feel qualified for and to which you are eligible to transfer.

SROA Status: A SROA Scantron form has already been processed, on your behalf, for placement on hiring certification lists for the class and location listed above. Hiring departments use SROA certification lists to contact eligible employees for interviews when filling vacant positions.

You must sign and date the attached photocopy of your Scantron form (beneath the personnel office signature and date) and return the form to your department contact person listed below. If you choose to be removed from the SROA Program, wish appointment to a position requiring a second language, or elect SROA status in additional geographic locations, please mark the attached photocopy Scantron form indicating the change. After indicating the change, sign and date the form and return the form to your department contact person.

The following are additional rights and responsibilities for your reference:

You will be notified by your Human Resources contact of all job vacancy bulletins in your BU. You must follow the directions in the job bulletin for applying for the position and submit all required documents.

- You must respond to BU 2 job bulletins forwarded to you from your department's Human Resources contact within five calendar days of their receipt.
- You must seek and apply for BU 2 job vacancies under the provisions of the regular SROA program if you do not meet the Super SROA criteria for the particular job vacancy.

- Whether you are surplus or on a SROA certification list, you have the same rights for being hired.
- You must attach a copy of this letter to your job application forms and take a copy to your interviews.
- You must respond promptly to all written or telephone contacts from a potential hiring department.
- You must appear for all interviews that you have scheduled.
- You must accept a valid job offer. You may turn down an opportunity to interview with a department as long as you notify the department of your intent. However, if you attend an interview and are offered a position, you must accept the offer or your eligibility for surplus and SROA status may be removed.

Your Human Resources contact is [Enter Name with Title, Phone Number, and Email Address] is available to assist you with any questions you may have.

Attachment
Scantron Form

Surplus/Super State Restriction of Appointments (SROA) Status Certification Letter for Bargaining Unit (BU) 9

Date: [Enter Date]

To: [Enter Employee's Name]

This letter confirms that effective the date of this letter you are designated surplus and have Super SROA status in your class of [Enter Class Title] in the geographic/work location (county) of [Enter Location].

Super SROA Status: Applies to you when submitting applications for job vacancies where you meet the following criteria:

- Work in any county touching the county in which the BU 9 job vacancy exists.
- In a BU 9 class whose salary and responsibility levels are within transfer range of the job vacancy and is eligible to transfer to the position being filled.
- Meet the minimum qualifications (MQs) of the position being filled. Only those requirements specifically included in the MQs on the class specification may be considered to exclude you from consideration.

To assist hiring departments in identifying you as a Super SROA employee, the Department of Personnel Administration (DPA) has posted your class title on DPA's internet listing of Super SROA classes.

Surplus Status: As a surplus employee you should seek out job vacancies in classes you feel qualified for and to which you are eligible to transfer.

SROA Status: A SROA Scantron form has already been processed, on your behalf, for placement on hiring certification lists for the class and location listed above. Hiring departments use SROA certification lists to contact eligible employees for interviews when filling vacant positions.

You must sign and date the attached photocopy of your Scantron form (beneath the personnel office signature and date) and return the form to your department contact person listed below. If you choose to be removed from the SROA Program, wish appointment to a position requiring a second language, or elect SROA status in additional geographic locations, please mark the attached photocopy Scantron form indicating the change. After indicating the change, sign and date the form and return the form to your department contact person.

The following are additional rights and responsibilities for your reference:

You will be notified by your Human Resources contact of all job vacancy bulletins in your BU. You must follow the directions in the job bulletin for applying for the position and submit all required documents.

- You must respond to BU 9 job bulletins forwarded to you from your department's Human Resources contact within five calendar days of their receipt.
- You must seek and apply for BU 9 job vacancies under the provisions of the regular SROA program if you do not meet the Super SROA criteria for the particular job vacancy.

- Whether you are surplus or on a SROA certification list, you have the same rights for being hired.
- You must attach a copy of this letter to your job application forms and take a copy to your interviews.
- You must respond promptly to all written or telephone contacts from a potential hiring department.
- You must appear for all interviews that you have scheduled.
- You must accept a valid job offer. You may turn down an opportunity to interview with a department as long as you notify the department of your intent. However, if you attend an interview and are offered a position, you must accept the offer or your eligibility for surplus and SROA status may be removed.

Your Human Resources contact is [Enter Name with Title, Phone Number, and Email Address] is available to assist you with any questions you may have.

Attachment
Scantron Form

**Surplus/Super State Restriction of Appointments (SROA) Status
Certification Letter for Bargaining Unit (BU) 10
CDCR AB 109 Realignment**

Date: [Enter Date]

To: [Enter Employee's Name]

This letter confirms that effective the date of this letter you are designated surplus and have Super SROA status in your class of [Enter Class Title] in the geographic/work location (county) of [Enter Location].

Super SROA Status: Applies to you when submitting applications for job vacancies where you meet the following criteria:

- Work in any county touching the county in which the BU 10 job vacancy exists.
- In a BU 10 class whose salary and responsibility levels are within transfer range of the job vacancy and is eligible to transfer to the position being filled.
- Meet the minimum qualifications (MQs) of the position being filled. Only those requirements specifically included in the MQs on the class specification may be considered to exclude you from consideration.

To assist hiring departments in identifying you as a Super SROA employee, the Department of Personnel Administration (DPA) has posted your class title on DPA's internet listing of Super SROA classes.

Surplus Status: As a surplus employee you should seek out job vacancies in classes you feel qualified for and to which you are eligible to transfer.

SROA Status: A SROA Scantron form has already been processed, on your behalf, for placement on hiring certification lists for the class and location listed above. Hiring departments use SROA certification lists to contact eligible employees for interviews when filling vacant positions.

You must sign and date the attached photocopy of your Scantron form (beneath the personnel office signature and date) and return the form to your CDCR Headquarters Human Resources contact person listed below. If you choose to be removed from the SROA Program, wish appointment to a position requiring a second language, or elect SROA status in additional geographic locations, please mark the attached photocopy Scantron form indicating the change. After indicating the change, sign and date the form and return the form to your CDCR Headquarters Human Resources contact person.

The following are additional rights and responsibilities for your reference:

You will be notified by your CDCR Headquarters Human Resources contact of all job vacancy bulletins in your BU. You must follow the directions in the job bulletin for applying for the position and submit all required documents.

- You must respond to BU 10 job bulletins forwarded to you from your CDCR Headquarters Human Resources contact within five calendar days of their receipt.

- You must seek and apply for BU 10 job vacancies under the provisions of the regular SROA program if you do not meet the Super SROA criteria for the particular job vacancy.
- Whether you are surplus or on a SROA certification list, you have the same rights for being hired.
- You must attach a copy of this letter to your job application forms and take a copy to your interviews.
- You must respond promptly to all written or telephone contacts from a potential hiring department.
- You must appear for all interviews that you have scheduled.
- You must accept a valid job offer. You may turn down an opportunity to interview with a department as long as you notify the department of your intent. However, if you attend an interview and are offered a position, you must accept the offer or your eligibility for surplus and SROA status may be removed.

Your CDCR Headquarters Human Resources contact is [Enter Name with Title, Phone Number, and Email Address] is available to assist you with any questions you may have.

Attachment
Scantron Form