

**DUTCHESS COUNTY  
CIVIL SERVICE PROCEDURES MANUAL**



**February 2018**

**Dutchess County Department of Human Resources**

**22 Market Street**

**Poughkeepsie, NY 12601**

**845-486-2169**

**<http://www.dutchessny.gov>**

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# INTRODUCTION

The Dutchess County Department of Human Resources serves as the civil service agency for Dutchess County and all municipalities within the county, including cities, towns, villages, school districts, special districts and Dutchess Community College.

The purpose of this manual is to provide basic civil service information and explain civil service responsibilities for officials in the agencies under our jurisdiction.

Since we have provided information only on the activities with which you are most likely to be concerned, there are certain aspects of civil service administration not addressed in these pages. If you have any problems or concerns not discussed in this manual, we will be happy to assist in solving them as you bring them to our attention.

The appendix at the end of the manual contains samples of all forms and letters referred to in the text as well as relevant citations from the New York Civil Service Law.

## **Constitutional Basis of the Civil Service System**

The Merit system in New York is based on Article V, Section 6 of the State Constitution, which provides that appointments and promotions in the civil service of the state and all of the civil divisions shall be made according to merit and fitness and, as far as practicable, shall be in the competitive class. The State Civil Service Law was enacted to carry out this constitutional mandate.

## **Dutchess County Human Resource Department's Responsibilities**

The following outlines some of the statutory duties of a municipal civil service agency with citations from the sections of the State Civil Service Law that apply.

Each municipal civil service agency shall:

- Administer the provisions of the Civil Service Law with respect to the offices and employment in the classified service of the county and the civil divisions therein (CSL § 17);
- Prescribe, amend and enforce suitable rules covering jurisdictional and position classifications, examinations, appointments, promotions, transfers, resignations and reinstatements (CSL § 20);
- Have power to investigate the enforcement and effect of the Civil Service Law and Rules (CSL § 21);
- Certify appropriate titles for new positions (CSL § 22);
- Ascertain the merit and fitness of applicants for competitive class positions (CSL § 50);
- Certify eligible lists for appointment (Rule of Three) (CSL § 61);
- Assist others in carrying out the duties of public officers (CSL § 95);
- Maintain in detail the employment history of each employee (CSL § 97);
- Certify payrolls; use enforcement measures (CSL § 100-102).

## Responsibilities of Municipalities

The following is excerpted from Rule XX of The Rules for the Classified Civil Service of Dutchess County.

For the purpose of certification of payroll and to enable the Commissioner of Human Resources to keep an official roster of the classified service as required by law, ***each appointing officer, upon the date of official action in each case, shall report to the Commissioner of Human Resources*** as follows:

- Every appointment of employment whether permanent, probationary, provisional, contingent permanent, or temporary in the classified service, with the date of commencement of service and the title and compensation of the position;
- Every failure to accept an appointment by a person eligible, with copies of the offer or notice of appointment and the reply thereto, if any;
- Every discharge during or at the end of the probationary term with the date thereof;
- Every vacancy in a position, for whatever reason with the date thereof;
- Every position abolished, with the date of such abolition;
- Every change of compensation in a position, with the date thereof;
- Every promotion, giving positions from which and to which made, with the salaries and date thereof.
- Every transfer, giving the positions from which and to which made, with the salaries and date thereof.
- Every reinstatement in a position, with the date and duration thereof.
- Every leave of absence, with the date and duration thereof;
- Ever new position, giving a complete description of the duties thereof.

## CREATION OF NEW POSITIONS

Before any new positions can be created, Section 22 of the Civil Service Law requires the agency concerned to submit a statement of duties of the position to the Human Resources Department for review and classification. The phrase “any new position” is interpreted to include any additional positions that are created under a title that is already in use by your agency or any new title that does not currently exist. (**New Position Duties Statement – Form MSD 222**).

Submit forms to the Human Resources Associate assigned to your agency. Once the review is complete, you will be notified of the proposed title and jurisdictional class, i.e., competitive, non-competitive, exempt or labor. The jurisdictional class determines how the position may be filled. You will also receive a copy of the **class specification** if the title is new to your agency. This will include the title; distinguishing features of the class; typical work activities; required knowledge, skills and abilities; and minimum qualifications. The classification process is outlined in the ***Rules for the Classified Civil Service of Dutchess County***.

A list of all active positions in your agency in the classified civil service and the present incumbents of these positions may be requested from our Transactions unit. This report shows the assigned Civil Service title which **must** be used on all payrolls and personnel transactions and also includes jurisdictional classification of the positions.

This form can be completed AND submitted online with Adobe Acrobat Standard, Professional, or Adobe Reader Version 7.0 or later. Adobe Reader Version 6.0 and under users can complete it online then print and fax it to Dutchess County Department of Human Resources (fax information below).

22 Market Street  
Poughkeepsie, NY 12601  
FAX (845) 486-2186  
www.dutchessny.gov

**DUTCHESS COUNTY DEPARTMENT OF HUMAN  
RESOURCES**  
New Position Duties Statement (Form MSD-222)

**To be completed by appointing authority or department head** to request the creation of new position(s) in accordance with Section 22 of New York State Civil Service Law. One form may be used to create two or more identical positions in the same organizational unit.

1. Agency:

Position Location or Unit:

Number of Hours in Work Week:

Number of Positions Requested:

**2. Description of Duties:** Think of the job over a one-year period and list the major tasks or responsibilities, giving enough detail to give a clear picture of each task. Give an estimate of the percentage of time that each duty takes in relationship to the entire job (should total 100%). Remember to include infrequently performed duties if they are significant to the position.

% of Job	Description of Responsibility

3. Names and titles of individuals *supervising* this position, along with the nature of supervision (direct, general, administrative, etc.):

Name	Title	Nature of Supervision

4. Names and titles of individuals *supervised* by this position, along with the nature of supervision (direct, general, assignment/review of work, etc.):

Name	Title	Check Activities Performed
		<input type="checkbox"/> Interviewing
		<input type="checkbox"/> Hiring
		<input type="checkbox"/> Training
		<input type="checkbox"/> Review Work
		<input type="checkbox"/> Assign Work
		<input type="checkbox"/> Discipline
		<input type="checkbox"/> Job Appraisals
		<input type="checkbox"/> Employee Counseling

5. Names and titles of individuals doing substantially the same kind of work as new position.

Name	Title

6. What minimum qualifications do you think should be required of a candidate applying for this position?

EDUCATION:  High School Graduation  College – Years \_\_\_\_ Major \_\_\_\_\_  
 Vocational or Special Training – specify \_\_\_\_\_

EXPERIENCE (List type and minimum amount of time):  
 \_\_\_\_\_  
 \_\_\_\_\_

LICENSE OR CERTIFICATION REQUIRED (trade, professional, drivers, medical, etc.):  
 \_\_\_\_\_

7. *The above statements are complete and accurate.*

Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**CERTIFICATION OF DUTCHESS COUNTY DEPARTMENT OF HUMAN RESOURCES**

*In accordance with the provisions of Civil Service Law §22, the Dutchess County Department of Human Resources certifies that the appropriate Civil Service title for the position described is \_\_\_\_\_ and falls in or will be proposed for the \_\_\_\_\_ jurisdictional classification.  
 Number of positions: \_\_\_\_\_*

Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

## RECLASSIFICATIONS OF EXISTING POSITIONS

Similar procedures apply when the agency wishes to have the title of an existing position changed.

Submit forms (**Duties Statement – Form MSD 220**) to the Human Resources Associate assigned to your agency. A desk audit may be required to assist the Associate with the review of the position. Once the review is complete, you will be notified of the proposed title and jurisdictional class, i.e., competitive, non-competitive, exempt or labor. If an employee is currently in the position, they will be afforded an opportunity to appeal the decision.

If resulting reclassification review leads to a change in jurisdictional classification, the Associate will work with your agency in any civil service implications related to the change.

This form can be completed AND submitted online with Adobe Acrobat Standard, Professional, or Adobe Reader Version 7.0 or later. Adobe Reader Version 6.0 and under users can complete it online then print and fax it to Dutchess County Department of Human Resources (fax information below).

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 FAX (845) 486-2186  
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**DUTCHESS COUNTY DEPARTMENT OF HUMAN  
 RESOURCES**  
 Duties Statement (Form MSD-220)

**To be completed by current incumbent of position under review.** Items 14 through 17 are to be completed by the immediate supervisor of position. Items 18 and 19 are to be completed by department head or ultimate appointing authority.

<b>1. Name (Last, First):</b> _____	<b>2. Agency:</b> _____
<b>3. Current Title:</b> _____	<b>4. Dept. or Division:</b> _____
<b>5. Time with Agency (yrs/mos):</b> _____	<b>6. Time in Current Title (yrs/mos):</b> _____
<b>7. Hours in Work Week:</b> _____	<b>8. Current Salary:</b> _____

**9. Description of Duties:** Think of the job over a one-year period and list the major tasks or responsibilities, giving enough detail to give a clear picture of each task. Give an estimate of the percentage of time that each duty takes in relationship to the entire job (should total 100%). Remember to include infrequently performed duties if they are significant to the position.

% of Job	Description of Responsibility

**10. Names and titles of individuals *supervising* this position, along with the nature of supervision (direct, general, administrative, etc.):**

Name	Title	Nature of Supervision

11. Names and titles of individuals *supervised* by this position, along with the nature of supervision (direct, general, assignment/review of work, etc.):

Name	Title	Check Activities Performed
		<input type="checkbox"/> Interviewing
		<input type="checkbox"/> Hiring
		<input type="checkbox"/> Training
		<input type="checkbox"/> Review Work
		<input type="checkbox"/> Assign Work
		<input type="checkbox"/> Discipline
		<input type="checkbox"/> Job Appraisals
		<input type="checkbox"/> Employee Counseling

12. Summarize your work responsibilities as you understand them (what is the primary purpose of your job):

\_\_\_\_\_

13. The above statements are complete and accurate:

Employees Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**TO BE COMPLETED BY IMMEDIATE SUPERVISOR OF THE POSITION**

14. Are the above statements of the employee accurate and complete? If not, explain omissions or discrepancies:

\_\_\_\_\_

15. Give your idea of the essential nature of the work and responsibilities of the position and the supervision it requires:

\_\_\_\_\_

16. What minimum qualifications do you think should be required of a candidate applying for this position?

EDUCATION:  High School Graduation  College – Years \_\_\_\_ Major \_\_\_\_\_  
 Vocational or Special Training – specify \_\_\_\_\_

EXPERIENCE (List type and minimum amount of time):

\_\_\_\_\_

LICENSE OR CERTIFICATION REQUIRED (trade, professional, drivers, medical, etc.):

\_\_\_\_\_

17. Signature:

Title:

Date:

**TO BE COMPLETED BY THE DEPARTMENT HEAD OR APPOINTING AUTHORITY**

18. Please comment on the above statements of employee and supervisor:

19. Signature:

Title:

Date:

**CERTIFICATION OF DUTCHESS COUNTY DEPARTMENT OF HUMAN RESOURCES**

*In accordance with the provisions of Civil Service Law §22, the Dutchess County Department of Human Resources certifies that the appropriate Civil Service title for the position described is \_\_\_\_\_ and falls in or will be proposed for the \_\_\_\_\_ jurisdictional classification.  
Number of positions: \_\_\_\_\_*

Signature:

Title:

Date:

## **Appointments to Positions in the Competitive Class**

It is important to remember that in filling a competitive class vacancy, our Examinations Unit must be contacted before the position is offered to anyone. A Certification of Eligibles is to be requested on a **Request for Certification of Eligible List** form when a vacancy is available.

If an **eligible list** is in existence, we will certify this list, which contains the names of candidates who have already taken and passed an appropriate examination in order of their final scores.

If a **promotion list** containing the names of current employees of your agency exists, this will be certified prior to an open-competitive list; the promotion list must be used to fill vacancies as long as it contains the names of at least three interested eligibles.

### **Residence Preference**

A municipality may request that a certification of residents of that municipality be issued from an open competitive list before any other eligibles in accordance with Section 23.4a of the Civil Service Law. After the list of resident eligibles is exhausted, the whole list must be used. Once an appointing authority makes an appointment from a resident certification, he/she must continue to use resident certifications until the list of residents is exhausted. Only then may the general list of eligibles be certified. However, should appointments be made initially from the general list, appointing authorities may then subsequently request a resident certification of eligibles. Resident certification cannot be issued from promotion eligible lists.

This form can be completed AND submitted online with Adobe Acrobat Standard, Professional, or Adobe Reader Version 7.0 or later. Adobe Reader Version 6.0 and under users can complete it online then print and fax it to Dutchess County Department of Human Resources (fax information below).

### REQUEST FOR CERTIFICATION OF ELIGIBLE LIST

<p><b>Dutchess County Department of Human Resources</b>  <b>Examinations Unit</b>  <b>22 Market Street</b>  <b>Poughkeepsie, NY 12601</b>          ♦♦♦♦♦♦♦♦♦♦  <b>FAX: 486 - 2186</b></p>	<p><b><i>Instructions...</i></b></p> <ul style="list-style-type: none"> <li>♦ Complete and submit by mail or FAX to request a certification of eligibles to make a <i>permanent, temporary</i> or <i>contingent permanent</i> appointment.</li> <li>♦ Use a separate form for each title you wish to appoint to.</li> <li>♦ No provisional or temporary appointment can be approved if there is an appropriate eligible list available.</li> <li>♦ For further information, call 486 - 2169.</li> </ul>
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**Department / Agency Information:**

<p>Date: _____</p> <p>Dept./Agency: _____</p> <p>Address: _____</p> <p>_____</p> <p>Contact/Phone: _____ - _____ (Ext. _____)</p>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>Dutchess County</b></td> <td style="text-align: center;"><b>Depts Only</b></td> </tr> <tr> <td>Dept. Number: _____</td> <td>_____</td> </tr> <tr> <td>Budget Line #: _____</td> <td>_____</td> </tr> <tr> <td>Vac Approval Date: _____</td> <td>_____</td> </tr> </table>	<b>Dutchess County</b>	<b>Depts Only</b>	Dept. Number: _____	_____	Budget Line #: _____	_____	Vac Approval Date: _____	_____
<b>Dutchess County</b>	<b>Depts Only</b>								
Dept. Number: _____	_____								
Budget Line #: _____	_____								
Vac Approval Date: _____	_____								
Signature/Title of Appointing Officer: _____									

**Position Information:**

<p>Title: _____</p> <p>Unit/Division/Location: _____</p> <p>Number of Vacancies to be Filled: _____</p>	<p>Appointing Salary: _____</p> <p>Hours (from/to): _____</p> <p>School Clerical (circle):</p> <p><input type="radio"/> 12 month    <input type="radio"/> 10 month</p>
---------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------

**Type of Appointment:**

<p><input type="checkbox"/> Permanent Probationary</p>	<p><input type="checkbox"/> New position classified _____</p> <p><input type="checkbox"/> Position last held by _____, who:</p> <p style="padding-left: 20px;"><input type="checkbox"/> resigned/terminated on _____</p> <p style="padding-left: 20px;"><input type="checkbox"/> was promoted and completed probation</p> <p style="padding-left: 20px;"><input type="checkbox"/> transferred and completed probation</p>
<p><input type="checkbox"/> Temporary</p>	<p><input type="checkbox"/> Position held by _____, who was granted a leave of absence for:</p> <p style="padding-left: 20px;"><input type="checkbox"/> promotion to another position    <input type="checkbox"/> sick leave</p> <p style="padding-left: 20px;"><input type="checkbox"/> military leave    <input type="checkbox"/> other _____</p> <p><input type="checkbox"/> Position created temporarily on _____</p>
<p><input type="checkbox"/> Contingent Permanent</p>	<p><input type="checkbox"/> Position last held by _____, who was promoted to _____, and is:</p> <p style="padding-left: 20px;"><input type="checkbox"/> provisional    <input type="checkbox"/> temporary    <input type="checkbox"/> serving probation</p>

## Canvassing the Certification of Eligible List

The process of canvassing the eligible list for a competitive class vacancy can be time consuming and somewhat confusing. Please remember it is essential that it be done correctly. Improper canvassing of the eligible list and making unauthorized appointments can be costly to your agency and can cause harm to candidates who may leave their current employment, only to learn that they were appointed illegally by the agency. Please follow the following steps, complete forms properly, submit all documentation in a timely manner, and call for assistance when you are unsure.

### General Procedures

- **agency** verifies they have a competitive class vacancy (if not available, complete a *New Position Duties Statement* and submit to your Associate for classification)
- **agency** completes a *Request for Certification of Eligible List* and sends to the Examinations Unit of the Dutchess County Department of Human Resources
- Examinations Unit compiles and sends the appropriate *Certification of Eligibles* to the agency, for a period not to exceed 60 days (90 days for Police Officer)
- **agency** sends appropriate *Canvass Letter* to candidates, giving them 7 business days to respond. *Copies of these letters must be kept.*
- candidates complete and return *Canvass Response Letter* to the agency
- **agency** reviews the returned material, interviews interested candidates, and makes a selection using the Rule of Three

**RULE OF THREE:** Rank all candidates willing to accept the position in order of score on the list. Count down to the third name on the list. Those top 3 individuals, and anyone who has the same score as the third candidate, are reachable and eligible for appointment. Examples:

Candidates willing to accept position	Score	Those who may be appointed
Candidate Ranked #1	100	reachable
Candidate Ranked #2	85	reachable
Candidate Ranked #3	80	reachable
Candidate Ranked #4	75	
Candidate Ranked #5	75	
Candidate Ranked #6	70	
Candidate Ranked #7	70	

Candidates willing to accept position	Score	Those who may be appointed
Candidate Ranked #1	95	reachable
Candidate Ranked #2	90	reachable
Candidate Ranked #3	90	reachable
Candidate Ranked #4	90	reachable (tied with #3)
Candidate Ranked #5	90	reachable (tied with #3)
Candidate Ranked #6	85	
Candidate Ranked #7	80	

- **agency** sends *Not Selected* see letters to those candidates who indicated an interest but were not appointed to the position
- **agency** completes the *Certification of Eligibles* by writing in under the Report of Action column how each candidate responded, including those who did not respond, using the codes listed on the back of the form
- **agency** indicates the selected candidate, lists the starting salary and the effective date of appointment under the appropriate columns of the *Certification of Eligibles*
- **agency** returns the following items to Personnel
  - *Certification of Eligibles*, with appropriate information filled in and signed by the appointing authority
  - copies of all *Canvass Letters* sent to candidates
  - copies of all *Canvass Response Letters* returned by candidates

- copies of *Not Selected* letters sent to interested candidates not appointed
  - *Report of Personnel Change Form* appointing the reachable candidate
- Dutchess County Department of Human Resources reviews the documentation for conformance to Civil Service Law and Rules and processes the appointment

### **Canvassing for a Contingent Permanent Position**

A position left temporarily vacant by the leave of absence of a permanent incumbent may be filled as a contingent permanent appointment, if the agency so chooses. Any candidate appointed on a contingent permanent basis shall have or earn certain rights, as outlined in Rule XV, Section 5 of the Rules for the Classified Service of Dutchess County. If the agency is interested in making such an appointment, they should indicate so on the *Request for Certification of Eligible List*, and use the appropriate *Canvass Letter*. Otherwise, use the same process for canvassing an eligible list.

### **Canvassing for a Temporary Position**

A position encumbered by another employee may be filled on a temporary basis, in accordance with Section 64 of Civil Service Law. Such appointments are regulated by the expected length of the temporary appointment as follows:

<b>Time Period</b>	<b>Requirement</b>
not exceeding 3 months	candidate only needs to meet minimum qualifications for position
exceeding 3 months but not to exceed 6 months	candidate must be selected from an appropriate eligible list without regard to standing
exceeding 6 months or of an unknown duration	candidate must be selected from the appropriate eligible list after canvassing and using the Rule of Three

## *SAMPLE CANVAS LETTER*

**Date**

**Name**

**Address**

**Address**

Dear Candidate:

Your name currently appears on the eligible list established by the Dutchess County Personnel Department for the position of \_\_\_\_\_.  
At present there is a vacancy for this position in the \_\_\_\_\_ at a starting salary of \_\_\_\_\_.

Since this is an inquiry as to your interest and availability, please complete the attached Canvass Response Letter and return it to this office within seven business days. Failure to reply to this canvass will be considered a declination by the Dutchess County Personnel Department and this office. If you decline a position, your name will be removed from further certification for this title unless specific declination is made for one or more of the following reasons: (a) insufficient compensation; (b) geographic location of position; (c) temporary inability, physical or otherwise, which must be satisfactorily explained by the applicant in writing.

[*optional*] If you are interested in this position, please call \_\_\_\_\_ at \_\_\_\_\_ to arrange an interview.

Sincerely,

\_\_\_\_\_

## ***SAMPLE CANVAS RESPONSE LETTER***

(must be returned within 7 business days)

Return To:    agency's name  
                  address

Re:            title of position  
From:        candidate's name

Please check the appropriate box(es) and complete information as necessary.

I am interested in this position. [optional] I understand that I must call \_\_\_\_\_ at \_\_\_\_\_ by \_\_\_\_\_ to arrange an interview.

I am not interested in this position and understand that my name will be removed from the eligible list.

I am not interested in this position due to the following reason:

Insufficient compensation

Geographic location of the position

Temporary inability to accept due to \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Other: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_

Day Phone: \_\_\_\_\_

Date: \_\_\_\_\_

Evening Phone: \_\_\_\_\_

***SAMPLE "NOT SELECTED" LETTER***

**Date**

**Name**  
**Address**

Dear \_\_\_\_\_:

Thank you for your interest in the position of \_\_\_\_\_ with our agency.

We have, however, selected another candidate for this position.

Your name will remain on the eligible list and you will be considered for future openings.

Sincerely,

\_\_\_\_\_

## Appointing a Provisional

If an appropriate eligible list is not available or is non-mandatory (i.e., 2 or less candidates willing to accept appointment), Dutchess County Department of Human Resources may give permission to make a provisional appointment after reviewing the agencies *Request for Certification of Eligible List*. Examinations Unit will also order the appropriate exam from the State within 30 days of the appointment of the provisional.

The agency may appoint any candidate whose application has been reviewed and approved by our office to confirm candidate meets the minimum qualifications. Candidates accepting a provisional appointment ***must*** be notified by your agency they will need to take an examination at a later date and be reachable on an eligible list in order to obtain permanent status to the position.

### **Appointments to Positions in the Non – Competitive Class**

Appointments to these positions may be made of an individual whose application has been reviewed and approved by our office to confirm candidate meets the minimum qualifications.

To employ someone in a non-competitive class position, you must submit ***prior to appointment***:

- a completed **Dutchess County General Application** stating the qualifications of the individual.
  
- an **RPC** form with all required information.

Positions in the non-competitive class are listed in Appendix B of **The Rules for the Classified Civil Service of Dutchess County**.

### **Appointments to Positions in the Labor Class**

Appointments to any position in the Labor Class may be made by simply completing and submitting a **RPC** form ***prior to appointment***. The appointing officer may appoint an individual they deem qualified and physically capable of performing the duties of the position.

Positions in the Labor class are listed in Appendix C of **The Rules for the Classified Civil Service of Dutchess County**.

## **APPOINTMENTS TO POSITIONS IN THE EXEMPT CLASS**

Appointments to positions in the Exempt Class need to be reported through the use of the **RPC** form.

Section 41.2 of the Civil Service Law requires us to review the duties of each Exempt Class position upon the occurrence of a vacancy to determine if the position is properly classified. The position may only be filled on a temporary basis during the time the position is being reviewed.

Upon receipt of an **RPC** reporting an Exempt class position vacancy, we will send an Exempt Class Review form to be completed by your agency and returned to our office. We will review the duties of the position and notify you if the position is properly classified in the Exempt class or if it needs to be reclassified. If properly classified, you may make a permanent appointment to the position.

Positions in the Exempt Class are listed in **Appendix A of The Rules for the Classified Civil Service of Dutchess County.**

**Exempt Class Review Form****Dutchess County  
Department of Human Resources****SECTION I – To be completed by Dutchess County Employee Relations/Transactions Unit**

Date:	
Position Title/Position Number:	
Department/Jurisdiction:	
Date position was vacated: (Date on RPC)	
Contact for Questions:	

**SECTION II – To be completed by Department/Jurisdiction**

<b>The duties of the above position:</b>	<input type="checkbox"/> Remain essentially unchanged <input type="checkbox"/> Have significantly changed*
------------------------------------------	---------------------------------------------------------------------------------------------------------------

\*If you checked the position has changed, please provide details below (attach additional sheets if necessary):

<b>Appointing Authority (Print):</b>	<b>Signature:</b>
<b>Date:</b>	<b>Title:</b>

**SECTION III – To be completed by Dutchess County Department of Human Resources**

The above position is:	<input type="checkbox"/> Properly classified in the Exempt Class <input type="checkbox"/> Exempt Class withdrawn/position is reclassified*
*Position is reclassified as:	<input type="checkbox"/> Competitive <input type="checkbox"/> Non-Competitive <input type="checkbox"/> Labor <input type="checkbox"/> Unclassified
Comments:	
Approved by:	
Effective date:	

## PROBATIONARY PERIOD

*The Rules for the Classified Civil Service of Dutchess County* states that every new employee who receives a permanent or contingent appointment must serve a probationary period. The rule extends to new appointments in all branches of the classified service (competitive, non-competitive, labor and exempt classes), as well as, probationary periods upon promotion, transfer and reinstatement.

All appointments have a minimum probationary period of 8 weeks. During this time, the employee may only be removed from the position following the due process procedures in accordance with Civil Service Law or any applicable collective bargaining agreement. After the minimum probationary period up to the maximum probationary period, an employee may be terminated for unsatisfactory service after written notification in accordance with Dutchess County Rules.

When an employee completes their probationary period, submit an RPC to our office indicating the date of completion. The Transactions Unit will update the employee's roster with this information.

## DISCIPLINARY ACTION

Section 75 of the Civil Service law describes in detail the procedures that must be followed when disciplinary action is taken against employees entitled to the protection of such law.

It also identifies employees covered by this section of the law including:

- Employees whose positions are in the competitive class and who have completed their probationary period.
- Employees who are war veterans or exempt firefighters and whose positions are in the non-competitive, exempt or labor class.
- Employees who have completed five years of continuous service in a position in the non-competitive class, except where designated as policy-influencing or confidential. (The positions of Private Secretary, cashier or Deputy of any official or department are exceptions and are not protected).

You should familiarize yourself with the requirements of Section 75 and any applicable collective bargaining unit agreements before disciplining employees. We also recommend contacting your legal counsel in these situations.

## LAYOFFS

In the event of the need for a reduction in force, where you are contemplating laying off employees, please ***contact our office immediately***. Civil Service Law governs the procedures that must be followed when competitive class positions are abolished or when positions in the non-competitive or labor classes that are occupied by war veterans or exempt volunteer firefighters are eliminated.

There are rules and regulations for determining seniority and retention dates, as well as for bumping and retreat rights. In addition, there may be the need to establish preferred eligible lists.

Because of the complexities, it is important to provide our office with sufficient lead-time to ensure all employees' rights are protected. You should contact our office as soon as you know you will be eliminating positions.

## PAYROLL CERTIFICATION PROCESS

New York State Civil Service law provides that an appointing authority cannot “approve or pay or take any part in approving or paying any salary or compensation for personal service to any person holding an office or position in the classified service unless the voucher or payroll therefore bears the certification of the ...municipal commission having jurisdiction that the persons named therein are employed in their respective positions in accordance with law and rules made pursuant to law.”

The following information **must** be included on all payrolls:

- Name of Employee and Civil Service Title
- Salary (Annual or Hourly Rate) as reported on RPC
- Number of hours worked for that payroll period
- Retirement number

**Should your payroll not be able to generate all the required information as noted above, it should be manually entered on your payroll prior to submitting for certification.**

To avoid the withholding of certification, please submit any personnel actions ***as they occur and prior to the payroll audit.***

The Dutchess County Human Resources Department requires a minimum of one payroll to be submitted for certification each year. Your agency will be given advance notice when your payroll is to be submitted for certification.

## Reporting Personnel Transactions

Section 97.2 of Civil Service Law requires each local civil service office to maintain an official roster of classified employees under its jurisdiction. The roster record must contain data on the employment history of each employee from appointment through separation from service.

**Report of Personnel Change (RPC) form** *must be submitted for all transactions listed in Rule XX of The Rules for the Classified Civil Service of Dutchess County.*

Use the **RPC** to keep track of roster information. Submit an **RPC** for each personnel transaction (excludes substitutes) as it occurs. Unreported appointment or changes negatively impact employees, and may subject appointing authorities to legal action.

**Section 1** Information about the employee and the position (eg. name, address, title, vet status, etc.). This provides our office with additional information, which may involve the employee's rights under Civil Service Law. For example, being a war veteran or an exempt volunteer fire fighter may affect an employee's rights during acts of discipline or layoff.

**Section 2** Information regarding the nature of transaction, required documentation, and effective date must be submitted to complete the transaction. It is this information that will be used to construct the employee's civil service work history.

**Section 3** The RPC constitutes an official legal document and must be signed by the appointing authority or legally designated representative to be processed by our office. Forms that are received with unauthorized signatures cannot be processed and must be returned to the agency.

In addition, there is a space for additional remarks so that the appointing authority can clarify certain aspects of the transaction.

**Section 4** provides space for our office to rule the transaction and certify that the action conforms to the provisions of Civil Service Law and rules.

## User Agency Logon

Our IT department has developed a website to assist you with meeting Civil Service requirements. This website is currently available to your agency. It contains basic information on the examination process, reporting requirements, payroll certification and General Civil Service information.

In addition the site has all the critical reporting forms available in Adobe Acrobat Portable Document Format (.pdf). The forms were developed so that you may fill in the information, print copies, and send those copies to our office; or, if you have Adobe Acrobat Standard, Professional, or Adobe Reader Version 7.0 or later, you may submit them directly by e-mail.

Section 97 of Civil Service law requires the appointing authority to report in detail the employment history of all employees on specific Civil Service documents. With the implementation of accepting Civil Service documents electronically, the appointing authority or agency's personnel officer will need to create a password protected digital signature to sign forms for submission by e-mail to [transactions@dutchessny.gov](mailto:transactions@dutchessny.gov).

There are instructions on the home page of the website on how to set up a digital signature. During the setup process the agency may at its own discretion choose an option to allow selected employees to share that password protected signature subject to your own internal controls.

This resource is available as a secure area of our county website. To view the password protected webpage, click on the following link:

<https://www.co.dutchess.ny.us/PerSec/UserAgencies.htm>

Username: **personnel**

Password: **per77ab**

We hope this site will be helpful to you, please do not hesitate to call us if you have questions or need additional information. We welcome your comments and suggestions for future development of this website.



The screenshot shows the Dutchessny.GOV website. The main header includes the logo and a search bar. The navigation menu lists: County Government, Municipalities, Schools, Business & Community, and Tourism, Arts & Leisure. The breadcrumb trail reads: County Government >> Departments >> Human Resources. The left sidebar contains an 'Info Finder' with links to: Department Info, Local Municipalities, User Agency Logon, Municipalities Served, About Human Resources, Resources, Office of Risk Management, Important Exam Info, General Exam Info, Class Specification Search, Job Opportunities & Current Exam Announcements, and Commission on Human Rights. The main content area features a profile for Steven J. Rastor, Commissioner of the Department of Human Resources, with contact information: 22 Market Street - 5th Floor, Poughkeepsie, NY 12601, Voice (845) 486-2189, Fax (845) 486-2186, Exam Info: (845) 486-2167, and Business Hours: 9:00 am - 5:00 pm, Monday - Friday. Below this is a 'Mission Statement' section. The right sidebar includes 'Accessibility' options (Language and Accessibility Options, User Guide) and a 'DutchessDelivery' sign-up/sign-in link. At the bottom right, there is a calendar for February 2015.

## Digital Signature Setup

To send your Certificate to the department of human Resources – Adobe Version 7 and above:

- 1) Choose **Advanced > Security Settings**
- 2) Select **Digital IDs** on the left.
- 3) Verify that your certificate information is correct: Select the digital ID you want to share, and click the **Certificate Details** button. Click **OK** to return to the Security Settings dialog box.
- 4) With the digital ID selected, click the **Export** button.
- 5) Select **E-Mail the Data to Someone**, and click **Next** to send your certificate as a PDF file to another user. Type the following e-mail addresses in the exact format shown below.

[transactions@dutchessny.gov](mailto:transactions@dutchessny.gov), [bfredrick@dutchessny.gov](mailto:bfredrick@dutchessny.gov),  
[kgrecco@dutchessny.gov](mailto:kgrecco@dutchessny.gov), [acerchia@dutchessny.gov](mailto:acerchia@dutchessny.gov), [kmenuau@dutchessny.gov](mailto:kmenuau@dutchessny.gov),  
[cjunge@dutchessny.gov](mailto:cjunge@dutchessny.gov), [soutwater@dutchessny.gov](mailto:soutwater@dutchessny.gov), [chertzog@dutchessny.gov](mailto:chertzog@dutchessny.gov),  
[hhastie@dutchessny.gov](mailto:hhastie@dutchessny.gov)

Click **E-Mail**, and then send the e-mail message that appears in the default e-mail application.

To send your Certificate to the Department of Human Resources – Adobe Version 6:

- 1) Choose **Document > Manage Digital IDs > My digital ID**
- 2) Select the digital ID to export and click **Export**.
- 3) Follow step 5 above to e-mail to the Department of Human Resources contacts listed.

# DUTCHESS COUNTY DEPARTMENT OF HUMAN RESOURCES

## Report of Human Resources Change Form and Supplementary Payroll Certification

DATE: \_\_\_\_\_ NAME: \_\_\_\_\_  
 AGENCY: \_\_\_\_\_ ADDRESS: \_\_\_\_\_  
 POSITION TITLE: \_\_\_\_\_  
 POSITION NUMBER: \_\_\_\_\_ PHONE: (\_\_\_\_) \_\_\_\_\_  
 FULL TIME:  PART TIME:  HOURLY:  DATE OF BIRTH: \_\_\_\_\_  
 SALARY: \_\_\_\_\_ SOCIAL SECURITY #: \_\_\_\_\_  
 LAST EMPLOYEE IN POSITION: \_\_\_\_\_ RETIREMENT #: \_\_\_\_\_  
 Non-Veteran  Veteran  Disabled Veteran  
 Exempt Volunteer Fireman

	CHECK NATURE OF PERSONNEL CHANGE	ACTION NECESSARY BY APPOINTING OFFICER	EFFECTIVE DATE
<b>APPOINTMENTS</b>	<input type="checkbox"/> Permanent Competitive Class	return certification of eligibles	
	<input type="checkbox"/> Permanent Competitive Class Promotion	return certification of eligibles	
	<input type="checkbox"/> Provisional Competitive Class	attach application	
	<input type="checkbox"/> Provisional Competitive Class Promotion	attach application	
	<input type="checkbox"/> Temporary *	state length of appointment and reason	from: _____ to: _____
	<input type="checkbox"/> Non-competitive Class	attach application	
	<input type="checkbox"/> Exempt Class	submit this form only	
	<input type="checkbox"/> Labor Class	submit this form only	
<b>TERMINATIONS</b>	<input type="checkbox"/> Resignation	submit signed resignation	
	<input type="checkbox"/> Retirement	give effective date	
	<input type="checkbox"/> Deceased	indicate date	
	<input type="checkbox"/> Temporary or Provisional	give effective date	
	<input type="checkbox"/> Lay-off (lack of work or funds)	give facts under Remarks	
<b>OTHER CHANGES</b>	<input type="checkbox"/> Probation Complete	give effective date	
	<input type="checkbox"/> Military Leave	give facts under Remarks	
	<input type="checkbox"/> Other Leave of Absence	give facts under Remarks	
	<input type="checkbox"/> Demotion, Suspension or Removal	attach copy of disciplinary proceedings	
	<input type="checkbox"/> Reinstatement	give facts under Remarks	
	<input type="checkbox"/> Change in Classification	give facts under Remarks	
	<input type="checkbox"/> New Position	submit New Position Duties Statement	
	<input type="checkbox"/> Change in Salary	indicate new salary	
	<input type="checkbox"/> Change in Name	give facts under Remarks	
	<input type="checkbox"/> Other	give facts under Remarks	

\* if temporary appointment is made from eligible list, certification should be returned

Remarks: \_\_\_\_\_

Appointing Officer: \_\_\_\_\_

Title: \_\_\_\_\_

Approval: \_\_\_\_\_

For Office Use

This certifies the above employment is in accordance with Law and Rules made in pursuance to Law. Subject to any limitation or condition specified above.

By: \_\_\_\_\_

Date: \_\_\_\_\_ Valid Until : \_\_\_\_\_



## **Reporting Personnel Transactions for Substitute Appointments**

Appointments to positions on a substitute, on-call basis in all jurisdictional classes shall be considered temporary appointments. If it is determined by our office that any appointments are lasting for long term durations and/or that the employees are working appreciable hours, the appointments should be converted to permanent positions either full-time or part-time in nature depending on hours worked and filled through the procedures required for the jurisdictional class to which it is assigned. In implementing this policy, a "temporary" position will be considered to have crossed over into a permanent position when an employee appears on more than 26 weekly payrolls in a year or works more than 130 days in a year. He/she will be considered to be in a permanent rather than a temporary position

### **Report for Substitute Appointments**

Use this form to record Substitute appointments, terminations, and changes in salary. Attach applications as required on the form and include salary next to each applicable title.

## DUTCHESS COUNTY DEPARTMENT OF HUMAN RESOURCES

### REPORT OF PERSONNEL CHANGE FORM – SUBSTITUTE APPOINTMENTS

AGENCY: \_\_\_\_\_ DATE: \_\_\_\_\_

NAME OF EMPLOYEE: \_\_\_\_\_

SS NUMBER: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ EFFECTIVE DATE: From \_\_\_\_\_ To \_\_\_\_\_

NEW APPOINTMENT                       TERMINATION                       CHANGE IN SALARY

Temporary substitute appointments may be made to the following titles in the **non-competitive class**.  
**APPLICATIONS MUST BE SUBMITTED FOR THESE TITLES:**

- |                                           |              |                                                |              |
|-------------------------------------------|--------------|------------------------------------------------|--------------|
| <input type="checkbox"/> Bus Driver       | Salary _____ | <input type="checkbox"/> School Crossing Guard | Salary _____ |
| <input type="checkbox"/> Clerk (pt)       | Salary _____ | <input type="checkbox"/> Security Guard        | Salary _____ |
| <input type="checkbox"/> Custodial Worker | Salary _____ | <input type="checkbox"/> Teacher Aide          | Salary _____ |
| <input type="checkbox"/> Library Aides    | Salary _____ | <input type="checkbox"/> Typist (pt)           | Salary _____ |
| <input type="checkbox"/> LPN (School)     | Salary _____ | <input type="checkbox"/> Youth Aide            | Salary _____ |
| <input type="checkbox"/> RPN (School)     | Salary _____ |                                                |              |

*Note: Appointments to titles other than those listed should be discussed with the Transactions Unit*

Temporary substitute appointments may be made to the following titles in the **labor class**. The appointing authority must review the merit and fitness of each candidate.

- |                                                |              |                                                 |              |
|------------------------------------------------|--------------|-------------------------------------------------|--------------|
| <input type="checkbox"/> Cleaners              | Salary _____ | <input type="checkbox"/> School Chaperones      | Salary _____ |
| <input type="checkbox"/> Food Service Helpers  | Salary _____ | <input type="checkbox"/> School Monitors        | Salary _____ |
| <input type="checkbox"/> Laborers              | Salary _____ | <input type="checkbox"/> Solid Waste Attendants | Salary _____ |
| <input type="checkbox"/> Page                  | Salary _____ | <input type="checkbox"/> Sports Officials       | Salary _____ |
| <input type="checkbox"/> Recreation Assistants | Salary _____ |                                                 |              |

*Note: Appointments to titles other than those listed should be discussed with the Transactions Unit*

Temporary substitute appointments made to the **competitive class** must be reviewed and approved by your HR Associate. Time restrictions apply to these positions and they will be reviewed on a periodic basis.

**APPLICATIONS MUST BE SUBMITTED with this form prior to employment commencing:**

Other: Title \_\_\_\_\_ Salary \_\_\_\_\_ DCHR Associate Approval: \_\_\_\_\_

\*Substitute Appointments: Appointments to positions on a substitute, on-call basis in all jurisdictional classes shall be considered temporary appointments. If it is determined by this agency that any appointments are lasting for long term durations and/or that the employees are working appreciable hours, the appointments should be converted to permanent positions either full-time or part-time in nature depending on hours worked and filled through the procedures required for the jurisdictional class to which it is assigned. In implementing this policy, a "temporary" position will be considered to have crossed over into a permanent position when an employee appears on more than 26 weekly payrolls in a year or works more than 130 days in a year. He/she will be considered to be in a permanent rather than a temporary position.

Revised 05/18

Appointing Authority: \_\_\_\_\_

Title: \_\_\_\_\_

DCHR Approval: \_\_\_\_\_

For Office Use

This certifies the above employment is in accordance with Law and Rules made in pursuance to Law. Subject to any limitation or condition specified above.

By: \_\_\_\_\_

Date: \_\_\_\_\_ Valid Until : \_\_\_\_\_

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