

State of California

M E M O R A N D U M

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To: PERSONNEL MANAGEMENT LIAISONS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

PERSONNEL OFFICERS
EMPLOYEE RELATIONS OFFICERS

From: Department of Personnel Administration
Policy Development Office

Subject: State Restriction of Appointments Program (SROA)

The Department of Personnel Administration (DPA) and the State Personnel Board staff have updated the question and response handout designed to inform State managers and supervisors about the SROA Program. You may use/distribute this material in any manner which is appropriate for your agency's needs.

Agency representatives who may require greater knowledge about the SROA Program should refer to DPA Management Memo 90-05 (September 27, 1990) which contains more detailed information about it.

If you have any questions regarding this subject, please call the appropriate Classification and Compensation Division Section SROA Coordinator at (916) 324-9381, ATSS 454-9381.



Wendell M. Coon, Chief
Policy Development Office

Attachment

A26833



STAFF REDUCTIONS

***WHAT STATE MANAGERS & SUPERVISORS
SHOULD KNOW ABOUT SROA***

Prepared by the

STATE OF CALIFORNIA

**Department of Personnel Administration
and the State Personnel Board**

THE STATE RESTRICTION OF APPOINTMENTS PROGRAM - SROA

DEPARTMENT OF PERSONNEL ADMINISTRATION

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THE STATE RESTRICTION OF APPOINTMENTS PROGRAM - SROA

Over the years, various State agencies have experienced significant budget reductions which, in some cases, have resulted in a number of surplus employees. Because of this, some appointing powers have used the layoff process to reduce the number of their employees. The State Restriction of Appointments Program (SROA) was developed to assist surplus employees find new State jobs and to help State service by making experienced employees available to other agencies with vacant positions. The Department of Personnel Administration (DPA) has administrative authority for the SROA Program under the statutes governing the layoff process. However under an agreement between DPA and the State Personnel Board (SPB) the SPB is responsible for maintaining the SROA lists and the certification of names from these lists.

As a manager or supervisor in State service, you need to be aware of the SROA Program since it affects your recruitment and hiring activities. The following questions and answers are presented to promote a better understanding of this program.

WHAT DOES RESTRICTIONS OF APPOINTMENTS UNDER SROA MEAN?

The SROA Program maintains lists of classes having surplus employees. All appointments (including new hires, promotions, transfers, voluntary demotions, permissive reinstatements and training and development assignments) to classes on these lists are restricted. This means that SROA lists of surplus employees must be used and/or cleared before an appointing power may use other means of filling vacant positions for a restricted class. SROA lists take precedence over all other employment lists (open or promotional) except reemployment lists. When appointing powers request a list of eligible employees (class certification) to fill a vacant position, they will receive a listing of all eligible SROA employees. Managers and supervisors must not make job commitments until they are sure that all surplus employees for the class have been properly considered according to the SROA policies and procedures.

HOW DO YOU KNOW WHICH CLASSES ARE RESTRICTED?

The SPB Certification Unit keeps a current statewide list of all classes on SROA List I and II and is responsible for providing agency personnel officers with this information. Managers and supervisors should call their personnel officer to inquire about specific classes being listed on SROA.

WHAT IS THE DIFFERENCE BETWEEN SROA LIST I AND SROA LIST II?

SROA List I includes those classes that are directly involved in a layoff. They are either a class of layoff or they are in the demotional pattern of a class of layoff. SROA List II includes classes that are generally similar to the SROA List I classes and represent reasonable alternative job opportunities.

For any one class on SROA List I, there may be several SROA list II classes. As an example, a person classified as an Associate Governmental Program Analyst could be on SROA List I in only that one class, but the same individual might be on SROA List II as an Associate Management Analyst, Associate Personnel Analyst, Associate Budget Analyst and other closely related classes. Employees may also request that they be placed on SROA List II for classes in which they formerly held permanent or probationary status.

IS THERE ANY DIFFERENCE IN HOW EMPLOYEES ON SROA LISTS I AND II ARE TREATED?

Employees on SROA List I will be presumed to meet all of the minimum qualifications of the List I class and must be interviewed and fully considered by the appointing power. Exemptions requested to the SROA process, to appoint a nonSROA candidate, are not given except in very unique or compelling circumstances. Employees on SROA List II will also be entitled to an interview and must be given full consideration, even though the List II class is not the same as the SROA employee's current class (List I). In reviewing a request for an SROA List II exemption, the DPA may give more latitude to the appointing power in an attempt to get the best job person match. All requests for an exemption must be in writing and approval must be obtained before the appointing power may fill the vacancy.

ARE THERE ANY GENERAL EXEMPTIONS TO THE SROA PROGRAM?

The following types of appointments are exempted from the SROA Program:

- Emergency appointments.
- Appointment from a reemployment list.
- Mandatory reinstatements.
- Some short duration limited-term or intermittent appointments.
- Retired annuitants.
- Lateral transfers between positions in the same class within the same agency.
- Transfers between two restricted classes within the same agency.
- Transfers between positions in the same or a different class involving different agencies. These may be permitted, but require advance approval of the DPA/SROA Section Coordinator. The agency from which the employee is transferring must certify in writing that the vacancy created by the transferring employee will be filled using the SROA Program.
- Promotions in place that do not result in a true vacancy.
- Reduced worktime employees returning to full-time.

ARE THERE ANY SPECIAL EXEMPTIONS TO THE SROA PROGRAM?

Requests for special exemption based on critical hiring needs may be granted by the DPA after consideration the following factors:

- The nature of the critical hiring need and why it cannot be met through SROA hiring.
- The results of all interviews and copies of the applications of all SROA candidates interviewed and the proposed appointee.
- The consequences if an exemption is not granted.
- Whether granting an exemption will create a vacancy which can be filled by SROA. If a vacancy results but cannot be filled by SROA, explain.

Appointing powers may be required to submit additional information upon request. Exemption requests will be considered in conjunction with the class specification. Critical hiring needs which include extraordinary skill requirements or specialized knowledge and abilities may be subject to classification review.

HOW DOES AN APPOINTING POWER INITIATE THE SROA PROGRAM FOR ITS SURPLUS EMPLOYEES?

When an appointing power has surplus employees and believes they are faced with a layoff, the appointing power should arrange a meeting with their DPA Classification and Compensation Division (CCD) analyst to discuss plans to resolve the surplus. When the DPA concurs that a layoff is likely unless surplus employees can be placed, DPA will notify the SPB Certification Supervisor and provide a list of classes to be placed on restriction. This list of classes will be placed on SROA List I.

DPA will also have the appointing power issue SROA Job Placement Questionnaires to all employees in the affected classes. The questionnaires shall be collected by the appointing power and forwarded to DPA. The DPA analyst will review the completed questionnaires and will then select the appropriate List II classes for each List I class.

WHO IS ELIGIBLE TO BE INCLUDED ON AN SROA LIST?

Employees in classes identified as having surplus staffing within the agency are eligible. Participation in the SROA Program is voluntary on the part of eligible employees. The appointing power is required to inform all SROA eligible employees about the SROA Program so that they may participate, if they wish to do so.

WHAT IS THE LENGTH OF THE ELIGIBILITY PERIOD FOR EMPLOYEES ON SROA LISTS?

Surplus employees have up to 120 calendar days eligibility on SROA lists. The appointing power may request an extension of the eligibility period if the layoff has not yet taken place. Employees eligible for SROA may exercise an unlimited number of waivers of appointment from SROA lists.

HOW DO YOU REQUEST A LIST OF SURPLUS EMPLOYEES FOR A CLASS ON RESTRICTION?

Managers and supervisors should contact their agency personnel officer to request an SROA list. Agency personnel staff will contact the SPB Certification Supervisor if there are any questions regarding a specific class or classes on SROA. Managers, supervisors and other employees are asked to refrain from calling the SPB Certification Unit staff.

HOW OFTEN ARE SROA LISTS UPDATED?

SROA list processing has been automated, and the SPB staff can update lists every 24 hours to add the names of new surplus employees and delete the names of employees who have been appointed. Because of this, managers and supervisors need to call their agency personnel officer after they clear an SROA certification to see if there are any new names to be considered before making a job commitment from another list. Appointing powers should clear their used SROA certifications promptly so that hires and waivers may be recorded and names taken off the list.

HOW ARE SURPLUS EMPLOYEES TO BE CONTACTED?

Any appointing power may contact a surplus employee either by telephone or in writing. If the contact is by telephone, there should be a follow-up in writing. The appointing power may use the STD FORM 617-SROA CLEARANCE AND WAIVER to document contacts. Employees will be provided the standard response time allowed under SPB Rule 258.

HOW DO YOU TREAT HIRING COMMITMENTS MADE PRIOR TO A CLASS BEING RESTRICTED?

If a prior commitment has been made, then the appointing power's representative should contact the DPA/SROA Section Coordinator and discuss the situation. If there is no reasonable alternative, the commitment may be honored.

HOW ARE SROA POLICY VIOLATIONS TREATED?

If, through a complaint or audit, a potential policy violation is identified, the DPA/SROA Section Coordinator will investigate and discuss the situation with the appointing power and the SPB Certification Supervisor. If corrective action is needed, DPA will indicate to the appointing power what corrective action should be taken.

IS THERE AN APPEAL PROCESS FOR DECISIONS MADE BY THE DPA/SROA SECTION COORDINATOR?

Appointing powers may appeal decisions made by the DPA/SROA Coordinator to the Chief of the Classification and Compensation Division at (916) 324-9381, (ATSS) 454-9381.

ADDITIONAL INFORMATION REGARDING THE SROA PROGRAM.

If you wish additional information regarding the SROA Program and how it functions please refer to DPA SROA Rules 599.854 through 599.854.4 (effective September 27, 1990) and DPA Management Memo 90-05 dated September 27, 1990.

**WHO SHOULD YOU CONTACT TO ANSWER QUESTIONS CONCERNING
THE SROA PROCESS?**

Managers, supervisors and other employees should contact their agency personnel officer for additional SROA information. Agency personnel or employee relations staff may call:

Annie Williams
Certification Supervisor
State Personnel Board
(916) 324-0396; ATSS 454-0396

or

DPA/SROA Section Coordinator
Department of Personnel Administration
(916) 324-9381; ATSS 454-9381