

State of California

MEMORANDUM

Date: June 19, 1992
Reference Code: PML 92-68
(REVISION)

To: PERSONNEL MANAGEMENT LIAISONS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

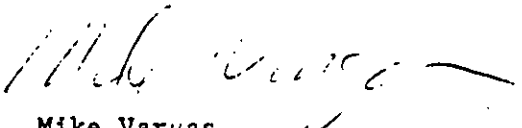
Labor Relations Officers
Personnel Officers
Departmental SROA Coordinators

From: Department of Personnel Administration
Classification and Compensation Division

Subject: SROA List/Surplus Employee Designation Criteria (Revision)

The purpose of this memorandum is to forward a revised Page 3 to PML Memorandum 92-68 (SROA List/Surplus Employee Designation Criteria).

The revision consists of adding one line to paragraph 8 c.


Mike Vargas
Layoff Coordinator

Attachment

CCD/C14002



6. Publication of List of Classes Designated Surplus. DPA will continue to update the list of surplus classes on a weekly basis. Individual departments will now be responsible for adding to their lists of surplus classes on PROFS after DPA's CCD analyst approves them. They are also responsible for eliminating classes when they are no longer surplus. DPA will provide departments with further details on how to update PROFS on a statewide distribution list in a subsequent management memorandum. This will eliminate the need for hiring departments to continually make telephone calls to verify surplus status.

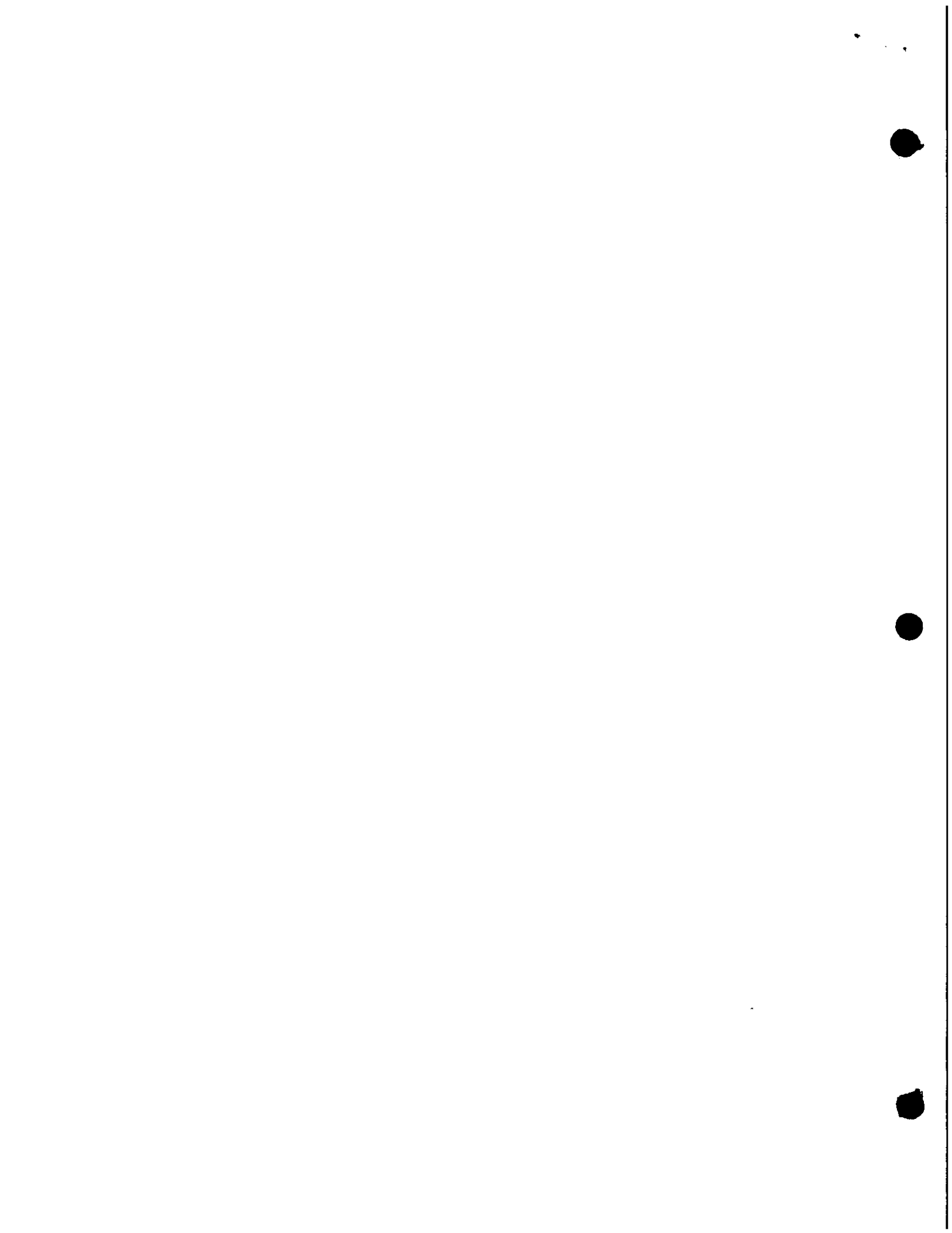
7. Consideration of Surplus Employees for Vacant Positions. Hiring departments need only interview and hire a surplus employee in the employee's current class or in other classes to which the employee could otherwise transfer (Government Code Section 18525.3(b) and SPB Rule 431) if the employee possesses 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, they would have to interview a surplus Associate Governmental Program Analyst (AGPA) who applies. If he/she possesses experience outside State service performing professional tax accounting or auditing experience, including complex audits or financial examinations, EDD would have to hire the AGPA or another surplus or SROA employee or obtain an exception from DPA.

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 and consider him/her for appointment. Records should be maintained for audit purposes.

8. Delegation of Additional SROA Exemption Determinations to Departments. Effective immediately, departments are delegated the authority to determine whether or not the criteria are met for the following SROA exemptions. In all cases, documentation must be maintained for audit purposes.

- a. Reasonable accommodation of disabled workers. Maintain requests for accommodation, doctors' statements, and analyses.
- b. Emergency appointments. Maintain rationale for the emergency, duty statements, and descriptions of assignments.
- c. 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 or demoted in-lieu-of layoff. If a department permissively reinstates such a person rather than hiring a current surplus employee, the department must maintain a record of the class from which the employee was laid off or demoted



State of California

MEMORANDUM

Date: June 17, 1992
Reference Code: 92-68

To: PERSONNEL MANAGEMENT LIAISONS

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Labor Relations Officers
Personnel Officers
Departmental SROA Coordinators

From: Department of Personnel Administration
Personnel Services Branch

Subject: SROA List/Surplus Employee Designation Criteria

The purpose of this memorandum is to clarify issues and provide policy direction related to SROA list and surplus employee designation criteria.

The Department of Personnel Administration (DPA) has received numerous calls from departments that employees are misusing the SROA process to conduct job searches or pursue career changes for personal reasons other than potential losses of jobs. Employees on SROA lists or those designated as surplus have been interviewed and offered positions, but have turned down several offers. DPA Rule 599.854.2 (e) allows employees to exercise unlimited numbers of waivers; however, the intent of that provision was to provide the opportunity to make a good job-person match. Employees who are on SROA lists or who are designated surplus should be committed to finding employment expeditiously in positions that are not threatened by impending layoffs.

In consideration of the anticipated magnitude of position reductions in FY 92-93, it is essential that the SROA process not be flooded with employees who are not committed to quickly finding new jobs. DPA will, therefore, strictly enforce the following criteria for placement on SROA lists and for designation as surplus employees.

1. 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. It also provides that DPA may add other employees in the classes and areas of layoff if it will prevent the layoff or demotion in-lieu-of layoff of other employees. Effective immediately, departments should use the years of service that they use to determine vacation accrual rates to identify the least senior employees (those actually in jeopardy of layoff or demotion) and offer those employees the opportunity to submit SROA forms. (Departments still must request official seniority scores from DPA when they are ready to proceed with



layoffs.) In addition, two other employees per position being reduced should be offered the opportunity to submit SROA forms. DPA's Classification and Compensation Division (CCD) analysts may approve the inclusion of more or all employees in a class and area of layoff if the anticipated layoff is severe enough to warrant it.

Example: A department has a total of 50 Office Technicians and plans to eliminate five positions. The employees with the five lowest "scores" would be offered the opportunity to be placed on the SROA list. The 10 employees (two employees for each of the five positions being reduced) with the next lower "scores" would also be provided this opportunity. A total of 15 Office Technicians, rather than 50 would be given the opportunity to be placed on the SROA list. The remaining employees could be designated as surplus, if requested by the department and approved by the CCD analyst.

2. SROA List Placement of Employees in Department-Specific Classes. Normally an employee is placed on the SROA list for his/her current class; however, an employee in a department-specific class should be placed on a SROA list for another 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 a servicewide class or another department-specific class in which actual job opportunities exist. Departments should encourage employees who are facing potential layoffs or demotions in-lieu-of layoff to place their names on SROA lists.
3. Identification of Appropriate SROA Lists for Employees in Department-Specific Classes by the Layoff Departments. Effective immediately, layoff departments are delegated the authority to identify the appropriate SROA class in which to place an employee who will be laid off or demoted in-lieu-of layoff in a department-specific class. If a layoff department selects another department's department-specific class as an appropriate SROA class, the layoff department should first discuss the selection with the other department. The layoff department should maintain the analysis.
4. Employees Laid Off or Demoted In-lieu-of Layoff and SROA Lists. The name of an employee who has been laid off or demoted in-lieu-of layoff is placed on a reemployment list, and may not be placed on a SROA list. If the employee is on a SROA list at the time of layoff or demotion, his/her name must be removed from the SROA list.
5. Surplus Designation Criteria. Designation as surplus employees is limited to those employees, of departments which will be undergoing layoffs, who are in the classes and areas of layoff or who will otherwise reduce the department's surplus. Departments anticipating layoffs should submit proposed lists of surplus classes to DPA's CCD analysts for approval as soon as possible.

6. Publication of List of Classes Designated Surplus. DPA will continue to update the list of surplus classes on a weekly basis. Individual departments will now be responsible for adding to their lists of surplus classes on PROFS after DPA's CCD analyst approves them. They are also responsible for eliminating classes when they are no longer surplus. DPA will provide departments with further details on how to update PROFS on a statewide distribution list in a subsequent management memorandum. This will eliminate the need for hiring departments to continually make telephone calls to verify surplus status.
7. Consideration of Surplus Employees for Vacant Positions. Hiring departments 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 (Government Code 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.

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in-lieu-of layoff and the name of the department from which he/she was laid off.

- d. Employees with documented poor performance. Departments are delegated responsibility for determining that a SROA or surplus employee need not be hired due to poor performance. In order to apply this exception, it is necessary that the employee's performance was documented as less than "Satisfactory" in his/her current class, which is the class upon which the surplus/SROA eligibility is based. A copy of the documentation should be obtained and maintained for audit purposes.

Valid 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 with a rating of "Improvement Needed" or "Unsatisfactory" is a factor that is critical to success in the position to be filled (i.e., an employee on the SROA list for a supervisory class, whose supervisory skills were rated "Unsatisfactory" or "Improvement Needed"); or
 - (3) a rejection during probation within the last three-year period (i.e., an Associate Governmental Program Analyst who transferred from Department A to Department B, served a probationary period in Department B, was rejected during probation, and was reinstated to Department A); or
 - (4) a formal adverse action during the last three-year period, if the causes of the adverse action are related to the duties of the position to be filled.
9. Coding of Permanent Intermittent (PI) Employees on SROA Lists. Effective immediately, departments placing PI employees on SROA lists should include a brief note (do not staple) indicating whether the employees have full-time eligibility as well as intermittent eligibility. SPB will then flag the names accordingly.

Please call Beverly Chan at (916) 324-0439 if you have any questions.


Mike Vargas
Layoff Coordinator

