

Material Request Form (MRF) Appointments and Compensation Files

During the compliance review, the State Personnel Board (SPB)'s Compliance Review Unit (CRU) will review a random selection of civil service appointments, including list appointments, promotions in place, transfers, permissive reinstatements, and limited term and temporary appointments. The CRU will also review unlawful appointment investigations. The CRU may request to review and evaluate specific appointments, promotions, or unlawful appointment investigations. In addition, the CRU will be reviewing a random selection of appointment salary determinations.

The purpose of this compliance review is to ensure appointing powers are complying with the merit principle and civil service laws and rules, personnel practices, policies and procedures, delegation agreements, and, if applicable, bargaining unit agreements. Where deficiencies are identified, appropriate corrective action will be ordered.

General Instructions: Appointments & Compensation

Unless otherwise indicated, all requested documents are documents that were created or issued during the applicable compliance review period. The appointments and compensation that will be reviewed are listed on the attached MRF Appointments-Compensation-Policy Spreadsheet. For each matter listed, please provide the documents set forth below under Part I. Parts III through XI require submission of additional documents, depending upon the type of appointment being reviewed. All requested documents should be organized in the order listed and by the appointment being reviewed. If a requested document does not exist, please include a brief written explanation setting forth the reasons why (e.g., the appointment was to a limited term position and therefore a probationary period was not required; a diligent search was conducted but the documents were not found). There are special instructions for Parts X (Promotions in Place) and XI (Unlawful Appointment Investigations).

I.

Please provide the following documents in the order listed below for all listed appointments, except promotions in place (see Part X).

- Request for Personnel Action (RPA) form and any accompanying documentation.
- If applicable, documentation explaining the reasons for the limited term position.
- Notice of Personnel Action (NOPA).
- Copy of current State Controller's Office (SCO) PIMS Employee History Summary printout (pages encompassing the selected review period).
- Hired candidate's application.

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- Minimum qualification verification (e.g., any required degrees, certificates, or licenses).
- Duty statement.
- All probationary reports.
- Current and proposed organizational chart for the program or unit where the employee was hired.
- All accepted/rejected applications, including applications received after the final filing date (unless available in ECOS).
- If a reemployment and/or SROA list was required to be cleared, proof showing that the list(s) was cleared. If inapplicable, please provide a brief written explanation.
- All job announcements and bulletins, whether posted online or at physical locations showing final filing date, release date, and job control number (include information to extend, change and/or remove the announcement and proof it was completed).
- All records documenting the reasons why the selected candidate was hired for the position.
- All correspondence pertaining to the appointment (e.g., hardcopies of any emails or other records of communication).

II.

Please provide a copy of the following:

- Department's current delegation agreement with CalHR.

Please see the MRF Appointments-Compensation-Policy Spreadsheet and for the appointments identified as salary determination review, please provide the following documents:

- Salary Determination Information (e.g., Footsteps Worksheet, HR Net Compute Class Movement Salaries printout, paperwork showing how the department determined employees salary).
- Any documentation to support and/or explain employee's actual rate and salary total.
- Justification for Exception to Salary.
- Certificate of approval/denial for ARC change (include proof employee met ARC).

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III.

If the appointment listed was a **list** appointment (see “A01” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- Certification list used to fill vacancy with any notations and, if ranks were cleared, all contact letters (unless available in ECOS).
- If the appointment was a promotion, any documents showing that prior to appointment a review was conducted to ensure employee eligibility to compete in a promotional examination, pursuant to Rules 234 and 235.2. If inapplicable, please check or X this box:
- Early entry language, if the selected candidate did not satisfy the minimum qualification (MQ)s at the time of examination.

IV.

If the appointment listed was a **transfer** appointment (see “A02” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- Transfer eligibility worksheet.

V.

If the selected appointment was a **training and development** assignment (see “A04” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- T&D Plan including duties that are being assigned.
- Documentation showing that Consecutive T&D Rule was verified (include effective dates for each T&D assignment).

VI.

If the selected appointment was a **compelling management need** assignment (see “A04” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- Written statement that contains the following information: (1) The compelling management need; (2) Duration and duties of the assignment; (3) The staff

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expertise required for the assignment; (4) Justification that the agency's needs cannot be met through the existing organizational structure; and (5) Certification that a layoff by reason of such assignment will not become necessary in the appointing agency.

- Certification that the employee possesses the required expertise to perform the duties of the assignment.
- Certification that the employee has voluntarily consented to the assignment.
- Certification showing CalHR notification was completed within 30 days of approving any assignment under Rule 440.

VII.

If the selected appointment was a temporary assignment for **injured employees** (see "A04" Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- SCO PIMS HIST Detail Information Item 215 noting "2CCR 441"
- Written statement that contains the following information: (1) Justification of the need for the assignment; (2) Duration and duties of the assignment; (3) Certification that a layoff by reason of such assignment will not become necessary in the appointing agency; and (4) Agency has verified the employee's medical condition.
- Certification that the employee has voluntarily consented to the assignment.

VIII.

If the appointment listed was a **temporary (TAU)** appointment, please provide the following additional documents next in order to the documents listed in Part I:

- Documentation explaining the reasons for the temporary appointment.
- Documentation showing the status of the position to which the temporary appointment was made (e.g., permanent, limited term, or temporary).
- Documentation showing that no employment list for the recruited classification(s) existed at the time of the temporary appointment or that Rule 265 applied to the recruited classification(s) at the time of the temporary appointment.
- If the temporary appointment was to a permanent position, documentation showing that no eligibles were available from an appropriate employment list during the tenure of the temporary appointment. If inapplicable, please check or X this box:

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- If the temporary appointment was to a permanent position, documentation showing that an appropriate employment list was established for the class to which the temporary appointment was made before the expiration of the appointment. If inapplicable, please check or X this box:
- If the temporary appointment was to a limited-term position and the agency continued the appointment for the life of the position, documentation showing prior approval of CalHR. If inapplicable, please check or X this box:

IX.

If the appointment listed was an **emergency** appointment (see “A02” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- Documentation explaining the reasons for the emergency appointment.
- Documentation showing the name of the employee appointed, duties of the position, and beginning and ending dates of the appointment.
- Documentation showing the method of selection and the qualification standards.
- If the emergency appointment involved an acting assignment pursuant to Rule 302.2, documentation showing the prior approval of CalHR or documentation showing the prior approval of CalHR was not required. If inapplicable, please check or X this box:

X.

If the appointment listed was a **promotion in place** (see “A01” Tab in the MRF Appointments-Compensation-Policy Spreadsheet), please provide the following documents:

- Request for Personnel Action (RPA) form and any accompanying documentation.
- Notice of Personnel Action (NOPA).
- Copy of current SCO PIMS Screen Printout or Employee History.
- Duty statements for previous position and new position.
- All probationary reports.
- Minimum qualification verification (e.g., any required degrees, certificates, or licenses) and copy of classification specification and, if applicable, alternate range criteria).
- Hired candidate’s state application

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- All correspondence pertaining to the promotion in place (e.g., hardcopies of any emails and other records of communication).
- Current and proposed organizational chart of the unit.
- Certification list used for the promotion in place with any notations (unless available in ECOS).
- Any records documenting the reasons why the employee was promoted in place.
- Documentation showing the Department did notify all employees within the unit who were eligible and reachable but not selected within a written explanation of why they were not selected including outline the necessary competencies and training opportunities pursuant rule 242 (B). If inapplicable, please check or X this box:

XI.

Provide a list of the **five** most recent **unlawful appointment investigations** initiated by the Department in the last 12 months, including:

- The complete investigation file, including any notations made on documents.
- Emails or other records of communication related to the investigation.
- Delegation agreement.
- Employee's application.
- SCO PIMS Employee History Summary (pages encompassing voided appointment).
- All written notices and documents provided to the employee, including the Discovery of a Potential Unlawful Appointment and Investigation, Written Notice of the Preliminary Determination, and Written Notice of the Final Determination.

NOTES/COMMENTS:
