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2012

# STRATEGIC PLAN

*California State Personnel Board*

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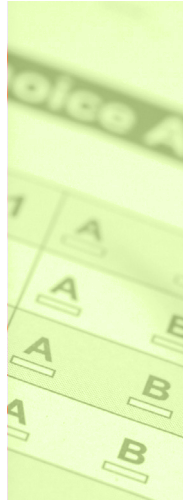
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## BOARD MEMBERS

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MAELEY TOM

*President*

PATRICIA CLAREY

*Vice President*

KIMIKO BURTON

*Member*

RICHARD S.  
COSTIGAN III

*Member*

ANNE SHEEHAN

*Member*



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## FACTS AND FIGURES

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**\$10.3 MILLION**

Total SPB Budget  
(\$8.4 Million Reimbursements,  
\$1.1 Million General Fund, \$0.8  
Million Central Service Cost  
Recovery Fund)

**72.7**

Number of positions

**2,200**

Approximate number  
of evidentiary appeals  
filed annually

**2,000**

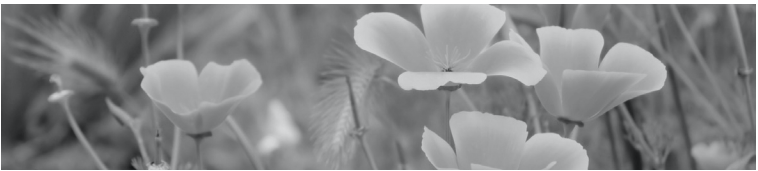
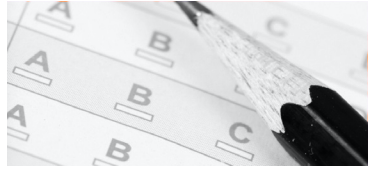
Approximate number of merit  
appeals filed annually

**650**

Approximate number of  
evidentiary appeals heard by  
the Board annually

**600**

Approximate number of  
merit appeals heard by the  
Board annually





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## A MESSAGE FROM THE EXECUTIVE OFFICER

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Implementation of the Governor’s Reorganization Plan 1, effective July 1, 2012, consolidated the entire Department of Personnel Administration (DPA) and many of the operational functions of the State Personnel Board (SPB) into the new Department of Human Resources (CalHR). SPB retained its policy setting function over the merit system and continues to review disciplinary and merit related appeals. In addition, SPB will establish new programs to simplify civil service laws, rules, and policies; provide consultative services to departments; and conduct departmental audits to ensure compliance with the merit system.

SPB’s vision is to provide a highly qualified and diverse workforce for all California State agencies. The Five-Member Board has created a Strategic Plan that addresses the needs of state departments, employees, and job seekers and moves SPB toward its vision. This document summarizes our recent accomplishments, updates the scope of the department, and outlines our Strategic Plan for reaching our vision.

We are proud of the improvements we have made in our programs and services. We will continue to seek efficiencies in our appeals process to meet our stakeholders’ needs. In addition, we will be working to create policy and audit functions that will allow SPB to provide better direction to and oversight of departments’ human resources functions.

Sincerely,

SUZANNE M. AMBROSE  
Executive Officer

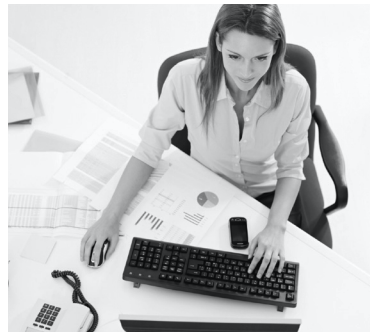


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## ACCOMPLISHMENTS

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*Over the past several years, SPB has actively sought input from our stakeholders and made significant operational changes to improve the services we provide to hiring departments and state job seekers. Some of our recent accomplishments include:*





## GOAL ONE

### *Meet The State's Hiring Needs*

- Developed online exams for over 100 classifications allowing anyone with access to a personal computer and the Internet to participate in state exams 24 hours a day, seven days a week (24/7). In 2008, there were only 8 online exams.
- Opened service-wide exams, previously only offered on a limited or promotional basis, to the general public available 24/7, expanding the pool of candidates eligible for hire or promotion. Today 14 exams that previously were only available to current state employees on a promotional basis are now open to outside recruitment, allowing the state to tap into private sector talent as well as reward talent from inside state service. New open service-wide exams include analytical, supervisorial, managerial, information technology, and legal classifications.
- Made the entry-level professional analytical classification accessible to the vision-impaired by developing a Braille version of the Staff Services Analyst exam.
- Streamlined the civil service examination process by implementing a pilot project to test the effectiveness of a three rank eligibility list, where all those who pass the exam become reachable, producing a higher quality and quantity of candidates eligible for hire.
- Expanded Career Executive Assignment (CEA) eligibility to include retirees, providing departments with a pool of seasoned leaders and experts.
- In partnership with the Board of Equalization, launched the Student Internship Program Guide to assist departments in designing and implementing a student internship program within their organizations.

## GOAL TWO

### *Meet Stakeholders' Needs*

- Streamlined and simplified rules for civil service appointments, by providing more flexibility in transferring list eligibility and using appropriate lists.
- Simplified the CEA approval process by eliminating duplicative and unnecessary process.
- Automated the reemployment list process, reducing staff time used for manual data entry.
- Expanded the training curriculum for human resources professionals by creating a selection analyst academy, equal employment opportunity curriculum, a test validation and construction series, supervisory training, an upward mobility series, and training on CEA and Exempt reinstatement rights.

## GOAL THREE

### *Provide Leadership To Ensure A Qualified Workforce*

- Enhanced its leadership role in improving the employment of persons with disabilities by employing the highest percentage of employees with disabilities in state service in 2010.
- Made programmatic improvements to the Limited Examination and Appointment Program (LEAP), increasing the number of LEAP examinations available to persons with disabilities.
- Improved departments' ability to monitor the disabled representation in their workforce by creating an anonymous, automated disability online survey tool.

## GOAL FOUR

### *Identify Process Improvements For The Department*

#### *Appeals*

- Significantly reduced the appeals backlog from approximately 8,000 cases to 167 through a series of improvements:
  - Appointed a Chief Administrative Law Judge (ALJ) to manage the Appeals Division, and a Presiding ALJ to supervise the ALJs and the support staff.
  - Leveraged technology to track cases, time spent, billing, calendaring, filing, document management, notifications and decision templates, creating efficiencies and consistency.
  - Implemented prehearing/settlement conferences, resulting in the early resolution of 50-75% of disciplinary appeals and allowing non-settled cases to be scheduled for a single block of days for hearing.
  - Developed a law and motion calendar, providing consistency and certainty in hearing dates and removed the ability of the parties and/or the assigned ALJ to unilaterally continue hearings.
  - Eliminated “Decision-Writing” Fridays, allowing for hearings to be conducted five days per week.
  - Double and triple set hearings, so that last minute settlements don’t leave an ALJ without a hearing.
  - Re-engineered the hearing process to make it more efficient, codified those changes to regulation and trained department and employee representatives on those changes.
  - Regionalized hearing locations, reducing the time and cost of travel for the ALJs.

- o Established video-conference hearings, reducing the time and cost of travel for the ALJs, parties and witnesses.
- o Prioritized appeals involving dismissals in order to reduce potential backpay awards in the event the dismissals are revoked or modified by the Board.
- o Established an ALJ training program and a peer review process for proposed decisions.

### ***Mediation***

- Restructured the mediation program by utilizing the services of the State Mediation Program, UC Davis Mediation Services and CSUS Mediation Program, resulting in a savings of \$300,000 annually.

### ***Psychological and Medical Screening***

- Automated the scheduling, case tracking, and billing process, creating efficiencies and resource savings.
- Implemented a dispute resolution process allowing for more cases to be resolved earlier in the process.

### ***Interpreter Program***

- Enhanced the interpreter program by partnering with the courts to use their list at no cost for a larger interpreter pool, saving \$200,000 annually.

### ***Bilingual Services***

- Created a more effective language survey and implementation plan pool to assist departments in identifying the language needs of the public they serve.

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# OVERVIEW OF THE STATE PERSONNEL BOARD

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***E**stablished by the State Constitution, SPB oversees the state's civil service system, including merit-based selection and employee discipline.*

SPB is charged with overseeing the merit-based, job-related recruitment and selection process for the hiring of over 200,000 state employees. These employees provide critical services to the citizens of California, such as law enforcement, education, emergency services, and environmental protection. SPB provides direction to departments through simplifying civil service laws, rules, and policies and through providing consultation to departments. In addition, SPB audits departments for merit system compliance.

SPB investigates and adjudicates alleged violations of the law which are filed by employees, applicants, and members of the public. SPB's ALJs hear and render proposed decisions for the Board on personnel appeals filed by state employees. These appeals include dismissals, suspensions, demotions, reductions in salary, discretionary transfers, official reprimands, whistleblower retaliation complaints, rejections during probation, and medical terminations. In addition, staff review and write recommended decisions on a variety of complaints and non-evidentiary merit appeals, including examination appeals, merit issue complaints, medical and psychological disqualifications, withholds from certification, requests to file charges, voided appointments, issues concerning an applicant's ability to meet minimum qualifications for a civil service position, and failure of pre-employment drug tests.

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# DEVELOPING THE STRATEGIC PLAN

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The Strategic Plan was developed by the SPB after conducting focus groups with stakeholders. Based on feedback, a plan was developed to leverage strengths, address weaknesses, seek opportunities for improvement, and mitigate risks. The Strategic Plan also incorporates suggestions made by the Little Hoover Commission and the California Performance Review related to modernizing the civil service system to meet the current needs of California's workforce. New suggestions for positive change are continually added to the work action plans supporting the accomplishment of SPB's goals and objectives.





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# MISSION, VISION & CORE VALUES

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## MISSION

The mission of the State Personnel Board is to provide an innovative, merit-based civil service system that fosters a talented and diverse state workforce to provide premier public service to all Californians.

## VISION

To provide a highly qualified and diverse workforce for all California State agencies.

## CORE VALUES

### *Merit Principle*

The Board upholds the merit system of employment selection and provides departments and employees an avenue to seek resolution for workplace disputes.

### *Quality Services*

The Board strives to effectively meet the needs of state job seekers, employees, and departments.

### *Communication*

The Board values its relationship with those it serves and values their feedback.

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# STRATEGIC PLAN

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## GOAL ONE

### *Meet the State's Hiring Needs*

**S**PB is charged with overseeing the merit-based, job-related selection process for the hiring of over 200,000 state employees. These employees provide critical services to the people of California, such as law enforcement, education, emergency services, and environmental protection.

#### *Simplify the Hiring Process*

Many of the state's hiring processes are antiquated and overly restrictive, causing delays in departmental hiring. SPB will review and revise selection processes and procedures to better meet the state's present and future hiring needs.

#### *Provide More Resources to Departments*

Department-specific exams are decentralized and under the oversight of SPB. Departments would like more selection-related guidance and documentation to aid them in properly carrying out their examining and hiring activities. SPB will pursue updating resource manuals and providing additional assistance to departments. SPB's new policy function will provide consultative services to departments needing assistance.

## GOAL TWO

### *Meet Stakeholders' Needs*

**S**PB administers the civil service merit system which encompasses the examination and hiring process, probationary period, and disciplinary system. Departments and interested parties seek SPB's assistance in understanding the complexities of the civil service system.

#### *Improve Communication*

SPB strives to maintain effective communication with its stakeholders to address their needs. SPB will provide greater accessibility to information and ensure a rapid response to our customers' needs.

#### *Improve Customer Service*

SPB values its relationships with other state departments, employees, employee organizations, and the public. We aspire to meet our customers' needs and ensure that they feel important and appreciated. SPB will train its employees so that they have the knowledge and skills required to positively interact with our customers and satisfy their needs.

## GOAL THREE

### *Provide Leadership to Ensure a Qualified Workforce*

**S**PB is responsible for administering the state’s civil service system, providing personnel management leadership, and overseeing the disciplinary process.

#### *Partner with Others*

In order to implement positive change within existing resources, SPB will seek opportunities to work with its partners to combine resources on common goals.

#### *Strengthen the Organization*

To effectively manage the Strategic Plan, SPB will ensure all staff are aware of the plan and their role in helping SPB accomplish its goals. SPB will also update staff on Strategic Plan accomplishments. In addition, SPB will create opportunities to collect and utilize customer feedback to improve our processes and procedures.

#### *Pursue Changes to Law or Rule*

The state’s civil service laws, rules, and policies are complicated and confusing. SPB will review existing laws, rules, and policies and propose revisions to clarify processes, eliminate redundancy and duplication, and construct comprehensive guidelines.

#### *Address Allegations of Impropriety within the Merit System*

Currently, department-specific examining is delegated to departments and servicewide examinations are delegated to the Department of Human Resources (CalHR) with SPB oversight. SPB performs reviews of departmental merit compliance and may revoke a department’s delegation in appropriate situations. Once a department’s delegation is revoked, CalHR works with the department to correct deficiencies and improve its practices so that the department may regain delegation.

## GOAL FOUR

### *Identify Process Improvements for the Department*

**S**PB is organized into four functions with separate and distinct responsibilities. SPB strives to create efficiencies to maximize performance to better serve its stakeholders and to protect the merit principle.

#### *Create Efficiencies and Improve Quality in the Legal Division*

SPB will establish new protocols and procedures and implement technical solutions to better manage litigation and legal matters before the Executive Officer and the Five-Member Board.

#### *Create Efficiencies and Improve Quality in the Appeals Division*

SPB will continue to increase the use of automation and execute process improvements within the Appeals Division to improve quality and reduce backlog.

#### *Implement a Policy Function*

SPB will implement a policy function to address merit related law and rule and to set statewide policy on civil service processes. In addition, SPB will provide consultative services to departments on merit related issues.

#### *Implement an Audit Function*

SPB will conduct compliance reviews of departments on all merit-related human resources functions, to determine if departments' practices adhere to the state's laws, regulations, and policies. SPB will apply corrective action as appropriate, including revoking departments' delegations when necessary.



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