COUNTY OF LOS ANGELES
DEPARTMENT OF HUMAN RESOURCES

HEADQUARTERS
579 KENNETH HAHN HALL OF ADMINISTRATION • LOS ANGELES, CALIFORNIA 90012
(213) 974-2406 FAX (213) 621-0387

BRANCH OFFICE
3333 WILSHIRE BOULEVARD • LOS ANGELES, CALIFORNIA 90010
(213) 738-2222 FAX (213) 637-0820

MICHAEL J. HENRY
DIRECTOR OF PERSONNEL

July 17, 2006

To: Each Department Head

From: Michael J. Henry
Director of Personnel

Subject: **POLICY NO. 135, APPRAISAL OF PROMOTABILITY; POLICY NO. 150, ELIGIBLE LISTS, ELIGIBLE REGISTERS AND CERTIFICATION LISTS; POLICY NO. 700 LEAVE DONATION FOR NON-REPRESENTED EMPLOYEES**

The attached policies are being distributed for inclusion in the Human Resources Management System Policies, Procedures and Guideline Manual (PPG Manual). These policies, as well as all future policies, have been streamlined in a new format that provides a policy statement on a particular subject and also sets forth relevant guidelines and procedures.

Some of the specifics of the attached policies are as follows:

Appraisal of Promotability (Policy No. 135)

- This is a new policy that outlines the uniform application of standards and guidelines for the AP process.
- The policy defines the roles and responsibilities of raters, reviewers, review committees, and management.
- New procedures are included that allow candidates, upon request, to receive a copy of their AP, rater instructions, standards and rating scales within 180 calendar days from the date they were placed on the list/register.

Eligible Lists, Eligible Registers and Certification Lists (Policy No. 150)

- Revised policy that defines and distinguishes Eligible Lists, Eligible Registers and Certification Lists and provides standards and guidelines that are consistent with the Civil Service Rules and other legal provisions.

- New procedures are included that allow candidates, upon request, to receive copies of eligible lists.

Leave Donation for Non-Represented Employees (Policy No. 700)

- Replaces HR Report No. 6 and provides standards and guidelines for donating leave to non-represented employees in accordance with County Code Section 6.21.010.

Copies of the attached policies are being sent to each Personnel Officer for inclusion in your department's master copy of the PPG Manual under index Tabs 1 and 7, and for distribution to those with copies of the Manual.

A Resource Guide for each policy that will include supporting documents, definition of terms, applicable rules and regulations, sample forms, etc. will be forthcoming.

Questions regarding the policies should be directed to me, or your staff may contact Sandra K. Taylor, Human Resources Manager, at (213) 974-2616.

MJH:STS
SKT:RU

Attachment

c: Each Supervisor
Administrative Deputies
Personnel Officers

I: PPG's-NEW\Chapter 1\PPG MJH2 DH's071006

County of Los Angeles
Department of Human Resources
POLICIES, PROCEDURES, AND GUIDELINES

Subject:	Policy Number:	Page(s):
APPRAISAL OF PROMOTABILITY	135	4
	Effective Date: July 17, 2006	
	Approved By:	

POLICY

All Interdepartmental Promotional and Departmental Promotional examinations shall include an Appraisal of Promotability (AP). The AP may be excluded from the examination only upon approval from the Director of Personnel. In the event that the AP is excluded from the examination process, seniority, character, and efficiency shall be evaluated by one or more of the methods enumerated in Civil Service Rule 7.08.

GUIDELINES

It is the responsibility of the department to complete the AP of an employee who has current status in that department.

Weight

Civil Service Rule 7.13C indicates that the weight of an AP shall not exceed 50 percent of the total weight of the examination, except for management positions where the AP may be weighted as high as 100 percent.

It is recommended that an AP weight below 25 percent of the total weight of an exam should not be used.

Candidates should receive a final AP score of 70% or higher to be placed on the Eligible List/Register.

Documentation

All AP's must be documented in writing with factual supporting comments based upon an evaluation of the candidate's record as contained in his/her official personnel folder, and the candidate's seniority, efficiency and character in relation to the class or position being examined.

Rater

The present supervisor should complete the recommended AP ratings if the candidate has been supervised by the rater for at least six months. If an employee has been on the current job for less than 90 days, his or her AP should be completed by the previous supervisor. If the previous supervisor is not available, it should be completed by the

next person in the chain of command who is familiar with the work of the employee. If an employee has been on the current job for more than 90 days but less than six months, his or her previous supervisor should provide performance input to the rater before the AP is completed. It should be noted on the AP that the previous supervisor was consulted.

At no time should an individual act as a rater if he/she is also a candidate for the same examination.

At no time should a rater appraise a candidate for a position that is higher than the rater's current position.

At no time should a rater be directly or indirectly involved with the scoring of any other part of the examination, nor should the rater have knowledge of individual scores in other parts of the examination.

The rater is not allowed to discuss their recommended rating with the employee at any time during the examination process, because the rating is a recommendation only and may change.

Reviewer
The reviewer must be someone in a management or supervisory capacity and at least one functional level higher than the rater.

The reviewer ensures that the recommended ratings are in accordance with established standards and guidelines, reflect performance records and are properly supported by factual, written comments. The reviewer may make necessary changes to recommended ratings to be consistent with standards and procedures.

At no time should an individual act as a reviewer if the reviewer is also a candidate for the same examination.

The reviewer should not review the AP of a candidate for a position higher than the reviewer holds.

At no time should a reviewer be directly or indirectly involved with the scoring of any other part of the examination, nor should they have knowledge of individual scores in other parts of the examination.

The AP rating scale should not be included with the AP instructions and standards packet given to the rater and reviewer. However, the rating scale may be provided to a Review Committee for calculating the numeric scores.

Review Committee
A Review Committee can be used to review the completed AP's for management, specialized and department-wide classes, and consists of two or more managers who are at least one functional level higher than the rater.

The Review Committee ensures the following:

1. All procedures and standards are properly followed by the rater(s) and reviewer(s) in preparing/completing the AP's.
2. AP ratings are consistent with documented performance of candidate(s)
3. Supporting comments are appropriate and justify each factor rating.
4. The final ratings are consistent with the standards and rating scale established for the examination.
5. If a Review Committee is used to determine AP scores, all AP documents are considered recommendations only until the committee chair signs and affixes the score to the AP.

At no time will any member of the Review Committee be directly or indirectly involved with the scoring of any other part of the examination process, nor should they have knowledge of individual scores in other parts of the examination.

PROCEDURES

1. The exam analyst establishes the *appraisal factors* germane to successful performance of the job, as determined by the job analysis, which will be used in the AP.

2. The AP package consists of the following and is sent to the candidate's supervisor or manager:

   - *Class Specification* – a job description of the position for which the examination is being conducted.

   - *Job Bulletin* – the official job announcement that is published and posted for the position to be filled.

   - *General Standards* – guidelines that emphasize the importance of consistency and uniformity in appraising a candidate.

   - *AP Instructions* – procedures to be followed by raters, reviewers and/or the review committee in assessing the employee's potential to promote to the higher level.

   - *Rating Standards* – standards that differentiate levels of projected performance.

   - *Rating Form* – a form that reflects the candidate's name, social security number, department number, exam title, exam number, rating factors and the scale for each factor, comments section, and signature block.

3. The rater reviews the candidate's record of performance for at least the past three years as contained in the contents of the employee's official personnel file and any other relevant documentation (e.g., attendance records).

4. The rater prepares the AP and forwards his/her recommended ratings to the reviewer.

5. The reviewer ensures that AP's are accurate and standards are uniformly applied.

6. After completing the review, the reviewer returns the document to the Human Resources Division for calculation of the AP score based on the rating scale, which is a pre-established scoring guideline for assigning the final numeric score. The same numeric scale must be applied to all candidates in a given examination (See Resource Guide for standard rating scales that are used in the AP process). DHR must approve any deviations from the standard rating scales illustrated in the Resource Guide.

7. If a Review Committee is used, AP's are reviewed by the committee and overall numeric score may be assigned by the Review Committee.

8. The result of the examination is mailed to the candidate, who then has ten business days from the postmarked date on the envelope to file any written protest to the Director of Personnel. Upon request, a copy of the AP, including the instructions, standards, and rating scale must be provided to the candidate. Candidates may request a copy of their AP and related documents within 180 calendar days from the date they were placed on the list/register. No fee is charged to candidates for copies of the AP package and candidates may request copies without filing an appeal.

Any questions regarding this policy should be directed to the manager of the Department of Human Resources, Human Resources Departmental Support Division at (213) 974-2616. The staff of Human Resources Departmental Support Division is available to consult with departments on examination planning.

AUTHORITY

- Appendix 1 of Title 5 of the Los Angeles County Code, Civil Service Rules 7.08, 7.13, 7.19, and 7.20
- Policies, Procedures and Guidelines (PPG's) Manual - Chapter 1 Recruitment and Examining, Policy Nos. 145 and 195

DATE ISSUED/REVIEW DATE

Original Issue Date:	Review Date:
July 17, 2006	July 17, 2009

County of Los Angeles
Department of Human Resources
POLICIES, PROCEDURES, AND GUIDELINES

Subject:	Policy Number: 150	Page(s): 6
ELIGIBLE LISTS, ELIGIBLE REGISTERS AND CERTIFICATION LISTS	Effective Date: July 17, 2006	
	Approved By:	

POLICY

Eligible Lists, Eligible Registers and Certification Lists resulting from competitive examinations in the County shall be prepared in accordance with the Civil Service Rules and DHR Policies, Procedures, and Guidelines.

GUIDELINES

Eligible List

An "Eligible List" is composed of the names of candidates, who have successfully completed all parts of the examination and are placed in "group," i.e., band order. Eligible Lists result from "standard" examinations, i.e., those which had a set filing period and produced only one list.

Eligible Lists must have the following information:

- Examination name and number
- Promulgation date
- Date prepared or revised (e.g., revised due to rescoring or late test administration)
- Expiration date of the list (one year from the date of promulgation except when otherwise ordered)
- Type of recruitment - Open Competitive, Interdepartmental Promotional, Departmental Promotional
- Names of candidates who passed the examination in group order
- Within groups, candidates' names may be arranged randomly
- Names of candidates on withhold, the reason for withhold, and the appropriate withhold dates

After promulgation of the examination, Eligible Lists shall be retained for at least five years for record keeping purposes.

Eligible Register

An "Eligible Register" is promulgated from an examination that may be continuously or periodically open on an as needed basis. Examinations may be opened or suspended at any time depending on the needs of the service with the same exam number. Names of the successful candidates are added to the register on a periodic basis. Names of candidates whose eligibility has expired are removed from the register.

Eligible Registers must have the following information:

- Examination name and number
- Original promulgation date of the register
- Type of recruitment - Open Competitive, Interdepartmental Promotional, Departmental Promotional
- Names of candidates who passed the examination in group order
- Within groups, candidates' names may be arranged randomly
- Date of promulgation for each candidate
- Names of candidates on withhold, the reason for withhold, and the appropriate withhold dates

Eligible Registers may be revised from time to time (e.g., every 30 days) to remove the names of inactivated eligibles and to add new eligibles; however, preceding registers shall be retained for at least five years for record keeping purposes.

A new register shall be started and a new examination and bulletin number issued when there is a change in assessment methods, scoring formula, or cut-off score.

Disclosure of Names of Eligible Candidates

All Eligible Lists or Eligible Registers shall be open to inspection except when the Director of Personnel determines that disclosing the names of candidates for high-level management positions would jeopardize their current employment.

Upon request, candidates may receive copies of Eligible Lists and Eligible Registers within six months from the date that they were placed on the list. Copies of Eligible Lists and Eligible Registers can also be made available to the public pursuant to the California Public Records Act. The fees assessed for providing lists under the California Public Records Act are set forth in County Code Section 2.170.010.

Certification List

A "Certification List" is created from an Eligible List or Eligible Register. It is a listing of candidates on the Eligible List or Eligible Register who are within reach for appointment. Such lists may include names in the highest ranking group only or, if there are fewer than five eligible candidates available for appointment in that group, the names of eligible candidates in the next lower ranking group(s). Names of candidates shall be arranged on the list randomly, or when applicable, the names shall be ordered according to the Memorandum of Understanding requirements or other legal provisions

applicable to the County. If multiple groups are used, candidates' names are to be arranged randomly within each group.

The departmental Personnel Officer or a designated human resources supervisor must review and approve all the Certification Lists. For every appointment made, the department shall retain a copy of the certification list that was current at the time of job offer.

Withholds

Employees are allowed to compete for promotional examinations so long as they are within six months of meeting the minimum/selection requirements. By completing the examination process, the applicant's name is allowed to be placed on an Eligible List or Eligible Register, with an annotation of the specific date that he or she will meet the minimum/selection requirements. However, until that date, the candidate is not allowed to be considered for appointment, and thus cannot be included on any Certification Lists that might be generated. A candidate's name will be added to the newest Certification List once the minimum/selection requirements are met.

Restorations

An Eligible List that has expired or has been terminated may be "restored" by the Director of Personnel. Eligible Lists generally are only restored when the following conditions are met:

- The list is less than three years from the original promulgation date
- There is no active Eligible List or Eligible Register for the same class

A person appointed from the list must be eligible for appointment within the approved period. The appointment cannot be effective retroactively or during periods when the list was not valid.

Eligible Registers cannot be extended or restored.

Extensions

An Eligible List may be "extended" by the Director of Personnel for a specified period beyond the expiration date, if it has not expired. Eligible Lists generally are only extended when the following conditions are met:

- The list is less than three years from the original promulgation date
- There is no active Eligible List or Eligible Register for the same class

Substitute List

When there is no current list for a class, the use of a current Eligible List or Eligible Register for another class may be allowed with the approval of the Director of Personnel. Substitute Lists are generally only approved when the following conditions are met:

- There is no current Eligible List or Eligible Register for the class
- The substitute list must be the same or higher rank in an appropriate series
- The necessary knowledge, skills and abilities were adequately tested in the examination

Selective Certification

A Selective Certification may be established for special skills or other job-related criterion not tested in the examination. Departments may canvass a current Eligible List or Eligible Register to identify candidates with special skills that are appropriate/relevant to the classification title. The appointing power must obtain approval from the Director of Personnel for all Selective Certifications including bilingual skills. Selective Certification is not allowed when there is:

- A current list for the specialty or criteria requested
- A re-employment list for the same class (A Selective Certification may be conducted from the re-employment list)

Selection Criteria may include the following:

- Interdepartmental Promotional or Departmental Promotional certification from open competitive Eligible List/Register
- Departmental Promotional certification from interdepartmental examination.
- Proficiency in a language other than English when required for a specific assignment(s)
- Other job-related criteria, (e.g., specific kinds of job-related training or experience not tested in the examination)

Recurrent and temporary employees may be placed on promotional lists certified from Open Competitive or Interdepartmental Promotional exams, so long as they meet the criteria stated in Civil Service Rule 6.02.2 (i.e., completed at least 120 working days of satisfactory service as a recurrent or temporary employee and the class being examined is one in which they have status or is at a lower-level).

All the special requirements for Selective Certification must be a business necessity and essential for the job performance rather than a desirable attribute.

Terminations

When cause exists (an action that demonstrates that there was a violation of Civil Service Rules or exam guidelines in the examination process, or that may have caused disparate treatment of applicants or candidates), an Eligible List or Eligible Register may be terminated by the Director of Personnel after notifying all the candidates on the list.

The following are examples of reasons why an Eligible List or Eligible Register may be terminated:

- Inconsistency in applying examination standards
- Selection Requirements lower than the Minimum Requirements
- Inconsistency in test administration
- Exams for non-management positions having an Appraisal of Promotability weight of more than 50%
- Artificial barrier in the testing process that caused disparate treatment of candidates

PROCEDURES

When designing a recruitment and selection program, departments should decide whether the examination should be a "standard" examination which results in an Eligible List or an "open continuous or periodic" examination which results in an Eligible Register.

Creating an "Eligible List"

1. Establish open and close dates.
2. Determine the length of time that the list will remain valid.
3. Create and administer a standard examination.
4. After all tests have been scored, compile the results into a single list, organized by groups.
5. Arrange names within the groups randomly.
6. Ensure only required information is reflected on the list.

Creating an "Eligible Register"

1. Establish a period of time that candidates will have active status on the register.
2. Ensure that this period of time is published in the bulletin announcing the exam.
3. Administer an examination according to established selection plan.
4. Compile and update the register (e.g., every 30 days) as new results are available. Arrange names within groups randomly.
5. Ensure only required information is reflected on the list.

Obtaining and Using a "Certification List"

1. Select the individuals in the top group from an Eligible List or an Eligible Register. If there are fewer than five individuals within that group, include the candidates in the next highest group(s) until there are at least five eligibles.
2. Verify with the departmental exam staff that you have the most updated register. For certification lists generated from an Eligible Register, include each candidate's date of promulgation.
3. Arrange names on the certification list randomly within each group.
4. When applicable, order the names list according to the Memorandum of Understanding requirements or other legal provisions applicable to the County.
5. Compile these names onto a list and include pertinent contact information such as addresses and phone numbers. DO NOT INCLUDE SOCIAL SECURITY NUMBERS ON THE CERTIFICATION LIST.
6. Note any appointments or declined offers on the list and report to the appropriate human resources exam unit or operations staff.

Any questions regarding this policy should be directed to the manager of the Department of Human Resources, Human Resources Departmental Support Division at (213) 974-2616. The staff of Human Resources Departmental Support Division is available to consult with departments on examination planning.

AUTHORITY

Appendix 1 of Title 5 of the Los Angeles County Code, Civil Service Rules 6.04, 7.02, 10.01, 10.02, 10.04, 10.05, 10.06, 10.07, 10.10, 11.01, 11.02 and 11.04
California Public Records Act

DATE ISSUED/REVIEW DATE

Original Issue Date:	Review Date:
March 4, 1998	July 17, 2009

County of Los Angeles
Department of Human Resources
POLICIES, PROCEDURES, AND GUIDELINES

Subject:	Policy Number:	Page(s):
LEAVE DONATION FOR NON-REPRESENTED EMPLOYEES	700	3
	Effective Date: July 17, 2006	
	Approved By:	

POLICY

Non-Represented County employees are allowed to voluntarily donate leave to other non-represented employees who have exhausted all paid leave benefits due to serious illnesses or injuries, or who are absent due to an emergency specifically declared by the Board of Supervisors.

GUIDELINES

RECIPIENTS

A non-represented employee who is absent from work due to a serious illness or injury, or due to a Board declared emergency, may receive full pay sick leave, vacation, non-elective annual leave, and compensatory time from one or more non-represented employees on an hour-for-hour basis.

To be eligible to receive leave donations, employees must have exhausted all earned leave hours, including but not limited to sick leave, vacation (including elective and non-elective annual leave), compensatory time off for overtime and holiday time.

An employee who is receiving benefits for a work-related illness or injury under Section 6.20.070 of the County Code or Section 4850 of the Labor Code is not eligible for leave donations. However, an employee who is only receiving State-mandated Workers' Compensation benefits for such illness or injury is eligible.

The leave donation program for non-represented employees may not be used for maternity leave where an employee is not disabled, but is on a leave to be with a new baby.

The total donations received by an employee shall not exceed 1,040 hours, unless specifically approved by the employee's appointing authority or his/her designee. Any donated leave used by a recipient who is an exempt salaried employee under the Fair Labor Standards Act must be taken as provided in Chapter 6.09 of the County Code.

Leave donations are irrevocable. If any donated hours remain at the end of the employee's injury/illness or emergency leave, they shall remain for the sole use of the recipient, as otherwise permitted by the County Code, except that if the employee dies, the remaining 100% sick leave must be returned to the donor on a "last in first out basis." However, donated compensatory time that is not used is deemed lost at the end of the calendar year following the year in which it was donated, unless otherwise authorized by the Chief Administrative Officer.

DONORS

Upon the request of both the receiving employee and the donating employee(s), and upon approval of the receiving employee's appointing authority or designee, non-represented employees may donate accrued full pay sick leave, vacation, non-elective annual leave, or compensatory leave on an hour-for-hour basis. All current and deferred vacation hours and non-elective annual leave may be donated. However, only that portion of full pay sick leave in excess of 160 hours may be donated. Elective annual leave cannot be donated.

Leave donations for employees who are absent due to an emergency as declared by the Board of Supervisors are limited to current and deferred vacation hours and non-elective annual leave.

All leave donations are voluntary and must be a minimum of one hour and in whole hour increments thereafter.

Leave donations may be made between eligible employees in one department and shall also be allowed to cross departmental lines upon approval of the appointing authority of the receiving department (or his/her designee).

An employee's eligibility to participate in the sick leave reimbursement program is not affected by the donation of sick leave under this program. Leave donations of full pay sick hours will not count as sick leave used for purposes of applying Section 6.20.030F2 for the donating employee and will not adversely affect such employee's right to be paid for sick leave hours in lieu of carrying such hours as provided in that section.

DEPARTMENT

All requests for leave donations must be approved by the department head (or designee) of the employee to whom the leave is being donated to ensure such employee meets all the conditions to receive leave donations.

Upon approval of a request for donations, the appointing authority (or designee) shall, at the employee's request, post a notice of the eligible employee's need for donations on departmental bulletin boards accessible to employees. Confidential medical information shall not be included in the notice, unless specifically requested by the eligible employee and the employee waives confidentiality as to using such information in writing.

If the employee, because of his/her medical condition, is unable to complete the leave donation request himself/herself, it may be completed by an immediate family member. If an immediate family member is not available, it may be completed by the hiring authority or a designee.

Donations shall be administered according to procedures established by the Auditor-Controller and Chief Administrative Officer. Signed approvals of the donating and receiving employees must be provided in accordance with such procedures before a donation is processed.

PROCEDURES

An employee requesting leave donations must complete the "Request for Leave Donation - Non-Represented Employees (for absence due to illness or injury)" and submit it to the department head for approval. If requested by the employee, and after approval of the request from the department head, a notice will be posted by the department of the affected employee's need for leave donations.

For guidance on specific issues regarding this program, please call the Compensation Division of the Chief Administrative Office at (213) 974-2521.

AUTHORITY

- County Code Section 6.21.010, Leave Donation for Non-represented Employees.
- CAO February 7, 2005 memo to all Department Heads titled "Leave Donation for Non-Represented Employees." (See Resource Guide)
- CAO August 1, 1994 memo to all Department Heads titled "Leave Donation Program." (See Resource Guide)
- Request for Leave Donation forms for Represented and Non-represented Employees (See Resource Guide)

DATE ISSUED/REVIEW DATE

Original Issue Date:	Review Date:
October 3, 1996 (as HR Report #6)	July 17, 2011