Subject: REQUEST FOR PERSONNEL ACTION (RPA)

REFERENCES	SECTIONS
Hiring Process Manual http://www.documents.dgs.ca.gov/ohr/pom/Hiring Process Manual1.doc	
Human Resources Memorandum http://www.dgs.ca.gov/ohr/Home/HRPolicyMemos.aspx	03-013, 02-027, 02-007, 00-006
Responsible Control Agency and Program http://www.dgs.ca.gov/ohr/AboutUs.aspx	DGS Office of Human Resources Classification and Pay Unit, DGS Office of Human Resources Personnel Transactions Unit (PTU)
Other	
RPA Workflow Manual http://www.dgs.ca.gov/ohr/Resources/GuidesandManuals.aspx Employment Eligibility Verification http://www.documents.dgs.ca.gov/ohr/pom/employmenteligibilityverificationrequest-worksheet.doc Request and Worksheet http://www.documents.dgs.ca.gov/ohr/pom/employmenteligibilityverificationrequest-worksheet.doc	

Request for Personnel Action (RPA)

Purpose

This section of the manual defines and distinguishes between:

- Routine requests for personnel action (RPA)
- Proposed RPA's requiring elevation
- Proposed conceptual personnel actions
- How to fill vacant positions
  a. Application screening
  b. Selection screening

Routine RPAs

Routine RPA's are those requests for personnel actions which typically do not require preliminary discussions with the Classification and Pay (C&P) Analyst, such as a simple backfill of a position (with no change in duties or reporting relationship).

Proposed RPAs requiring elevation

Proposed RPAs requiring elevation are requests initially denied by the C&P Analyst/Manager due to lack of information, justification, and/or not meeting the allocation criteria. The next level of review is to the Personnel Officer.

Conceptual personnel actions

Conceptual personnel actions are actions which the office/division wishes to advance prior to submitting an RPA package. These actions typically involve major changes in the organization or the use of controversial or new classifications and may also need Office of Fiscal Services' (OFS) approval.

How to fill vacant positions

Due to continued budget restrictions, salary saving requirements, fiscal resource management or alignment of resources with workload, the procedures in this section shall be followed.

Application screening and selection screening criteria are to (you may also refer to the Hiring Process Manual for more information):

- Screen out non-qualified applicants
- Develop interview questions needed to elicit the job-related information required to be able to select the best applicant for the job based on the EF duty statement
- Develop an interview rating scale
- Conduct reference checks on top applicants, based on results of the interview rating scale

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Request for Personnel Action (RPA), Continued

Topics

The table below identifies the topics covered in this section.

Routine RPA Process

Policy

It is the policy of the DGS Office of Human Resources (OHR) Classification and Pay (C&P) Unit that an RPA package is **required** for all personnel actions except modification to work schedules (unless the classification is subject to post and bid), range changes, out-of-class assignments, or separations.

Access to RPA Workflow

Authorized staff may have access to the AutoRPA as long as the following are in place.

- An Outlook account
- A DGS position number assigned as an ABMS record
- Access to the DGS Intranet

Request to recruit

This is not an approval process. The C&P Analyst informs the C&P Manager if there is an issue (inappropriate allocation, insufficient justification, etc.), if no issues, the RPA will be processed. The C&P Manager will inform the Chief, Office of Human Resources, if there are issues which cannot be resolved at the C&P Analyst/Manager level. The C&P Analyst will respond to requests within two business days regarding the status of the RPA. **It is not required to obtain approval from the OHR Chief before proceeding.**

- The request to recruit email sent by the Personnel Liaison (PL) must be sent to:
  - ✓ Chief, Office of Human Resources
  - ✓ Budget Analyst
  - ✓ Classification & Pay Analyst
  - ✓ Classification & Pay Manager
- The request to recruit email must include, if applicable:
  - ✓ Date the RPA was submitted to OHR
  - ✓ RPA number
  - ✓ Position number
  - ✓ Classification title
  - ✓ Date position became vacant
  - ✓ Post and bid information
  - ✓ Justification for filling the position
  - ✓ Impact on salary savings requirement

NOTE: The request to recruit for a CEA position is reviewed by the Chief, Office of Human Resources; do not submit the RPA for this request until a response is received.

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Routine RPA Process, Continued

Submit the RPA

The Personnel Liaison (PL) submits a complete RPA package to the assigned C&P Analyst. A complete RPA package includes:

- ✓ Request for Personnel Action (DGS OHR 904) for client agencies
- ✓ Justification for action (may be separate attachment)
- ✓ Current duty statement in essential functions format and former duty statement, when applicable
- ✓ Draft job opportunity bulletin (JOB)
- ✓ Current and proposed organization charts, when applicable
- ✓ Post and Bid forms, when applicable
- ✓ Application screening criteria (usually created from the “desirable qualifications” section of the duty statement/JOB **or at a minimum** submitted to the C&P Analyst for review prior to the final file date)

For a detailed discussion of each component of an RPA package, refer to the following:
The RPA Workflow manual is located at:
http://www.dgs.ca.gov/ohr/Resources/GuidesandManuals.aspx
The Essential Functions Duty Statement Training manual is located at:
http://www.dgs.ca.gov/ohr/Resources/GuidesandManuals.aspx
or the sections in this manual on Essential Functions and Duty Statements
http://www.dgs.ca.gov/ohr/Resources/PersonnelOperationsManualPOM.aspx.
How to construct a JOB is located at:
http://www.documents.dgs.ca.gov/ohr/pom/JOB.doc.
The construction and content of organization charts is located at:
http://www.documents.dgs.ca.gov/ohr/pom/Organization%20Charts.doc.
A sample organization chart can be found in the Resources section of this manual.

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Routine RPA Process, Continued

C&P analyst RPA package review

The C&P Analyst must respond to the Program within two business days of submission of the complete RPA package, if only to inform of the status of the RPA.

The C&P Analyst reviews the RPA package for completeness, including but not limited to:

- Position justification (required if action other than straight back-fill, no change in duties)
- Allocation criteria (position and reporting relationship)
- Essential functions (EF)duty statement format (readability)
- Desirable qualifications (measurability; linked to tasks)
- Work environment (ADA compliance; linked to tasks) additional information, further discussion may be necessary
- Organization chart (current and proposed, when applicable)
- Post-and-Bid (PNB) forms, when applicable

Upon completion of the RPA package review, the C&P Analyst:

- Releases the JOB and/or post-and-bid information for advertisement
- Requests a certified employment list with contact letters, if applicable

NOTE: If the RPA package is missing any required information/documents or there are questions regarding the content, the C&P Analyst may release the RPA to the Program with an explanation or contact the Program to discuss.

Proposed RPAs Requiring Elevation

Overview of process

The following defines the expectations and stages involved in the review of a non-routine RPA, which may need to be elevated during its review to the Personnel Officer, if the C&P Analyst/Manager deny the request.

Non-routine personnel actions may be initially submitted as "routine" RPAs, and due to changes in the position or its duties, require additional review and analysis.

Office/division responsibility

If the Personnel Liaison (PL) anticipates that the requested personnel action may be elevated to the Personnel Officer due to the nature of the request, s/he should contact the C&P Analyst to explore the feasibility of the proposed staffing changes prior to submitting a complete RPA package, or at the very least the package should include a detailed justification statement.

Position justification

The RPA package includes a comprehensive position justification statement, presenting a complete description of what has changed to necessitate the action. The C&P Analyst analyzes the program's justification statement in terms of SPB/DPA laws and rules, legislative mandates, comparable comparisons, allocation guidelines, if applicable, and best practices for personnel management. Refer to the Personnel Operations Manual (POM) section, "Position Justification."

Note: The requested action will not be approved if the C&P Analyst determines that the justification does not support the position change. **The C&P Analyst will work with the program to explore other options before a final decision is made or is elevated to the Personnel Officer.**

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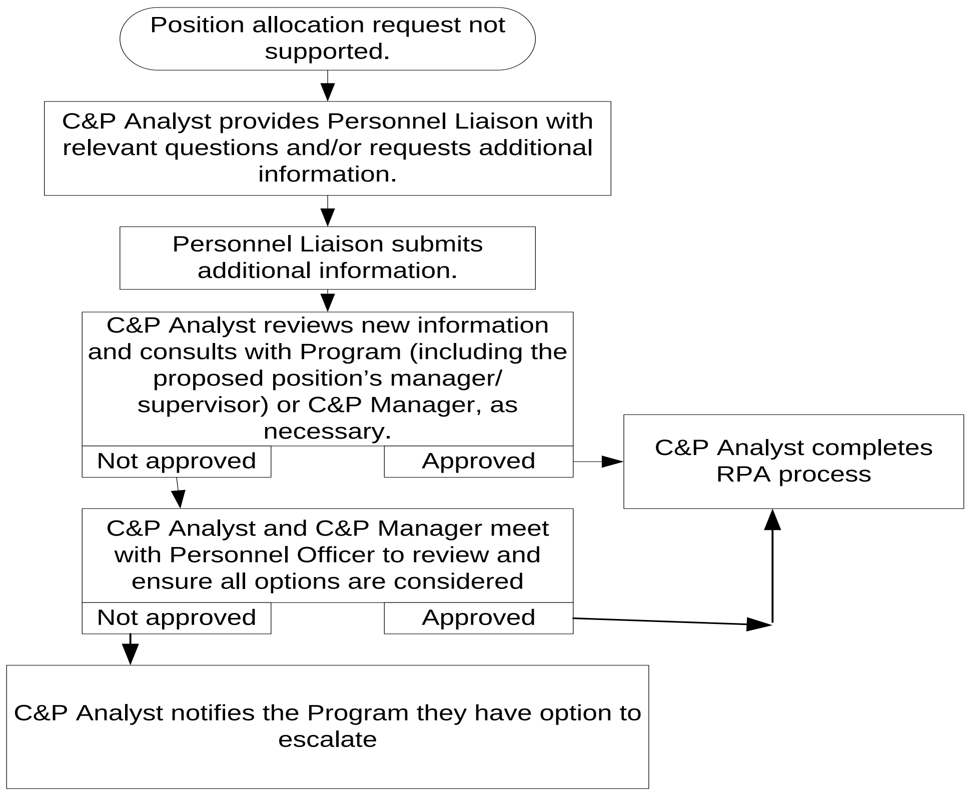
Proposed RPAs Requiring Elevation, Continued

Insufficient justification

The following diagram outlines the steps OHR and the program shall use to submit and review additional information when a justification statement does not support the personnel action.



Conceptual Personnel Action

Overview of process

The Program contacts the C&P analyst/manager to initially explore options and evaluate the feasibility of proposed staffing changes prior to submitting a complete RPA package.

Concept examples

Examples of potential staffing concepts which should be presented to the C&P analyst/manager include:

- Reorganization of units/branches (may require OFS approval)
- Workload shifts (new work or eliminated work) and impact on existing positions/classifications
- Need for new classification(s)
- Different classification(s) exists but not currently used by the program

Concept review stages

The following process illustrates the stages involved in staffing concept review.

<table>
<tr><th>Stage</th><th>Description</th></tr>
<tr><td>1</td><td>The Program contacts the C&P analyst/manager to set up meeting to discuss their proposal</td></tr>
<tr><td>2</td><td>C&P analyst/manager meets with the Program to review the proposal.
<table>
<tr><th>When concept is…</th><th>Then</th></tr>
<tr><td>Approved</td><td>Program submits RPA package for C&P review</td></tr>
<tr><td>Not approved</td><td>a. C&P analyst/ manager requests additional information
b. C&P analyst/ manager review the concept with the Personnel Officer
c. C&P analyst/ manager and Personnel Officer may meet with the Program to discuss issues and/or additional information</td></tr>
</table></td></tr>
<tr><td>3</td><td>C&P analyst/ manager and Personnel Manager reach final decision and inform the Program.</td></tr>
<tr><td>4</td><td>C&P analyst/ manager documents the decision and sends a summary to file for future reference.</td></tr>
</table>

How to Fill Vacant Positions

Purpose

This section provides the steps required for filling a vacant position.

Steps

To initiate the hiring/RPA process, follow the steps below:

Step	Action
1	The Program submits a complete RPA package to the C&P Analyst
2	The C&P Analyst: • approves the completed RPA package • releases/advertises the JOB/Post-and-Bid information, if applicable • verifies if a reemployment, SROA, and/or LEAP list exists • orders a certified employment list and contact letters, if applicable
3	After the JOB has been released, the Program: • creates application screening criteria (see page 110.13), based on the JOB **and submits to the C&P Analyst for review prior to the final file date** • creates applicant selection criteria (see page 110.14), to rate applicants during the interview process . Note: Applicant selection criteria are the same for each applicant. Documentation of screening and selection criteria **is** retained (two years) to document selected applicant. **Exemptions from hiring SROA applicants are submitted to the C&P Analyst for approval by CalHR.**
4	After the final filing date of the JOB, the Program and/or PL gather all responses; contact the Certification Unit (no less than three to five working days after the final filing date) for responses received pursuant to contact letters being mailed. Note: If contact letters were not sent but a certified employment list was requested, the Certification Specialist is notified of applications received for names on the certified employment list.

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How to Fill Vacant Positions, Continued

Steps (continued)

Steps table continued

Step	Action
5	The PL contacts the C&P Analyst: • to verify the eligibility of the applications screened (3-5) for interview • to inform if any of the applications[1] (all received) indicated SROA, surplus, reemployment, or DROA. If any applications received indicate one of the above designations and the hiring office screened them out, the PL and C&P Analyst meet to discuss (this is to ensure that the DGS is fair and equitable in its responsibility under the laws and rules of the merit system and to avoid losing delegation.)(The PL may use the Employment Eligibility Verification Request and Worksheet when contacting the C&P Analyst via email.) **Note: No job offer can be made, including tentative, until the C&P Analyst has conducted final eligibility verification.**
6	The hiring office: • conducts interviews based on the developed selection criteria (refer to page 110.15 and/or the Hiring Process Manual). • performs reference checks, including a review of the candidate's OPF, if current or former State employee. • makes a selection. **Note**: For BU 15, SROA and surplus **must** be cleared prior to selecting a post and bid applicant.
7	PL contacts C&P Analyst to conduct final eligibility verification on selected applicant

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[1] Steps 5 and 8 are flexible, particularly with out-of-town offices. A review of all applicants is only necessary when an SROA, surplus, reemployment, or DROA applicant has been screened out of an interview. Following is a table of factors to consider in determining the direction to take.

If….	Then…
Out-of-town, send only the front page of the applications selected for interview. Care should be taken in sending SSNs. **Do not send entire application.**	C&P Analyst will verify eligibility and respond to PL
Out-of-town, send a list of names via email. Follow-up with a telephone call to the C&P Analyst with the SSN	C&P Analyst will verify eligibility and respond to PL

How to Fill Vacant Positions, Continued

Steps (continued)

Steps table continued

Step	Action
8	**If** the selected applicant must relocate to accept the position, prior approval from the Director is **required** (refer to POM Section "Relocation Administration" for process/procedure.
9	The Program may make an offer to the candidate and follow-up with appropriate hiring documents: • Supervisor and candidate review and sign the essential functions duty statement, Form 700, if applicable, etc. • Proper medicals are obtained (refer to the section in this manual on Mandatory Medical Clearance)
10	When all of the above steps are complete, the Program provides the C&P Analyst and the Personnel Specialist (PS) in the Personnel Transactions Unit (PTU) with an effective date for the hire.

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How to Fill Vacant Positions, Continued

Eligibility determination chart

After the Program has completed its interview and selection process, the PL must re-contact the C&P Analyst to ascertain the proposed candidate's final eligibility. The following chart presents various personnel actions which may be used to appoint a candidate and the required/potential outcome of the request.

If the candidate(s) is…	Then	And then…
A transfer	C&P applies transfer rules and verifies candidate eligibility	• if the applicant is eligible, the analyst approves the request • if the applicant is not eligible, the analyst works with the program to explore other options
On departmental, external, or comparable examination certification list	C&P forwards RPA to Certification Unit	• Certification Unit sends list with eligible candidates to program and C&P Analyst • Program selects candidate and notifies C&P Analyst
Eligible for a T&D	Program submits necessary documents to C&P	C&P determines appointment duration and candidate eligibility for appointment after completion of T&D form
Eligible for an out-of-class assignment	Program submits justification to C&P Analyst for review	C&P approves/denies assignment and sends notification to program and impacted employee
Eligible for a TAU	C&P Analyst works with Selection Analyst to verify candidate's minimum qualifications	Selections determines feasibility of the examination being administered prior to end of TAU

Information technology positions

The Information Technology Services Division (ITSD) requires that all actions impacting information technology positions funded by another office, which report to ITSD, **shall** be reviewed by ITSD for approval/input. This review is to ascertain that functional responsibilities reside in the appropriate location (program vs. ITSD). This is applicable to all offices/divisions. Functional changes to positions that are funded by an office and do not report to ITSD also require ITSD approval. This is applicable to all offices/divisions.

Note: The C&P Analyst assigned to the Information Technology Services Division will review and approve all duty statements and allocations. The Program should include the assigned C&P Analyst on the email to recruit.

Application Screening

Introduction

The purpose of the application screening is

- to select qualified applicants for referral to the next step of the selection process, the interview
- the first opportunity to begin assessing applicants against the established **minimum** (not maximum) **qualifications** (classification specification) including the desirable qualifications for the position (EF duty statement); however, desirable qualifications **shall not** be narrowly used. This screening process may include SROA, surplus, reemployment, and DROA applicants. Additional information can be found in the Hiring Process Manual.

Note: The DGS requires that all personnel management decisions are ethical, equitable, and defensible and are in accordance with pertinent laws, rules, policies, processes, and procedures. These laws, rules, policies, processes, and procedures were developed and implemented to avoid grievances, complaints, lawsuits, and loss of delegation.

How to develop application screening criteria and screen applications

It is the responsibility of the hiring supervisor or designee to develop the screening criteria **prior** to the final file date. The criteria **shall** be developed using job-related standards based on the EF duty statement, the JOB, and the classification specification. (If you require assistance/guidance in developing screening criteria, the C&P Analyst is available.)

The criteria **shall not** be so specific (narrow) to eliminate applicants but broad enough to provide a sufficient number of applicants from which to conduct interviews and then select the best qualified applicant for the position utilizing a comprehensive selection criteria and rating sheet.

The following table describes the steps in the application screening process.

Step	Action
1	The supervisor, using the JOB and classification specification develops 3-5 application screening criteria (click here for examples). At the same time, the supervisor develops the selection criteria and rating guide (click here for examples).

Continued on next page

Application Screening, Continued

How to develop application screening criteria and screen applications (continued)

Step	Action
2	The PL first removes and confidentially destructs the EEO information from all applications and confidentially destructs, and then sorts applications by: • Making notations on a copy of the application since the original application goes to the OPF and is discoverable. • Reviewing all materials presented by the applicant. Often a resume provides more detail than an application, and may highlight or contradict what is contained in the formal employment application. Highlight or in some way indicate on the application what is missing and the **minimum** requirements (application screening criteria). • Checking for consistency and accuracy. For example, if an applicant lists that s/he has supervised 20 people and reported directly to the president of the company, but earned only $1000 per month, clarification may be needed from the employee. • Being careful not to make unwarranted inferences. For example, a high school diploma is not necessarily evidence of satisfactory business writing skills. Remember, it is almost impossible to make fine distinctions between applicants on the basis of an application/resume alone, since the data on the form is limited and may be subject to distortion.
3	The hiring office (PL) verifies eligibility of applicants selected for interview by (**see page 110.9 regarding case-by-case situations**): • Providing a list of names by email or on the Employment Eligibility Verification Request and Worksheet and social security numbers (by telephone, not email) to the C&P Analyst; and, informs the C&P Analyst if any of the applications (all received) indicated SROA, surplus, reemployment, or DROA. If any applications were received indicating one of the above designations and the hiring office screened them out, the PL and C&P Analyst **shall** meet (no longer than 15-30 minutes) to discuss (this is to ensure that the DGS is fair and equitable in its responsibility under the laws and rules of the merit system and to avoid losing delegation. • For out of town, refer to footnote on page 110.9

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Selection Screening

Following selection and prior to job offer

- Request that the C&P Analyst do a final eligibility verification for the selected applicant and/or
- The Director **shall** review and approve the selected applicant **prior** to any job offer **if** relocation is an issue

Question development

To obtain a fair and impartial perspective of a candidate's abilities, use behavior-based questions. These questions are designed to have the candidate describe how they handled previous circumstances similar to those surrounding the job you are trying to fill.

The questions listed in the Key Questions attachment have been designed using the behavior-based interview techniques and are grouped according to competency. Thirty-one competencies are considered "core competencies." Review these questions to see which ones might work for you. Or, use these as examples to develop your own behavior-based questions, balance with your technical questions, focus on the skills necessary to perform the job you are trying to fill. Think about the essential functions, duties, challenges, and the environment in which the job exists.