

## Material Request Form Examination Files

During the compliance review, the State Personnel Board (SPB)'s Compliance Review Unit (CRU) will review documents relative to and a selection of civil service examinations, including Career Executive Assignment (CEA) examinations, and permanent withhold actions. 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, and, if applicable, bargaining unit agreements. Where deficiencies are identified, appropriate corrective action will be ordered.

### General Instructions:

**Unless otherwise indicated, all requested documents are documents that were created or issued during the applicable compliance review period. For Parts I through V, please see the attached MRF Examinations Spreadsheet. The civil service examinations, CEA examinations, and permanent withhold actions that will be reviewed are listed in the MRF Examinations Spreadsheet. For each matter listed, please provide the documents set forth under Parts I through V. All requested documents should be organized in the order listed. If a requested document does not exist, please include a brief written explanation setting forth the reasons why.**

### I.

For all **examinations** listed (see "Exams" and "CEA" tab in the MRF exams spreadsheet), including CEA examinations, please provide the following documents by examination and in the order listed below:

- Examination announcement.
- Examination planning documents, including but not limited to, any forms used.
- Job analysis.
- Form 511b.
- Any documentation showing the method used to calculate whether applicants seeking to take the examination satisfied minimum qualifications.
- All STD 678 applications, including any notations that were filed "within the time." (Rule 174.)
- All STD 678 applications, including any notations that were not filed "within the time" but were accepted. (Rule 174.)
- All STD 678 applications, including any notations that were not filed "within the time" and not accepted. (Rule 174.)
- List of accepted applicants; list of rejected applicants; and list of candidates who took the examination. These lists may be combined into one list, but the list must

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clearly indicate which applicants were accepted, rejected, and actually took the examination.

- All correspondence sent to applicants, including but not limited to, notices of the approval or disapproval of applications and scheduling of the examination.
- Exam date and time if applicable
- Documentation showing the pre-established, job-related scoring criteria of the examination. If not indicated on the documentation, please include a brief statement as to whether the Department or CalHR established the minimum qualifying ratings for each phase of the examination and final earned rating of each candidate taking the examination and when these ratings were established.
- A scoring results list that all candidates who took the examination that clearly indicates their name, raw score, associated civil service score (i.e., percentage), rank, exam date, list life, etc.
- Documentation showing the conversion method used to convert raw scores to the associated civil service scores.
- Notice of Personnel Action (NOPA) of the CEA appointee and job duties statement.
- Examination questions, statement of qualifications, and supplemental questionnaires, whichever were applicable to the examination.

### II.

For **service-wide classification examinations**, please provide next in order to those documents requested and provided above, the following additional documents by examination and in the order listed below:

- The Request to Administer Servicewide Classification (CalHR 041).
- If the Department shared the eligibility list for the examination with other state agencies, please provide a list of those agencies including the date the list was first shared.

### III.

If the examination used a **limited three-rank scoring** method, please provide next in order to those documents requested and provided above, the following additional documents by examination and in the order listed below:

- Documentation showing compliance with Rule 194(b) or CalHR 264 form.

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- If the Department did not follow the CalHR delegated authority model to use the limited three-rank scoring method, the CalHR Three Rank Exam Determination Form.
- Any documentation showing how the Department determined that the classification being tested for receives “a small number” of applicants.

### IV.

If the type of examination was a **Qualification Appraisal Panel (QAP)**, please provide next in order to those documents requested and provided above, the following additional documents by examination and in the order listed below:

- Any documentation showing how the Department determined the composition and number of QAP members.
- List of QAP members’ names, their classifications, working titles, and date(s) they served on the panel.
- Any documentation showing how the Department ensured that the QAP members understood and were familiar with the class qualifications subject to the examination, the merit principle, EEO laws, and Board rules related to examinations.
- Any documentation showing how the chairperson was selected.
- Documentation showing that the chairperson and, if another member acted as chairperson, were certified as deemed appropriate by CalHR. Chairperson certificate(s)
- If the examination used different compositions of QAP members for certain dates of the exam, please provide an explanation as to why it was not operationally feasible to use the same composition of QAP members for each exam date.
- Documentation related to the manner and means the Department’s EEO Officer used to monitor the composition of the QAP.
- Examination questions with any notes.
- Scores Result List that contains candidates’ name, raw score, rank, etc.
- Documentation showing the ratings given by each QAP member for each candidate and signed by the QAP member.
- Any notes taken by each QAP member during or after the examination.

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### V.

Please provide the following documents in the order listed below for all **permanent withhold actions** (see “Permanent Withholds” tab in the MRF exams spreadsheet).

- List of completed withhold actions log that includes the following information: (1) names of the applicants withheld; (2) classification to which the applicant sought appointment; (3) list accession date; and (4) date the withhold notification letter was mailed to the applicant
- The minimum qualifications withhold determination worksheet or for cause withhold determination worksheet, whichever is applicable to the reasons for the withhold.
- Classification specifications applicable to the withhold actions.
- Temporary and Permanent Withhold letters and any other correspondence sent to or received from a withhold applicant.
- Documentation, including but not limited to screen printouts, showing that the withhold action was processed in ECOS or by another procedure.

### NOTES/COMMENTS:

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