



Pete Wilson, Governor

To: PERSONNEL MANAGEMENT LIAISONS

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THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Personnel Officers
Labor Relations Officers

Subject: SROA Update #1

The purpose of this memorandum is to clarify questions and issues that have arisen regarding the SROA process. As you know, an SROA Unit was recently established within the Department of Personnel Administration (DPA) to provide policy guidance and interpret SROA issues, process all SROA requests, and review all exemption requests. As layoffs and SROA issues develop, we will keep all departments informed of unusual or unique situations as well as any changes we make to the process.

Identifying SROA Lists

This issue deals with identifying an SROA list for a class of layoff that is department-specific, that is, is not used servicewide. In these instances, departments should identify a class that (a) has a salary range the same as or lower than the class of layoff, (b) has essentially the same class concept, and (c) is used on a servicewide basis. For example, for a departmental-specific attorney class, the servicewide Staff Counsel class is an appropriate SROA list class. The SROA Unit is available to assist departments in determining SROA class matches.

Surplus Employee

Once a department, with the concurrence of the department's DPA Classification and Compensation (CCD) operations analyst, has determined that staff reductions are necessary, all of the department's employees are considered surplus. The reason that all departmental employees are considered surplus, even though they may not be in the classes identified for reduction, is based on the assumption that the placement of an employee outside the department will reduce the department's overall surplus. Should the area of layoff be so narrowly defined that the placement of an employee outside the area of layoff will have no impact on the department's staff surplus, then, with the concurrence of the department's DPA CCD operations analyst, the definition of surplus employee may be modified.

To facilitate the placement of surplus employees, departments should encourage their employees to use the SROA process. However, whether on a SROA list or not, surplus employees have the same rights and privileges as those participating in the SROA process. For example, should a surplus employee apply for a vacant position, they are to be treated as though they are on a SROA list.

Employees may actively seek out vacancies in classes other than their SROA list class in which they could otherwise transfer (DPA Rule 599.674). They are eligible to do so based on their surplus status. Departments are reminded that a probationary period will allow time for the employee to train and adjust to their new job. Therefore, your cooperation in attempting to fill department-specific class vacancies is essential.

Filling Vacancies

Departments are required to make a good-faith effort to fill vacancies with surplus employees. In those instances where a department is unsure of how to proceed in identifying surplus employees, or which SROA lists they should be using for a department-specific class, they should contact the SROA Unit for assistance. Further, departments should be familiar with those types of appointments not subject to SROA as well as the exemption process to hiring nonsurplus employees (Management Memo 90-05). All exemption requests are to be submitted to DPA's SROA Unit.

The general process for departments to follow in filling vacancies includes:

- (a) Widely circulate job opportunity bulletins, focusing toward those departments anticipating layoff.
- (b) Contact eligibles on the SROA for the vacant class.
- (c) If contacted by an employee for the vacancy, the department should verify with the "from" department that their department is subject to a layoff, and that the employee is therefore considered surplus.
- (d) Check flags on cert for tenure, time base status. (No flag designates permanent, full time; PP designates permanent, part time; PI designates permanent intermittent.)
- (e) If there are no surplus candidates who are interested in the vacancy, clearance from DPA's SROA Unit must be received prior to making a hiring commitment to a nonsurplus individual. A copy of a new clearance checklist is attached for immediate use.

Clearance Form

Attached is the new Clearance form to be used by departments when hiring other than a surplus employee. The department must verify, by use of this form, of their efforts in announcing their vacancy, their attempts in clearing SROA,

the identification of appropriate SROA lists for department-specific classes and clearance of any surplus employees not on SROA that may have responded, interested to the vacancy. The Clearance form is to be submitted to DPA's SROA Unit for approval prior to filling a vacancy with other than a surplus employee.

New SROA Form

On July 11, 1991, a new SROA form was distributed to all departments. The new scannable form streamlines and quickens the processing of SROA requests.

The forms cannot be stapled, folded, or otherwise mutilated. A #2 pencil must be used in completing the form.

Departments should review each form for completeness prior to sending to the SROA Unit at DPA. The bottom portion (pink shaded) of the first page should be completed by the department personnel office. The employees present class should be entered under the "List I Class Title" and class code under "List I Class Code". Under the List II class title and class code areas, enter the servicewide class which most closely matches the List I class if the List I class is department-specific. The List II designation is for SPB identification purposes only as the List II represents a List I servicewide class for department-specific classes.

Departments must be certain that instructions and procedures for completing the SROA form are followed closely since forms will be returned to a department for correction.

Completed SROA forms should be placed in a sealed envelope clearly marked SROA FORMS, and forwarded to the SROA Unit at DPA. Please make sure your department's name is on the envelope. Upon receipt of the forms, the SROA Unit's staff will review for completeness and any List II class identified, then will forward to SPB for processing.

Legislative Employees

Many departments have inquired about the impact that the SROA process may have on the hiring of legislative employees who were subject to the provisions of SB 190.

While legislative employees are exempt from the Governor's hiring freeze, departments must first clear SROA prior to hiring a legislative employee. Exemption requests to SROA in order to hire a legislative employee are processed in the same manner as for civil service or open list eligibles. All exemption requests from SROA must be sent to the SROA Unit for review.

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Should you have any questions regarding this memorandum, please direct all your questions to your personnel office staff. Many employees have been contacting the DPA SROA Unit and those calls are not being accepted. We appreciate all efforts by departments to ensure that only appropriate personnel staff contact the DPA SROA Unit. The SROA Unit contacts for personnel office staff are Gabriella Green or Rose Bocanegra at 324-0419.

Jerri Martin

Jerri Martin, Manager
SROA Unit

Attachments

PSB/C05898

CLEARANCE CHECKLIST
for other than SROA/Surplus Hires

Date: _____

Department: _____

Agency: _____

Class Title: _____ Class Code: _____

Please check one or more of the following, if applicable. If not applicable, explain why under "comments" section below.

1. Job Announcement

a. Distributed to: _____

b. Date distributed: _____

c. Final File Date: _____

2. SROA/Surplus Clearance

a. Date cleared SROA list for class of vacancy: _____

b. Appropriate SROA lists used for department specific class vacancy:

c. Cleared surplus employees not on SROA but who applied for position:

Yes _____

Comments:

Contact Person: _____ Phone: _____

Return completed form to DPA/SROA Unit for processing/approval. Do not commit to hire until clearance approval is granted by DPA.

* Ref: "IV. SROA Lists - General Information", SROA Program Policies and Procedures, MM 90-05.