



**DATE:** August 15, 2008

**TO:** ALL STATE AGENCIES, EMPLOYEE ORGANIZATIONS, AND MEMBERS OF THE GOVERNOR'S CABINET

**FROM:** STATE PERSONNEL BOARD/HUMAN RESOURCES MODERNIZATION PROJECT

**SUBJECT:** THREE-RANK ELIGIBLE LIST PILOT STUDY

On June 10, 2008, the five-Member State Personnel Board (Board) approved the use of Three-Rank Eligible Lists in a two-year pilot study beginning July 1, 2008. The pilot study will be jointly coordinated by staff of the State Personnel Board (SPB) and the Human Resources Modernization Project (HR Mod). The purpose of this memorandum is to provide departments with direction concerning how to register to participate in the Three-Rank Eligible List Pilot Study.

#### Definition

A Three-Rank Eligible List is one in which all eligibles who meet the minimum qualifications for a classification and pass the examination or Qualifications Assessment will be placed into one of three ranks, and all eligibles will be immediately reachable for appointment. The scores associated with each rank will be a score of 95 for the first rank, a score of 85 for the second rank, and a score of 75 for the third rank. Applicants who do not pass the examination will be assigned a score of 65 and will not appear on the eligible list.

#### Duration of the Pilot Study

The duration of the pilot study will be for two (2) years, concluding on June 30, 2010. During the pilot study, quarterly reports will be provided to the Board by HR Mod, beginning September 2008 and concluding June 2010. Should the pilot study be deemed successful by the Board, HR Mod will develop and promulgate policy prior to June 30, 2010, defining how requests for three-rank eligible lists will be evaluated and approved after June 30, 2010.

#### Examinations Approved to Be Included in the Pilot Study

Initial examinations approved by the Board to be included in the pilot study are:

- Examinations for classifications that require (for all minimum qualification patterns) a professional licensure, certification, registration, or specialized advanced degree. Examples of such classifications include Deputy Attorney General, Staff Counsel, Physician and Surgeon, and Registered Nurse.
- Examinations for classifications that facilitate the employment of persons with specialized needs and not currently represented in the Limited Employment and Appointment Program (LEAP). As one example, the Department of Developmental Services has identified Office Occupations Clerk as such an examination that is currently being administered to facilitate the hiring of persons with developmental disabilities.
- Consortium examinations being conducted in conjunction with the HR Mod Project. (Definition: A consortium examination is one in which all or nearly all user departments participate in its administration.) Currently, there are four examinations in this category, Environmental Scientist, Associate Toxicologist, Staff Toxicologist, and Research Scientist I.

Any examination for a classification that falls into one of the three categories is pre-approved for inclusion in the pilot study provided that the department(s) participating in the administration of the examination agree to adhere to all pilot study requirements and register with HR Mod using the attached registration/agreement form as prescribed in this memorandum.

#### Additional Examinations That May Be Included in the Pilot Study

Examinations that do not fall into any of the three categories may be considered for additional inclusion in the pilot study. Departments may request additional examinations by submitting a justification memorandum to HR Mod. Following a positive review, HR Mod will recommend to the Board that the additional examination be included in the pilot study. Such a recommendation will be communicated to the Board during a regular pilot study quarterly report.

#### Examinations That May Not Be Considered for Inclusion in the Pilot Study

Two categories of examinations that cannot be added to the pilot study are those for managerial classifications specifically designated by Government Code section 19057.2 as requiring six ranks and any classification for which the certification rule is not Rule of Three Ranks.

#### Requirements for Inclusion in the Pilot Study

Departments participating in the pilot study must agree to the following requirements:

- **Job Analysis.** For any examination to be included in the pilot study, there must be a validation study or job analysis on file and available for review. The participating

department(s) must administer the examination in accordance with the validation study/job analysis recommendations.

- **Baseline Statistical Data.** For any examination included in the pilot study, the participating department(s) must provide baseline statistical data covering the most recent examination(s) preceding the pilot study. Baseline data shall include duration of time encompassed by the reported baseline data, number of applicants, number of ranks, cutoff score methodology delineating ranks, number of reachable eligibles, number of appeals, number of appointments, and number of rejections during probation.
- **Comparative Statistical Data.** For any examination included in the pilot study, the participating department(s) must agree to provide six-month reports (July through December and January through June) of ongoing examination data comparable to the baseline statistical data, including number of applicants, cutoff score methodology delineating ranks, number of reachable eligibles, number of appeals, number of appointments, and number of rejections during probation.
- **Hiring Interview Process.** For any examination included in the pilot study, the participating department(s) must agree to maintain for each appointment from the three-rank eligible list a summary of the hiring process, including a statement of why the individual selected for appointment was the most qualified.
- **Probationary Period.** For any examination included in the pilot study, the participating department(s) must agree to complete all required probationary period reports on time for each appointment from the three-rank eligible list. A summary of probationary period report information must be provided to HR Mod covering each six-month period (July through December and January through June) during the pilot study.

#### Use of a Three-Rank Eligible List by Other Departments

If a department not involved in the administration of a pilot study examination should request to use a three-rank eligible list as an appropriate list, or to transfer an eligible from a three-rank eligible list to another list, the requesting department must agree to adhere to all pilot study requirements with respect to any appointment of an eligible from a three-rank eligible list.

#### Submission of the Registration/Agreement Form or Memorandum for Inclusion in the Pilot Study

The attached registration/agreement form must be completed in order to participate in the pilot study. The registration form, as well as requests that an additional examination outside

the pre-approved three categories be added to the pilot study, must be submitted to:

Michael Davis  
Human Resources Modernization Project  
801 Capitol Mall  
Sacramento, CA 95814

Questions regarding this memorandum may be directed to the Human Resources Modernization Project, Michael Davis, at (916) 651-2808, or e-mail at [michaeldavis@dpa.ca.gov](mailto:michaeldavis@dpa.ca.gov).

Original Signed By



Suzanne M. Ambrose  
Executive Officer  
State Personnel Board

## Three-Rank Eligible List Two-Year Pilot Study

A Three-Rank Eligible List is one in which all eligibles who meet the minimum qualifications for the classification and pass the examination or Qualifications Assessment will be placed into one of three ranks, and all eligibles will be immediately reachable for appointment. The scores associated with each rank will be: first rank = 95; second rank = 85; third rank = 75. Applicants who do not pass the examination will be assigned a score of 65 and will not appear on the eligible list.

The five-Member State Personnel Board has approved a two-year pilot study on the use of the Three-Rank Eligible List. Eligibility to participate in the Pilot Study is determined based on specific criteria and requirements outlined in this document. This document serves as an agreement between the department(s) named in Section A, the State Personnel Board (SPB), and Human Resources Modernization Project (HRMod).

### Section A: Registration Information

Examination Title:	
Department(s) Administering Examination:	
Date of Classification's Most Recent Validation Study/Job Analysis:	

### Section B: Eligibility Criteria

Before an examination is considered for participation in the two-year Pilot Study, it must meet one of the three criteria described below. Please place an "X" over the box of the category that applies to the named examination:

- Examination requires professional licensure, certification, registration, or a specialized advanced degree for all minimum qualification patterns.
  
- Examination is being administered to facilitate the employment of persons with specialized needs and is NOT currently represented in the Limited Employment and Appointment Program (LEAP).
  
- Examination is being administered, in conjunction with HRMod, as a Consortium Examination (nearly all user departments are participating in its administration).

## Section C: Requirements for Participation in the Pilot Study

- 1) **Current Job Analysis.** The examination must have a current validation study or job analysis on file and must be administered in accordance with its recommendations. The validation study/job analysis must be available for review by the SPB/HRMod.
- 2) **Baseline Statistical Data:** Baseline statistical data from the most recent examination preceding the pilot study examination shall be provided to SPB/HR Mod. Data shall include, but need not be limited to:
  - a. Duration of time encompassed by reported data
  - b. Number of applicants
  - c. Number of ranks
  - d. Cut-off score methodology delineating ranks
  - e. Number of reachable eligibles
  - f. Number of appeals
  - g. Number of appointments
  - h. Number of rejections during probation
- 3) **Comparative Statistical Data:** During the two-year pilot study, six-month reports (encompassing July through December and January through June) showing ongoing examination data comparable to the baseline statistical data described in "Section C. 2" shall be submitted to SPB/HR Mod on or before the conclusion of each six-month reporting period.
- 4) **Documentation of Hiring Interview Process:** During the two-year Pilot Study, a summary of the hiring process utilized for each appointment from the Three-Rank Eligible List shall be maintained. This summary shall include, but need not be limited to:
  - a) The position's job announcement.
  - b) The total number of applications received.
  - c) What, if any, supplemental information was requested prior to scheduling interviews.
  - d) The number of applicants interviewed.
  - e) A summary of the hiring interview process.
  - f) A statement describing what specific qualifications made the appointee the most qualified person for the position.
- 5) **Probationary Reports:** During the two-year pilot study, all probationary reports shall be completed on time, as required, for each appointment from the Three-Rank Eligible List. A six-month report (July through December and January through June) providing a summary of the probationary report information shall be submitted to SPB/HR Mod on or before the conclusion of each six-month reporting period. The summary shall include, but need not be limited to:
  - a) Total number of probationary reports required to date
  - b) Number of probationary reports completed on-schedule
  - c) Number of appointees exceeding expectations - overall
  - d) Number of appointees meeting expectations – overall
  - e) Number of appointees in need of improvement - overall

**REGISTRATION/AGREEMENT FORM**

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**Section D: Department Signature(s)**

I/We certify the examination named in Section A meets one of the three criteria to participate in the Three-Rank Eligible List Pilot Study, as described in Section B of this document, **AND** agree to adhere to the requirements set forth by the Board for participation in the Pilot Study, as outlined in Section C of this document.

Date:

Department:

Printed name and title of person  
signing agreement:

Signature of Director or Designee:

**Note: Consortium Examinations must have a signature of a representative from each participating department. Please attach additional signature pages as required.**

**Section E: Approval Signatures****State Personnel Board**

Date:

Printed name and title:

Signature:

**Human Resources Modernization Project**

Date:

Printed name and title:

Signature: