



CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

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EXECUTIVE OFFICER

Date: September 18, 2017

To: Civil Service Commission

Through: Michael L. Brown *MLB*
Executive Officer

From: Sandra Eng *SE*
Assistant Executive Officer

Subject: **Year-End Report on the Civil Service Commission's Activities and Achievements in Fiscal Year 2016-2017**

The following is a summary report on the activities of the Civil Service Commission ("Commission" or "Department") in Fiscal Year 2016-2017, the period covering July 1, 2016 through June 30, 2017.

The Commission primarily focused its efforts in Fiscal Year 2016-2017 on achieving its performance measures in support of the following six goals:

- Goal #1: Increase access to, and utilization of the Civil Service Commission's information and resources.
- Goal#2: Create greater transparency and efficiencies in the Civil Service Commission's procedures and communications.
- Goal #3: Ensure the timely resolution of appeals so that merit system issues are addressed efficiently, effectively and fairly.
- Goal #4: Continue to seek ways to address City departments' need for flexibility in personnel management issues while at the same time maintaining the integrity of the City's merit system.
- Goal #5: Streamline and ensure that the Commission's Rules, policies and procedures are easily understood and known by all stakeholders; consistent and compliant with the law; and reflective of current and best practices.
- Goal #6: Continue to seek ways to strengthen the Civil Service Commission's ability to meet its Charter mandates and oversee the operation of the merit system.

THIS DOCUMENT SUPPORTS
CALENDAR ITEM 6

Although the Civil Service Commission was understaffed in Fiscal Year 2016-2017 due to the vacancy in the 1241 Human Resources Analyst position and two employees on leaves of absence, the Commission staff saw this as an opportunity for growth and training while making every effort to reach its goals and objectives. Please refer to "Attachment A" for a chart reflecting the Commission's achievements on the approximately 60 performance measures established for Fiscal Year 2016-2017.

Also attached to this report are the following Fiscal Year 2016-2017 documents: 1) the Appeals Log (Attachment B); 2) the Inspection Service Request Log (Attachment C); and, 3) the Commission's Merit System Audit Program report (Attachment D).

Staffing

As a small department, each position's duties and responsibilities are crucial to carrying out the Commission's mission. Although the Department was able to maintain its position authority for six full-time equivalent employees ("FTE") during the fiscal year, the Department experienced challenges. After our budget was approved for a 1241 Human Resources Analyst, the position was not filled until September; however the position became vacant when our 1241 Human Resources Analyst went on a leave of absence. Commission staff utilized this time period as an opportunity to cross train and increase staff responsibilities. Our 1426 Senior Clerk duties expanded into the responsibilities of a 1241 Human Resources Analyst.

Commission staff did an outstanding job of diligently and tirelessly working together to minimize the impact on the Commission's operations and critical functions. They are to be commended for their excellent hard work and commitment to the merit system.

Budget

The Department's budget last fiscal year fully funded all six (6) FTE's and ended with a surplus due to the vacancy of the 1241 Human Resources Analyst and leave of absence for two staff members. Our approved overall budget for 2016-2017 of 1.211M will increase to \$1.250M in 2017-2018 and is projected to increase to \$1.281 for FY 2018-19.

Appeals and Hearings

The Commission received a total of 85 new appeals and requests for hearings in Fiscal Year 2016-17, in addition to the 18 active unresolved appeals that were carried over from the previous fiscal year. The Commission heard and resolved 66 of the 103 pending appeals last fiscal year, representing 64%, which is below our target of 70%. (Attachment B). Twenty new appeals were received in the last 2 months of the fiscal year and 6 of the appeals have been taken off-calendar pending the resolution of ongoing litigation, grievance and/or arbitration.

Inspection Service Requests

In Fiscal Year 2016-2017, the Commission received a total of 88 Inspection Service Requests from employees, departmental representatives, anonymous individuals or those requesting confidentiality, labor representatives, job applicants/candidates and members of the public.

(Attachment C). The Commission resolved 70% (61 out of 88) of the Inspection Service Requests within 60 days, which is below our target of 80%. There was an increase in the number of anonymous and Whistleblower Complaints regarding favoritism and nepotism in exempt appointments. The analysis/findings of some of these reviews identified that some departments did not have any documentation on the following: 1) Attempts to remove the perception of favoritism/nepotism in the hiring process; 2) Determination of how a family/close friend met the minimum qualifications; 3) Determination of how a family member/close friend is the best qualified candidate, especially in a large applicant pool. In our discussions with departments, a couple of departments had difficulty producing documents in a timely manner and one department disagreed with the Commission's jurisdiction in reviewing what they determined to be confidential documents. Departments' delayed responses in addition to our departments staffing, resulted in a delay in resolving Inspection Service Requests within our goal of 60 days.

From the challenges faced this past fiscal year, Commission staff worked with the Department of Human Resources and other City Departments to propose the Policy on Family and Romantic Relationships at Work and amendments to the Policy and Procedures on Exempt Appointments. Commission staff has been working with human resources staff in various departments on how to train hiring managers and ways to develop action plans to remove perceptions of favoritism/nepotism in the hiring process. Although the Campaign and Governmental Conduct Code and the City's Employee Handbook have always prohibited nepotism/favoritism in the work place, the Policy and the Adviser were issued out to all City employees, employee organizations, and the public.

Merit System Audit Program

This fiscal year the Commission focused on reviewing the following selection and appointment practices for nine randomly-selected positions within various City departments to assess compliance with Charter provisions, Commission Rules, and merit system policies and processes:

- Information provided on Permanent Civil Service examination announcements regarding appeal rights and other required information;
- Departmental practices with respect to the verification and documentation of minimum qualifications for individuals appointed to Permanent Civil Service (PCS), Temporary Exempt or Exempt positions; and
- Departments' justification for exempting positions from Civil Service appointment, selection and removal procedures in accordance with Charter Section 10.104; and
- The Post-Referral Selection process for Permanent Civil Service appointments.

Our findings discovered:

- The audit found that all job announcements for examination recruitments included appropriate appeal rights and other required information.

- One department failed to obtain verification of work experience for two (2) appointees as required per Department of Human Resources policy prior to the appointee's start date. As a result of this audit, Human Resources staff for this department obtained the work experience verifications for the two (2) appointees. Another department did not take note that in their personnel files were expired licenses of two (2) appointees for positions that require valid/current licenses. Current licenses were subsequently obtained by HR staff and placed in the personnel file.
- All of the appointees were deemed by their respective department appointing officers or designees to have met the minimum qualifications and Commission staff has verified the qualifications of each of these appointees for the position to which they are appointed.
- The audit included three (3) departments which posted a position that was Permanent Exempt and one (1) department with a Temporary Exempt status position. The Exempt Justification forms were present in the Official Personnel File and met the criteria established under the Charter.

As stated in the report: "This year's audit illustrates how the Merit System Audit Program is indeed a constructive mechanism utilized to assist departments in reviewing their internal procedures regarding the compliance of Civil Service Rules, policies and/or procedures." (Attachment D).

Rule Amendments, Policies, and Procedures

The Commission was productive in updating a number of Rules, policies and procedures in the last fiscal year.

The following Civil Service Commission Rules, policies, and procedures were adopted:

- **Rule Series 020 Leaves of Absence** – to align with the California Code Section 233 (Kin Care Law).
- **Rules 211.3 and 311.5.2 Examination without Charge** – to allow applicants for entry-level police officer and firefighter positions to be charged a fee by an outside vendor to take a City-approved examination that is administered by that vendor.
- **Policy on Family and Romantic Relationships at Work** - During 2016-2017 we established a Civil Service Commission Policy on Family and Relationships, reaffirming reporting requirements which covers all types of City employees with direct or indirect reporting conflicts. In collaboration with the Department of Human Resources, training material was developed for managers, supervisors and Department Heads on how to resolve conflicts. We issued a Civil Service Adviser on the subject and assisted in providing mass training with DHR at the Koret Auditorium. The Executive Officer followed-up with a presentation at the Mayor's Department Head meeting to remind

managers that compliance and enforcement would be effective July 1, 2017. We have received several calls regarding compliance and training since the adoption of this policy.

- **Policy and Procedures on Exempt Appointments** - During the latter part of 2016-2017, we began to address an amendment to our Policy and Procedures on Exempt Appointment to include reference of exempt categories 1 through 15 under Article X: Personnel Administration, Section 10.104 in the Charter and to strengthen our authority during Inspection Services to require cooperation from all departments consistent with Charter authority. This item has been carried over to the next fiscal year and should be finalized in Fiscal Year 2017-18.

Administrative and Public Records Requests

In addition to public records requests, we began receiving requests for Administrative Records which requires more time in preparation. Through the Office of the City Attorney, we now have established an internal policy and procedure on how to prepare Administrative Records from Civil Service Commission proceedings.

Summary

In summary, the Commission has been very productive last fiscal year despite their challenges. Credit must be given to the Civil Service Commission staff members who tirelessly work in supporting the mission of the Civil Service Commission. They have provided incredible and unmeasurable support to me as the Executive Officer.

Elizabeth Aldana, Sr. Clerk Typist, Lizzette Henriquez, Personnel Technician, Jennifer Bushman, Human Resources Analyst, Luz Morganti, Sr. Human Resources Analyst, and Sandra Eng, Deputy Director are well deserving of acknowledgement for their individual jobs well done. In this small but powerful Department, their great team work, dedication and exemplary service prove that strength is not always measured in numbers.

Recommendation: Adopt the Report.

Attachments:

- Attachment A: Report on the Civil Service Commission Department's Achievement of its Fiscal Year 2016-2017 Goals and Objectives
- Attachment B: Fiscal Year 2016-2017 Appeals Log
- Attachment C: Fiscal Year 2016-2017 Inspection Service Request Log
- Attachment D: Merit System Audit Program Report

ATTACHMENT A



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**Civil Service Commission Department’s Achievement of its
Goals Objectives and Priorities for Fiscal Year 2016-2017**

The following six (6) goals are focused on: 1) fulfilling the Commission’s legal and Charter mandates; 2) supporting the Commission’s purpose and mission through its six major program areas and functions; 3) advancing the Commission’s objective to modernize and strengthen the operations of the City and County of San Francisco’s merit system; and, 4) furthering the Commission’s policy priorities as established in the Fiscal Year 2016-2017 Strategic Plan. The objectives assist in defining the goals, and the performance measures for each objective are indicators of service levels and the extent to which Commission staff was able to achieve those goals within the measurement period (Fiscal Year 2016-2017).

Goal #1: Increase access to, and utilization of the Commission’s information resources.

Objective	Performance Measures	Status of Performance Measures
Increase the availability of information about the Commission.	<ul style="list-style-type: none"> • Continue to ensure that all information on the Commission’s website is accurate and current. • Continue to seek ways to expand upon the information available on the Commission’s website, Facebook page and Twitter. Update the information as needed throughout the fiscal year. • Ensure compliance with Language Access Ordinance. 	<ul style="list-style-type: none"> • Ongoing-Staff continues to work with DHR IT to update website and ensure accuracy. • Completed/Ongoing • Completed-Civil Service Advisers No. 32 Policy on Family and Romantic Relationship at Work and No. 33 Reinstatement, Reappointment, Reversion, and Transfer.
Ensure that information on the Commission’s website is intuitive and easily accessible.	<ul style="list-style-type: none"> • Continue to ensure that the Civil Service Rules are in a format conducive to printing (e.g. consistent font and paragraph spacing, review for legibility, etc.). • Maintain the posting of official Civil Service Rules in PDF format. • Ensure compliance with United States Access Board Section 508 Standards, Section 255 Accessibility Guidelines and Administrative Code 22D. 	<ul style="list-style-type: none"> • Ongoing-Staff continues to review the website and update when necessary. • Ongoing-Staff provides the Rules in PDF format when requested. • Completed –Staff attended ADA Coordinators’ training provided by the Mayor’s Office of Disability.



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<p>Increase the availability of information on the Commission’s website.</p>	<ul style="list-style-type: none"> • Continue to increase the availability of information and documents under the Commission’s preview on the Commission’s website (e.g., post established policies, publications and relevant historical statistics, documents, staff reports, etc.). • Continue to investigate options for language accessibility for all documents. 	<ul style="list-style-type: none"> • Ongoing-Staff continues to work with DHR IT. • Ongoing-Staff continues to work on language accessibility for all documents.
<p>Ensure that Commission staff and the Commissioners have quick, efficient and easy access to the Commission’s historical documents and files for proper record retention purposes and any specific research needs.</p>	<ul style="list-style-type: none"> • Continue to expand the use of the Commission’s web-based document management system (“DocumentMall”): <ul style="list-style-type: none"> ✓ Expand upon the types of documents uploaded into the system (e.g., meeting material, policies, communications, publications and reports). ✓ Require that all Commission staff use, access and/or upload documents into DocumentMall on a weekly basis throughout the fiscal year. ✓ Convert paper reports and other Commission documents into digital files on Document Mall, with the goal of uploading at least 700 pages of documents into the system on a weekly basis. • Continue to review all Commission hard copy documents and files throughout the year. 	<ul style="list-style-type: none"> • Ongoing.



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	<ul style="list-style-type: none"> ✓ Continue to purge all duplicative/unnecessary hard copy documents (either through proper destruction procedures or by sending them to storage at the San Francisco Public Library) and upload all relevant historical documents and files into the system. ✓ Resolve at least one box (or the equivalent of documents/files each week). 	
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Goal #2: Create greater transparency and efficiencies in the Commission’s procedures and communications.

Objective	Performance Measures	Status of Performance Measures
<p>Improve communications with appellants so that they understand the Civil Service Commission Rules, policies and meeting procedures.</p>	<ul style="list-style-type: none"> • Provide final draft of meeting procedures and protocols for peace officer appeals by October 2016. • Continue to provide appellants with as much information as possible so that they understand meeting and appeal procedures. • Offer training/guidance to departments on how to prepare and present staff reports before the Commission. • Provide Quarterly Training. • Conduct Survey for Satisfaction/Training Topics. • Publish Accessible Staff Report Template by October 2016. 	<ul style="list-style-type: none"> • Ongoing review and seeking advice from counsel. • Ongoing
<p>Improve communicates with departments to that they understand the need</p>	<ul style="list-style-type: none"> • Continue to explore ways to clarify services begin provided when initiating or modifying 	<ul style="list-style-type: none"> • Ongoing



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<p>for transparency when describing accurate information for use of Personal Service Contracts.</p>	<p>Personal Service Contracts to include accurate description of smaller contracts providing various services under the one umbrella for transparency to stakeholders.</p>	
<p>Increase the use of electronic communications with departments and appellants (if requested) in an effort to reduce paper consumption and staff resources, create efficiencies with Commission stakeholders.</p>	<ul style="list-style-type: none"> Throughout the fiscal year, seek ways to further expedite and streamline the Commission’s communications with its stakeholders, and reduce the Commission’s paper consumption and drain on staff resources. 	<ul style="list-style-type: none"> Ongoing-Staff is researching ways to provide video training.
<p>Issue all reports regarding Commission deliverables and achievements on a timely basis.</p>	<ul style="list-style-type: none"> No later than the second meeting in August 2016, finalize the draft Fiscal Year 2015-2016 Annual Report and Year-End Report for the Commission’s review and approval. No later than the first meeting in February 2017, report to the Commission on the status of the Commission’s achievements of its goals and objectives for the first half of the Fiscal Year 2016-2017. 	<ul style="list-style-type: none"> Completed Completed
<p>Ensure that Commission staff understand and are focused on supporting the Commission’s mission, goals and objectives.</p>	<ul style="list-style-type: none"> No later than August 2016 establish all Commission staff performance plans for the next performance review period (Fiscal Year 2016-2017), and ensure that the plans include deliverable specifically tied to the Commission’s Fiscal Year 2016-2017 Goals and Objectives 	<ul style="list-style-type: none"> Ongoing. Completed reorganization of duties with 1241 added to staff.



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<p>Ensure that the Commission's internal policies and administrative procedures are kept updated and documented for Commission staff.</p>	<ul style="list-style-type: none"> • No later than June 30, 2017, revisit and update as needed all Commission internal policies and standard operating procedures to ensure consistency and facilitate cross training. • Continue to perform Records Management (electronic). • Continue to respond to Public Records Requests. 	<ul style="list-style-type: none"> • Ongoing. • Ongoing. • Completed.
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Goal #3: Ensure the timely resolution of appeals so that merit system issues are addressed efficiently, effectively and fairly

Objective	Performance Measures	Status of Performance Measures
<p>Resolve appeals in a timely manner to the extent possible.</p>	<ul style="list-style-type: none"> • Process 100% of appeals and requests for hearing within seven (7) days of receipt in Fiscal Year 2016-2017 (i.e., review for jurisdiction and timeliness, record the appeal into the Commission's Pending Appeal Log (PAL) and communication log, send appellants acknowledgement of receipt letters, and notify departments of the appeal and targeted hearing dates). • By June 30, 2017, resolve and/or forward to the Commission for hearing, at least 70% of the appeals received in Fiscal Year 2016-2017. 	<ul style="list-style-type: none"> • Completed. • As of June 30, 2017, the Commission resolved 64% of the appeals received in Fiscal Year 2016-17.
<p>Monitor appeals and develop strategies to improve the efficiency by which appeals are resolved.</p>	<ul style="list-style-type: none"> • Continue to evaluate the effectiveness of the Commission's appeals policies and procedures (e.g., staff report deadlines, revised communications to departments, etc.) based on 	<ul style="list-style-type: none"> • Ongoing-Staff continues to meet with COPAR and DHR to review patterns.



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	<p>performance measure achievements over the past three fiscal years. By June 30, 2017, implement any new, or adjust existing policies and procedures as appropriate for Fiscal Year 2017-2018.</p> <ul style="list-style-type: none"> • Issue the Commission’s Meeting Schedule and Deadlines for Calendar Year 2017 no later than November 2016 to ensure that departments are aware of staff report submission deadlines. • Regularly update and monitor the Pending Appeals Log on a bi-weekly basis, and communicate with departments as appropriate, to ensure that staff reports on appeals are submitted within a reasonable period of time. • Convene monthly updates with the Department of Human Resources on the status of department’s staff reports. • Obtain advice and guidelines from the City Attorney’s Office as needed on legal issues concerning appeals in as far advance as possible to avoid delays and backlogs (e.g., closed session matters, privacy protections, Brown Act requirement, etc.) 	<ul style="list-style-type: none"> • Completed. • Ongoing. • Completed/Ongoing-Staff meets with DHR on a monthly basis to discuss patterns and future plans to improve efficiency. • Ongoing-Staff continues discussion with the City Attorney’s Office on public records, appeals, and closed session matters.
<p>Work collaboratively with departmental representatives, the Department of Human Resources and City Attorney’s staff to establish new or amend</p>	<ul style="list-style-type: none"> • Throughout the fiscal year, seek input from HR analysts and managers on the effectiveness of the merit system and areas needing improvement. • Convene regular meetings of 	<ul style="list-style-type: none"> • Completed/Ongoing-Met with DPH, GSA, MTA, PUC, DHR; staff continues to meet and discuss with HR managers and analysts to review policies and



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<p>current Rules, policies and procedures to address changing needs as appropriate.</p>	<p>the Commission’s Committee on Policy and Rules Revision (COPAR) throughout the fiscal year to: 1) discuss and review with departmental human resources representatives any new Rules, policies or procedures, or needed/requested revisions thereto; and 2) seek departmental input on inconsistencies between the Civil Service Rules and current departmental practices, to recommend appropriate action to the Commission (e.g., consider proposing a Rule amendment, issue an Adviser to clarify Rule requirements, etc.).</p>	<p>processes.</p> <ul style="list-style-type: none"> Completed/Ongoing-COPAR meets on a monthly basis; HR management participation was increased last year and includes the SFUSD and the Community College District.
<p>Ensure that Civil Service Rules, policies and procedures are consistent with current departmental practices and system requirements/capabilities /limit actions under the eMerge PeopleSoft system.</p>	<ul style="list-style-type: none"> Continue to meet with eMerge representatives as needed to ensure that there are no inconsistencies in existing Civil Service Rules or Commission policies and procedures resulting from further implementation or programming of the eMerge system upgrades. 	<ul style="list-style-type: none"> Ongoing

Goal #5: Work to ensure that the Civil Service Commission Rules policies and procedures are easily understood and known by all stakeholders, consistent, compliant with the law, and reflective of current and best practices.

Objective	Performance Measures	Status of Performance Measures
<p>Review the Civil Service Rule series and recommend revisions/deletions/additions to the Rules for the</p>	<p>Review one Civil Service Rule series every other month on average and recommend revisions/deletions/additions for the Commission’s consideration.</p>	<ul style="list-style-type: none"> Ongoing.



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<p>Commission’s consideration as necessary and appropriate.</p>	<p>Revisions will be prioritized as follows:</p> <ol style="list-style-type: none"> 1. Rules or provisions that conflict with, or that are otherwise inconsistent with the law. 2. Rules that are confusing, inconsistent with other Rules, or policies, or inconsistently applied by departments. 3. Rules or provisions that would support operational needs. 4. Rules or provisions no longer applicable. 5. Revisions that would consolidate or streamline the Rules. 6. Rules needed to address merit system issues discovered during the course of Inspection Service reviews or the Audit Program. 7. Clean-up (e.g., remove Rules that have expired, etc.) 	
<p>Review existing Commission policies and procedures; and recommend revisions to existing policies and procedures, or the creation of new ones, as appropriate.</p>	<ul style="list-style-type: none"> • Review at least one existing Commission policy every quarter and recommend revisions as appropriate for the Commission’s consideration. The Executive Officer will also recommend for the Commission’s consideration the creation of policies as needed and appropriate on merit system issues for which Commission stakeholders require more guidance. • The Executive Officer’s policy review will be prioritized based 	<ul style="list-style-type: none"> • Completed Policy on Family and Romantic Relationships at Work. • Worked with DHR to revise Telecommuting Policy. • Proposed amendments to the Policy and Procedures on Exempt Appointments. • Ongoing on updating Official Employee Personnel File Guidelines.



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	<p>on directives from the Commission, requests from Commission stakeholders, and the frequency of Inspection Service complaints received on a particular issue.</p>	
<p>Conduct meet and discuss and facilitate meet and confer negotiations to adopt new and amend Rules, policies and/or procedures when required under state law.</p>	<ul style="list-style-type: none"> As needed during the fiscal year, conduct meet and discuss sessions with the City’s labor unions or meet and confer sessions when appropriate with City’s labor unions on any new or amended Rules of policies when required under state law. 	<ul style="list-style-type: none"> Ongoing.
<p>Conduct best practice reviews of merit system matters in other jurisdictions.</p>	<ul style="list-style-type: none"> Research best practices in the Bay Area and/or comparable jurisdictions (e.g., Los Angeles) upon request of the Commission during the fiscal year. 	<ul style="list-style-type: none"> Ongoing.
<p>Provide outreach, training, and support to the Commission’s stakeholders regarding the Civil Service Rules, policies and procedures.</p>	<ul style="list-style-type: none"> Upon request/as needed during the fiscal year, develop and conduct seminars and trainings on the merit system, the Civil Service Rules, policies and procedures and other matters under the jurisdiction of the Commission. Give regular presentations and updates on merit system issues during the Department of Human Resources’ Monthly Human Resources Professional Group meetings. Provide a presentation on the Merit System to new human resources analysts and managers on an annual basis. Offer to provide other 	<ul style="list-style-type: none"> Completed training to MTA, DPH, PUC, SFUSD, Interns at the Controller’s Office, the City’s Fellowship Program, 1249 Human Resources Trainee Program, and SEIU members of Jail Health Services on Merit System subjects including examinations, post-referral process, exempt hiring process, and appeals process. Presented Policy on Family and Romantic Relationships at Work at the Human



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	<p>Commission stakeholders with an overview of the merit system upon request (e.g., union representative/employee groups, operational managers, elected officials, Deputy City Attorney's, etc.).</p> <ul style="list-style-type: none"> • Seek input from the Commission's stakeholders on common merit system areas of confusion and issue publications on Frequently Asked Questions and develop new Advisers on reoccurring issues as needed during the fiscal year. • Offer to provide labor representative with informational articles on the Commission for their member newsletters upon request. 	<p>Resources Professionals Meeting and at the Department Head Meeting.</p> <ul style="list-style-type: none"> • Ongoing. • Ongoing.
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Goal #6: Strengthen the Commission's ability to meet its Charter mandates and oversee the operation of the merit system.

Objective	Performance Measures	Status of Performance Measures
<p>Review the operations of the merit system in City departments.</p>	<ul style="list-style-type: none"> • Conduct nine (9) departmental audits in Fiscal Year 2016-2017. • Resolve/complete within 60 days, 80% of Inspection Service Requests received in Fiscal Year 2016-2017. • In the event that Commission staff determines in the course of its audits and/or Inspection Service reviews that some department practices conflict with established Rules or policies, issue formal clarifying 	<ul style="list-style-type: none"> • Completed. • Only completed 70% within 60 days for Fiscal Year 2016-17 • Proposed and Adopted Policy on Family and Romantic Relationships at Work; issued Civil Service Adviser • Proposed amendments to the Policy and Procedures on Exempt Appointments • Issued Adviser on



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	statements and/or trainings within 60 days so that all departments are aware of and understand applicable merit system requirements.	Reinstatement, Reappointment, Reversion, and Transfers.
Increase the Commission's access to information regarding the operation of the merit system.	<ul style="list-style-type: none"> No later than the second meeting in June 2016, submit for the Commission's review its Calendar of Reports for Calendar Year 2017 (this details the reports that City departments are required to submit to the Commission each year). Include for the Commission's review a list of available canned queries, reports and available information related to merit system matters in the event that the Commission wishes to expand upon the information it currently receives from Commission staff and/or city departments (e.g., exempt appointment justifications, personal services contracts, examination plans, etc.). By the end of December 2016, issue the final 2017 Calendar of Reports to departments in advance. Additionally, issue an electronic reminder one month prior to each report's due date. 	<ul style="list-style-type: none"> Completed Completed
Ensure that departments are complying with Commission's requests for reports and/or additional information.	<ul style="list-style-type: none"> When applicable, record any conditions, restrictions or reporting requirements that the Commission places on a Personal Services Contract (PSC). Utilize a tickler system so that the Commission is able 	<ul style="list-style-type: none"> Ongoing.



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	<p>eo ensure that departments comply with the Commission’s conditions, restrictions or reporting requirements for PSC approvals.</p> <ul style="list-style-type: none"> • When applicable, record and create a “tickler system” for any additional reports that the Commission requests throughout the fiscal year. 	<ul style="list-style-type: none"> • Ongoing
<p>Complete/coordinate all Charter-mandated wage/benefit surveys requiring Commission certification under the Charter.</p>	<ul style="list-style-type: none"> • By the end of November 2016, develop a work plan and schedule for achieving Charter mandated surveys for the fiscal year. • Utilize a “tickler system” for departmental reports to ensure that Charter-mandated surveys are timely submitted (e.g., Office of Labor Standards and Enforcement prevailing wage survey, and Department of Human Resources survey of nurse salaries and benefits). • On May 15, 2017, complete the salary survey for the Elected Officials in accordance with Charter Section A8.409-1 Employees Covered. 	<ul style="list-style-type: none"> • Completed • Completed. • Completed
<p>Ensure that the Commission’s budget in Fiscal Year 2016-2017 is sufficient so that it can adequately carry out its Charter obligations to oversee the merit system.</p>	<ul style="list-style-type: none"> • Negotiate with the Mayor’s Office, Controller’s Office and board of Supervisors to maintain the Commission’s budget in Fiscal Year 2017-2018 at an adequate level to support its operations, Charter functions and merit system goals and objectives. 	<ul style="list-style-type: none"> • Completed

ATTACHMENT B

Civil Service Commission
Fiscal Year 2016-17 Appeals Log

Register No.	Type	Subject	Date Received	Date Trans	Referred To	Tentative Date	Report Due Date	Resolved On	No.	Comments
0440-16-6	6	Appealing the Director of Transportation's decision to administratively close his discrimination complaint EEO File No. 2217.	12/27/16	12/28/16	Reiskin Ellison Kim Vavla- Johnson L. Simon	03/08/17	02/23/17	04/03/17	1	Resolved - appeal granted
0137-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/09/17	05/10/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	08/22/17			
0135-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/08/17	05/10/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	06/22/17			
0160-16-4	4	Appealing the rejection of application for Class 2940 Adult Protective Services Worker.	04/14/16	04/20/16	Callahan Gard Kraus Kim	06/20/16	06/09/16	12/05/16	1	Resolved - appeal denied
0361-16-4	4	Appealing the rejection of application for Class 2940 Adult Protective Services Worker.	11/07/16	11/08/16	Callahan Gard Kraus Kim	02/06/17	01/26/17	03/06/17	1	Resolved - appeal denied
0076-17-4	4	Appealing the exam administration for Class 2913 Program Specialist.	03/06/17	03/13/17	Callahan Gard Kraus Kim Biasbas Palma	06/05/17	05/25/17			
0266-16-4	4	Appealing the rejection of his application for the class 7228 Automotive Transit Shop Supervisor I (CBT-7228-M00145)	08/08/16	08/09/16	Reiskin Ellison Kim Leung	10/17/16	10/06/16	10/17/16	1	Resolved - appeal denied
0338-16-4	4	Appealing the rejection of his application for the Q-60 Lieutenant exam.	10/07/16	10/11/16	Callahan Gard Kraus Johnson Biasbas	12/19/16	12/08/16	12/05/16	1	Resolved - Appeal denied
0341-16-4	4	Appealing the rejection of his application for the Q-60 Lieutenant exam.	10/12/16	10/13/16	Callahan Gard Kraus Johnson Biasbas	12/19/16	12/08/16	12/05/16	1	resolved - Appeal denied
0138-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/09/17	05/10/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	06/22/17			
0411-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely

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0146-17-6	6	Appealing the Director of Transportation's decision to administratively close his discrimination complaint EEO File No. 2280.	05/16/17	05/17/17	Reiskin Ellison Johnson Simon	09/07/17	07/27/17			
0226-16-4	4	Appealing the rejection of his application for Class 9102 Transit Car Cleaner (CBT -9102-M00132)	06/15/16	06/17/16	Reiskin Ellison Leung Castellano Lee	09/19/16	09/08/16	09/19/16	1	Resolved - denied appeal
0258-14-6	6	Appealing the Human Resources Director's decision to close his discrimination complaint EEO File No. 1677.	11/24/14	11/25/14	Callahan Gard Simon Weigelt	02/02/15	01/22/15	03/24/17	5	Resolved - settlement agreement
0300-15-6	6	Appealing the Human Resources Director's decision to close his discrimination complaint EEO File No. 1905.	09/10/15	09/30/15	Callahan Gard Simon Weigelt	12/07/15	11/25/15	03/24/17	5	Resolved - settlement agreement
0945-15-6	6	Appealing the Human Resources Director's decision to administratively close his discrimination complaint EEO File No. 1953.	11/04/15	11/05/15	Callahan Gard Simon Weigelt	01/21/15	02/01/16	03/24/17	5	Resolved - settlement agreement
0319-16-4	4	Appealing the rejection of his application for the Q-60 Lieutenant exam.	09/23/16	09/26/16	Callahan Gard Kraus Johnson Blasbas	12/05/16	11/23/16	12/05/16	1	Resolved - Appeal denied
0134-15-6	6	Appealing the Human Resources Director's decision on his discrimination complaint, EEO File No. 1810.	05/04/15	05/07/15	Callahan Gard Simon S. Yee	07/20/15	07/09/15			8/27/15 Litigation (Scheduled for March 2016);
0318-16-4	4	Appealing the rejection of her application for Class 2908 Senior Hospital Eligibility Worker (CBT -2908-90699) examination.	09/22/16	09/23/16	Callahan Gard Kraus Weigelt	12/05/16	11/23/16	04/05/17	4	Administratively Closed
0412-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Blasbas Callahan Gard Kraus Johnson	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0078-17-6	6	Appealing HR Director's decision regarding discrimination complaint.	03/08/17	03/09/17	Blasbas Callahan Gard Simon Kim	06/05/17	05/25/17			Postponed to 8/7/17 Commission meeting
0221-16-4	4	Appealing the rejection of his application for the Class 5211 Engineer/Architect/Landscape Architect - Senior CBT recruitment	06/10/16	06/14/16	Callahan Gard Kraus Miles Blasbas	09/19/16	09/08/16	09/19/16	1	Resolved - denied appeal
0269-16-4	4	Requesting his score for the 1410 Chief Clerk (CBT-1410-901183) exam be adjusted to include promotive points	08/10/16	08/17/16	Callahan S. Gard J. Kraus A. Blasbas	10/17/16	10/06/16	08/19/16	4	Resolved administratively

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0167-17-4	4	Appealing his background rejection for the 8124 Investigator position with the Dept of Police Accountability	06/02/17	06/05/17	Callahan Gard Fortes Thompson	08/21/17	08/10/17			
0012-16-6	6	Appealing the Director of Transportation's decision to administratively close her discrimination complaint File No. 2170.	01/13/17	01/17/17	Reiskin Ellison Kim Vavia-Johnson Simon	04/03/17	03/23/17	04/03/17	1	Resolved - appeal upheld - MTA directed to further investigate
0180-16-6	6	Appealing the Human Resources Director's decision to administratively close her discrimination complaint EEO File No. 1988.	04/29/16	05/02/16	Callahan Gard Simon Lt. K. Yin	07/18/16	07/07/16	07/18/16	1	Resolved - The commission adopted the staff report and denied the appeal
0324-16-4	4	Appealing the exam announcement for 0923 Manager II - Family and Children's Service (PBT-0923-070367) position with HSA	09/28/16	09/29/16	Callahan Gard Kraus Biasbas Kim	10/17/16	10/06/16			10/17/16 Postponed to the meeting of 11/21/16 at the request of the department - postponement continued
0416-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0358-16-4	4	Appeal: requesting application for Q-50 SFPD be accepted after deadline	11/03/16	11/04/16	Callahan Gard Kraus Johnson	01/09/17	12/29/16	01/09/17	1	Resolved - appeal denied - appellant was no show
0405-16-6	6	Appealing the Director Transportation's decision to dismiss her discrimination complaint EEO File No. 2087.	12/12/16	12/14/16	Reiskin Ellison Kim Helms Simon	03/06/17	02/23/17	03/06/17	1	Resolved - appeal denied
0074-17-2	2	Appealing the 3434 Arborist Technician Classification posting	03/07/17	03/09/17	Callahan Gard Ponder	08/15/17	05/04/17	05/31/17	4	Resolved - Appeal withdrawn
0176-16-4	4	Appealing the denial of request to file a late application for the H-30 Captains examination.	04/27/16	04/29/16	Callahan S. Gard J. Kraus A. Biasbas Johnson	07/18/16	07/07/16	07/06/16	4	Resolved administratively
0387-16-6	6	Appealing the Human Resources Director's decision of insufficient evidence to sustain her discrimination complaint EEO file no. 1782	11/23/16	11/29/16	Callahan Gard Simon Charan	02/06/17	01/26/17			Pending - request to hold in abeyance due to pending litigation
0296-16-6	6	Appealing the HRD's decision to administratively close his discrimination complaint EEO File No. 2102 (POBAR)	09/06/16	09/14/16	Callahan Gard Yin Simon Houston	12/05/16	11/23/16	12/05/16	1	Resolved - Appeal denied
0229-16-6	6	Appealing the HR Director's decision to deny her retaliation complaint	06/22/16	06/23/16	Callahan Gard Simon Bushong	09/19/16	09/08/16	07/29/16	4	Resolved

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0379-16-4	4	Appealing the administration of the Incident Simulation Exercise for the H-50 Assistant Chief examination.	11/17/16	11/18/16	Callahan S. Gard J. Kraus A. Blasbas Johnson	02/06/17	01/26/17	02/06/17	5	Resolved - appeal withdrawn
0107-17-6	6	Appealing the Director of Transportation's decision to administratively close his discrimination complaint EEO File No. 2289	04/03/17	04/05/17	Reiskin Ellison Vavria- Johnson Simon	06/19/17	06/08/17	06/19/17	1	Resolved - denied appeal
0417-16-4	4	Appealing the rejection of her application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Blasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0202-17-6	6	Appealing the Director of Transportation's decision of insufficient evidence to support claim of discrimination due to age & disability EEO file no. 2172	05/27/17	06/28/17	Reiskin Ellison Vavria- Johnson Simon	10/02/17	09/21/17			
0220-16-4	4	Appealing the rejection of his application for Class 7381 Automotive Mechanic (CBT-7381-601167)	06/08/16	06/13/16	Reiskin Ellison Kong Leung	09/19/16	09/08/16	09/19/16	1	Resolved - denied appeal
0188-17-8	8	Appealing PSC #44548-16/17 Medical Services for Travelers, Airport Employees and Airport Tenants	06/13/17	06/14/17	Callahan Gard Ikeda Avakian Meslak	06/19/17		06/19/17	1	Resolved - approved with the condition that the dept submit amendment to Executive Officer with appropriate justification for contracting this service
0418-16-4	4	Appealing the rejection of her application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Blasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0194-16-1	1	Appealing the Executive Officer's decision to concur with the HR Director's decision that discrimination complaint was untimely	05/19/16	05/20/16	Eng			10/17/16	1	Resolved; decision to schedule EEO hearing for future date - this appeal granted
0194-16-1	1	Appealing the HR Director's decision on discrimination complaint.	04/05/16	04/08/16	Callahan Gard Simon Wong			02/06/17	1	Resolved - appeal denied
0322-16-6	6	Appealing the HRD's decision to close discrimination complaint EEO File No. 2119.	09/27/16	09/28/16	Callahan Gard Simon Kim	12/05/16	11/23/16			
0070-16-6	6	Appealing the HRD's decision on discrimination complaint EEO File No. 2214.	03/01/17	03/03/17	Callahan Gard Simon Kim	05/15/17	05/04/17			
0143-17-4	4	Appealing the rejection of her application for the 1842 Management Assistant (CBT 1842-901813) exam.	05/11/17	05/17/17	Callahan Gard Kraus Miles Blasbas	08/07/17	07/27/17	05/23/17	4	Resolved Administratively
0227-16-4	4	Appealing his background disqualification for Class 6331 Building Inspector with DBI	06/15/16	06/17/16	Callahan Gard Yamasaki Palileo Villanueva	09/19/16	09/08/16	09/19/16	1	Resolved - denied appeal

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0128-17-6	6	Appealing the HRD's decision to close discrimination complaint EEO File No. 2309.	04/27/17	05/01/17	Callahan Gard Simon Charan Gardunio	07/17/17	07/06/17	06/07/17	4	Resolved Administratively
0414-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0141-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/10/17	05/11/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	06/22/17			
0413-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0119-17-4	4	Appealing the 3286 Recreation Coordinator exam administration	04/18/17	04/25/17	Callahan S. Gard J. Kraus A. Biasbas Gee	07/17/17	07/06/17			
0327-16-4	4	Appealing the exam announcement for Class 7334 - Stationary Engineer (CBT-7334-901104) exam with DPW	09/29/16	09/30/16	Callahan S. Gard J. Kraus A. Biasbas Wong	12/05/16	11/23/16	10/11/16	4	Resolved administratively
0035-17-4	4	Appealing the disqualification of his application for the Q-60 Lieutenant Examination	02/14/17	02/16/17	Callahan S. Gard J. Kraus J. Lo D. Johnson	05/01/17	04/20/17	04/03/17	1	Resolved - appeal denied
0166-17-4	4	Appealing his background rejection for the 8124 Investigator position with the Dept of Police Accountability	06/01/17	06/05/17	Callahan Gard Fortes Thompson	08/21/17	08/10/17			
0329-16-2	2	Appealing MTA's proposed revisions to the 9153 Transportation Controller class specifications.	10/03/16	10/05/16	Reiskin Ellison Kim Leung	12/19/16	12/08/16	12/19/16	1	Resolved-Appeal denied - classification changes accepted
0061-17-6	6	Appealing the Human Resources Director's decision to determine insufficient evidence to support his discrimination complaint, EEO File No. 2123.	02/27/17	03/03/17	Callahan Gard Lew Simon Houston	05/15/17	05/04/17			
0139-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/09/17	05/10/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	06/22/17			

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0419-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0077-17-4	4	Appealing the exam administration for Class 2914 Social Work Supervisor	03/09/17	03/13/17	Callahan Gard Kraus Kim Biasbas Palma	06/05/17	05/25/17	04/13/17	4	Resolved Administratively
0140-17-2	2	Appealing the proposed minimum qualifications for the H-20 Lieutenant class specifications.	05/10/17	05/10/17	Callahan Gard Kraus Johnson Biasbas Ponder Bushong	07/03/17	06/22/17			
0352-16-4	4	Appealing the DHR decision not to extend the date for the H-40 Battalion Chief exam and the refusal to re-issue the exam announcement after February 7, 2017	10/27/16	10/28/16	Callahan Gard Johnson Bushong Kraus	12/19/16	12/08/16	12/19/16	1	Resolved administratively - appeal denied
0155-17-6	6	Appealing the HR Director's decision to administratively close the discrimination and harassment complaint EEO File No. 2321.	05/22/17	05/23/17	Callahan Gard Simon Tapia	08/07/17	07/27/17			
0421-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0182-16-4	4	Appealing the denial of her request to file an application for the H-30 50 Captain examination.	05/02/16	05/09/16	Callahan Gard Kraus Biasbas Johnson L.O.	07/18/16	07/07/16	07/18/16	1	Resolved - The commission adopted the staff report and denied the appeal
0080-17-6	6	Appealing the HR Director's decision to administratively close the discrimination complaint EEO File No. 2190.	03/09/17	03/13/17	Callahan Gard Simon Voccola	06/05/17	05/25/17	06/09/17	1	Resolved - appeal denied
0294-16-4	4	Appealing the administration of the 2944 Protective Services Supervisor (CBT 2944-901562 and CBT 2944-901120) exams	08/30/16	08/31/16	Callahan Gard Kraus Biasbas Palma	11/07/16	10/27/16	03/29/17	2	Resolved-Untimely
0117-17-6	6	Appealing the Director of Transportation's decision to administratively close his discrimination complaint EEO File No. 2268	04/14/17	04/21/17	Reiskin Ejlison Vavra- Johnson Simon	07/03/17	06/22/17	06/07/17	4	Resolved Administratively
0420-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Untimely
0077-17-4	4	Appealing the exam administration for Class Q-50 Sergeant	03/10/17	03/13/17	Callahan Gard Kraus Johnson Biasbas	06/05/17	05/25/17	04/10/17	4	Resolved Administratively

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0201-17-6	6	Appealing the HR Director's decision to administratively close the discrimination complaint EEO File No. 2333.	06/26/17	06/28/17	Callahan Gard Wong Simon Vaksberg	10/02/17	09/21/17			
0415-16-4	4	Appealing the rejection of his application for the Q-50 Sergeant exam.	12/13/16	12/15/16	Callahan Gard Kraus Johnson Biasbas	03/06/17	02/23/17	12/29/16	2	Resolved Administratively - Unlabeled
0219-16-4	4	Appealing the rejection of his application for the Class 7318 Electronic Maintenance Technician.	06/09/16	06/07/16	Callahan Gard Kraus Biasbas Charan	09/19/16	09/08/16	09/19/16	1	Resolved - denied appeal
0380-16-4	4	Appealing the administration of the Incident Simulation Exercise for the H-50 Assistant Chief exam.	11/21/16	11/22/16	Callahan Gard Kraus Biasbas Johnson Bushong	02/06/17	01/26/17	02/06/17	1	Resolved - denied appeal
0185-17-4	4	Appealing his background rejection for the 8124 Investigator position with the Dept of Police Accountability	06/05/17	06/09/17	Callahan Gard Fortes Thompson	08/21/17	08/10/17			
SEPARATIONS - REQUESTS FOR HEARING										
0194-17-7	7	Requesting a hearing on future employment restrictions as a 7458 Switch Repairer with the City and County of San Francisco	06/21/17	06/23/17	Reiskin Ellison Kim Helms	09/18/17	09/07/17			
0114-17-7	7	Requesting a hearing on his future employment with SFPD	04/10/17	04/11/17	Callahan Gard Bushong	07/03/17	06/23/17			
0010-15-7	7	Requesting a hearing on her future employment restrictions as a 2918 HSA Social Worker with the City and County of San Francisco	01/21/15	01/23/15	Callahan Gard Kim	03/16/15	03/05/15			8/17/15: Not scheduled for arbitration as of yet per HSA. 7/24/15: Arbitration on 9/22/15 - handled by DCA RB 06/01/15 Pending Arbitration; 05/04/15 Pending arbitration; 04/02/15 Arbitration.
0312-16-7	7	Requesting a hearing on his future employment as a 9152 Transportation Controller Trainee with MTA.	09/15/16	09/16/16	Reiskin Ellison Kim Helms	12/05/16	11/23/16	03/20/17	1	Resolved-Modified Restrictions to May request CSC to lift ban after 5 yrs comparable work experience
0231-16-7	7	Request for hearing on his future employability as a Q-2 Police Officer with SFPD	06/28/16	07/07/16	Callahan Gard Houston Struckman Worsham			10/19/16	5	Resolved - appeal withdrawn
0184-17-7	7	Requesting a hearing on future employment restrictions with SFPD	06/05/17	06/09/17	Callahan Gard Bushong	08/21/17	08/10/17			
0355-16-7	7	Request for hearing on her future employability with the City & County of San Francisco	11/01/16	11/01/16	Callahan Gard Leung Wong	02/06/17	01/26/17			05/26/17 GSA request to schedule meeting for 07/17/17; 05/23/17 GSA request to schedule for meeting of 06/19/17; 04/24/17 Appellant confirmed request to schedule hearing; 04/21/17 SV request to schedule for meeting of 6/5/17; L21 withdrew grievance; 02/02/17 Pending grievance
0136-16-7	7	Request for hearing on his future employability with the City & County of San Francisco	03/28/16	03/29/16	Callahan Gard Koehler	06/20/16	6/9/2016			04/01/17 Grievance Resolved; SHF working on staff report; 4/01/16 Appellant is currently in the grievance process for his termination. The department requests that the appeal be postponed until his termination grievance is resolved.

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0441-16-7	7	Requesting a hearing on his future employment as an 8214 Parking Control Officer with the City and County of San Francisco.	12/27/16	12/28/16	Reiskin Ellison Kim Helms	03/08/17	2/23/2017			3/6/17 Rescinded his request to withdraw appeal; CSC Reinstated appeal and will schedule to a future meeting
0272-16-7	7	Requesting a hearing on his future employability as a 7381 Automotive Mechanic with MTA	08/12/16	08/15/16	Reiskin Ellison Kim Helms Hamada	10/17/16	10/06/16	08/19/16	2	Resolved - untimely
0192-17-7	7	Request for hearing on future employment restrictions with the City & County of San Francisco	06/19/17	06/21/17	Gard Callahan Holmes	09/18/17	09/07/17			
0138-17-7	7	Request for hearing on her future employability with the City & County of San Francisco	05/08/17	05/10/17	Callahan Gard Kim Ellison	08/07/17	07/27/17			
0127-17-7	7	Request for hearing on his future employability as a Q-2 Police Officer with SFPD	04/25/17	04/26/17	Callahan Gard Houston Struckman Worsham	07/17/17	07/06/17			
0239-15-7	7	Requesting a hearing on his future employment as a 9163 Transit Operator with MTA.	07/10/15	07/13/15	Reiskin Ellison Kim Iborra	09/21/15	09/10/15			01/11/17 Appellant filed appeal with Superior Court on 5/17/16 DCA states in may be a while before the item is heard; 3/9/16 Litigation scheduled for 4/18/16; 01/21/16 Litigation; 8/21/15 - Department is requesting an extension to 10/7 or 10/21 to submit the staff report.
0151-17-7	7	Requesting a hearing on his future employment restrictions deemed unsatisfactory with MTA as a 9163 Transit Operator.	05/19/17	05/22/17	Reiskin Ellison Kim Helms	08/07/17	07/27/17			
0241-16-7	7	Requesting a hearing on future employment as a 9163 Transit Operator with MTA	07/14/16	07/18/16	Gard Reese Hamada	10/03/16		10/03/16	1	Resolved - appeal denied
0191-17-7	7	Request for hearing on her future employment restrictions y with the City & County of San Francisco	08/19/17	06/21/17	Gard Callahan Castillo	09/18/17	09/07/17			
0348-16-7	7	Request for hearing on his future employability as a Q-2 Police Officer with SFPD	10/24/16	10/28/16	Callahan Gard Houston Struckman Worsham	12/19/16	12/08/16			2/6/17 Continued to a future meeting
0125-17-7	7	Request for hearing on his future employability as a Q-2 Police Officer with SFPD	04/24/17	04/25/17	Callahan Gard Houston Struckman Worsham	07/17/17	07/06/17			
POSITION BASED TESTING										
0357-16-4	4	Appealing the exam results for PBT 1825-066918 at DPH	11/3/2016	11/4/2016	Callahan Gard	12/5/2016	11/23/2016	12/5/2016	5	Resolved-Withdrew appeal
0098-17-4	4	Appealing the Executive Officer's decision to concur with DHR determination to administratively close her PBT 1244 Senior Personnel Analyst exam administration appeal.	03/28/17	03/29/17	Kraus Blasbas Wetzel Cowan			05/01/17	1	Resolved - appeal denied

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0039-17-4	4	Appealing the exam administration for the 1244 Senior Personnel Analyst (PBT-1244-071929) position with DPH	02/17/17	02/27/17	Callahan Gard Kraus Biasbas	04/03/17	03/23/17	03/23/17		Resolved-Not appealable
0288-16-4	4	Appealing the rejection of his application for the class 7322 Automotive Body and Fender Assistant Supervisor (PBT-7322-901572) exam.	08/23/16	08/24/16	Reiskin Ellison Lee Leung	10/17/16	10/06/16	09/22/16	3	Resolved-Disqualification of PBT examination is not appealable to the Commission
0097-17-4	4	Appealing the Executive Officer's decision to concur with DHR determination to administratively close her PBT 1244 Senior Personnel Analyst exam administration appeal.	03/28/17	03/29/17				05/01/17	1	Resolved - appeal denied
0038-17-4	4	Appealing the exam administration for the 1244 Senior Personnel Analyst (PBT1244-071929) position with DPH	02/17/17	02/27/17	Callahan Gard Kraus Biasbas	04/03/17	03/23/17	03/23/17	3	Resolved - Not appealable
0048-17-4	4	Appealing the exam administration for the 1244 Senior Personnel Analyst (PBT1244-071929) position with DPH	02/23/17	02/27/17	Callahan S. Gard J. Kraus A. Biasbas	04/03/17	03/23/17	03/23/17	3	Resolved-Not appealable
0345-16-4	4	Appealing exam administration for PBT #2917-066106	10/17/16	10/21/16	Callahan Gard Kim	11/21/16		11/17/16	4	Resolved administratively - 11/17/16
0083-17-4	4	Appealing the exam administration for PBT 8603 Emergency Services Coordinator III - Port Emergency Operations Planner (PBT 8603-063838) at the Port.	03/15/17	03/22/17	Callahan Gard Kraus Biasbas Holmes	04/17/17	04/06/17	04/17/17	1	Resolved - appeal denied
0008-17-4	4	Appealing the administration of the 1823 Senior Admin Analyst (PBT-1823-071388) exam	01/10/17	01/11/17	Callahan Gard Kraus Biasbas Voccia	03/20/17	03/09/17	03/20/17	1	Resolved-appeal upheld
0096-17-4	4	Appealing the Executive Officer's decision to concur with DHR determination to administratively close her PBT 1244 Senior Personnel Analyst exam administration appeal.	03/28/17	03/29/17				05/01/17	1	Resolved - appeal denied
0037-17-4	4	Appealing the exam administration for the 1244 Senior Personnel Analyst (PBT1244-071929) position with DPH	02/17/17	02/27/17	Callahan Gard Kraus Biasbas	04/03/17	03/23/17	03/23/17	3	Resolved-Not appealable

Number of Appeals	
Carried Over from FY2015-16	18
Appeals Received in FY2016-17	85
Total Number of Appeals in FY16-17	103

Total Appeals by Category	
Classification (2)	5
Compensation (3)	0
Examination (4)	35
EEO/Discrimination (6)	21
Future Employment Restrictions (7)	19
Personal Services Contracts (8)	1
Position-Based Tests	12

Resolutions	
Hearing at CSC (1)	31
Untimely (2)	13
Not Appealable (3)	4
Resolved Administratively (4)	12
Other (5)	6
Total Resolved	66
% Resolved	64%

ATTACHMENT C

FY 2016-17 Inspection Log

Total for 2016-17		88							
Totals by Category									
Letter or Email	54	Phone	34						
Resolved in 60 days	62	70%							
Appointments (1)	23	Examinations (2)	16						
Conflict of interest (3)	1	ERO Administrator (4)	0						
Salary Setting (5)	0	Rule Application (6)	16						
Certification/Selection (7)	20	Classification (8)	0						
Miscellaneous (9)	12	Layoffs (10)	0						
Code	Received Date	Letter or Email	Phone Walk in	Issue	Job Class	Dept	Resolution/Remedy	Date Resolved	60 days
1	7/5/2016	1		Complainant alleges that employee in class 2718 does not meet minimum qualifications and was appointed due to relationship with supervisor.	2718	SFO	Review conducted - employee meets the qualifications (11 yrs exp) and the selection/appointment was conducted in compliance with Rules - allegations have no merit LM	8/12/2016	Y
9	7/5/2016	1		Complainant alleges that incumbent/employee (J.B.) in class 1446 does not meet minimum qualifications for position and that HR analyst did not verify her qualifications/work experience.	1446	MTA	Review conducted - employee meets MQ's and HR obtained and verified work experience documents. - LM	7/21/2016	Y
2	7/12/2016	1		Alleges bias and inconsistency in the exam rating process.	6319	PUC	Review conducted - allegations were without merit. Exam process was conducted in accordance with Rules and HR policies. - LM	8/8/2016	Y
7	7/27/2016	1		Alleges selection process was discriminatory	8210	REC	Review conducted - the 3 appointees were reachable eligibles. The dept complied with Rules and post referral policies. - LM	9/6/2016	Y
2	8/1/2016	1		Exclusion from the 1244 Sr. Personnel Analyst Examination Participation	1244	PUC	Refer to DHR for further review and response MB		N
2	8/4/2016	1	1	PBT Examination Administration needs to be redone	8159	CSS	PBT Exam: Administration appealable matters include; inconsistency of exam administration, bias of raters, and failure to provide uniform standards (Rule 111A.35.2); appeal within 5th business date of email notification date. SE	8/4/2016	Y
7	8/11/2016	1		Alleges unfair post-referral selection process	931	SFO	Post Referral process was conducted in accordance with Post Referral Selection policy. All candidates that participated were interviewed in a fair and consistent manner. - LM	9/13/2016	Y
2	8/15/2016	1		Inspection service request regarding the exam for Class 8159 - dept retracted first exam and administered an amended exam.	8159	CSS	review completed - dept under direction of RAS replaced initial exam (supplemental questionnaire) with a written test because questionnaire was not a good testing instrument. There were no violations as the dept has the authority and discretion to do so when issues are identified and it is preferable to administer a more adequate testing instrument. - LM	9/19/2016	Y

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1	8/15/2016	1		Deputy Director does not meet MQs. position was created for a particular person	932	PUC	Appointee met MQs, was reachable eligible and completed a competitive selection process. SE	10/4/2016	Y
1	8/19/2016	1		Employee/applicant received military order for active duty training and will miss written examination date but will return before adoption of eligible list. is dept required to conduct make up examination?		HSA	Recommended dept conduct make up examination. Rule 120.26.11 SE	8/22/2016	Y
2	8/19/2016	1		Challenging the pass/fail rating for the performance exam that he took.	8238	DEM	Provided explanation to applicant that the exam consisted of 12 modules and each had to be passed. There were no cutoff scores. - LM	10/5/2016	Y
2	8/24/2016	1		Eligibles did not meet MQs	3372	GSA	Eligibles met MQs and were reachable eligibles	4/3/2017	N
2	8/24/2016	1		Eligibles did not meet MQs	3371	GSA	Eligibles met MQs and were reachable eligibles	4/3/2017	N
2	8/24/2016	1		No examination conducted. applicants were not screened	2578	GSA	An examination was conducted for the position	4/3/2017	N
6	8/25/2016		1	If employee is released from promotive position during probationary period, can they return to previous PCS position?		MTA	If employee is released for disciplinary reasons, dept will determine future employability. If employee is released for non-disciplinary reasons, employee will revert back to position from which promoted. Rule 417.9 SE	8/25/2016	Y
6	8/26/2016		1	If TEXP/EX employee is appointed to PCS position in the same classification, are they still required to complete a full year probationary period?			Rules require employees in a new PCS position or new department to complete a probationary period: MOUs state the duration of the probationary period SE	8/26/2016	Y
6	8/31/2016		1	If 2 departments merge together, do exempt appointees have any protection?			Exempt appointees are "at will" and serve at the discretion of the appointing officer. new AO will review pending projects, performance, skills and experience needed, budget. If exempts are separated, they may apply for exempt positions in the new department or compete in examination. SE	8/31/2016	Y
9	9/7/2016	1		Alleges that incumbents in 8314 Chief Deputy Sheriff are not qualified for class.	8314	SFSD	review pending - Michael Brown working with Ted Yamasaki re issue of qualifications and exempt status for class.		N
6	9/8/2016		1	Favoritism, appointees were had a close/personal relationship with Nomi Cardona Maligner, Director of Business Services	1054 1095	DPH	Reviewing records SE/EA		N
6	9/13/2016		1	Can a retiree return to work for the City?			Yes. Retiree should contact the Retirement Center, may be reappointed (Rule 114.30); department is may or may not approved the reappointment. SE	9/13/2016	Y
2	9/21/2016		1	Examination question biased towards internal candidates.	7228 7249	MTA	Department reviewed question and will inform applicants to also include outside experience. SE	9/23/2016	Y

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7	9/22/2016	1		1	Alleges that wife was not selected for Auditor II because the cert rule was changed and process unfair.	1684	Con	Initially cert rule was Rule of Three and then amended to Rule of Five once the union agreed. Applicant Audrey Uratani was interviewed as a reachable eligible. Selection made to appoint eligibles in ranks 2 & 4. There were 2 vacancies so reachable ranks were 1-6. Entire selection process was in compliance with Rules and DHR policies. Referred to EEO for discrimination issues. - Information discussed thoroughly on the phone with complainant. - LM HSA followed Rules & HR protocols. Applicant qualified to take exam. - LM	9/26/2016	Y
9	9/28/2016	1		9704	Allegations that applicant I.F. does not meet min qualifications for Class 9704 and should not have been allowed to take the exam.	9704	HSA	Dr. A. C. began employment with DPH after Dr. E. C. was appointed to current position. Insufficient evidence or information provided to conduct further investigation. - LM	11/17/2016	Y
1	10/3/2016	1			Allegation that Dr. E. C. has received promotions due to personal connections with her sister Dr. A. C.		DPH		10/5/2016	Y
6	10/14/2016	1		1	If employee is on probationary period and accepts a promotional exempt position, will the duration of the exempt appointment count towards completing the probationary period of the PCS position?			Only if the employee takes a leave of absence from current position to take exempt position that is still under the same appointing officer (Rule 117.5.1). SE	10/14/2016	Y
9	10/17/2016	1		9704	Allegations that applicant I.F. does not meet min qualifications for Class 9704 and has been appointed to position which is a discretionary hire.	9704	HSA	Applicant meets MQ's - dept has not made any appointments. - LM	11/21/2016	Y
2	10/19/2016	1		2917	Review requested because he believes his exam was not fairly rated - scores were too low and he didn't pass.	2917	HSA	HSA cancelled recruitment and will re-administer a new exam on 12-6-16. Applicant notified. - LM	11/21/2016	Y
9	10/20/2016	1		923	Allegation that Alison Johnson was given an advantage in the recruitment process and therefore scored higher in exam.	923	SFRS	Review Conducted - dept selected candidate who was rank I - Ms. Johnson. Full compliance of Rules and procedures. - LM	12/20/2016	Y
7	10/27/2016	1		9152	Favoritism in the hiring process; manager previously knew or work with 5 of the appointees	9152	MTA	MTA conducted initial review SE	10/28/2016	Y
9	11/4/2016	1		932	Allegation of nepotism hiring - 0932	932	DPW	GSA explained that S. Zuniga has been in class 0932 since January 2012 at DPW and remains on their payroll while reassigned in her current class to the Mayor's office due to her experience. No violations - LM	1/3/2017	Y
9	11/4/2016	1		2917	Allegation of nepotism and appointee does not meet MQ's for - 2917.	2917	DPW	Employee meets the MQ's - LM	1/3/2017	Y
7	11/10/2016	1		7514	Was notified that his rank on eligible list was changed from #7 to #41 and questions the fairness of this.	7514	SFO	There was a clerical error - 60 SLE points were incorrectly added to E. Young's score when the SLE points were to be awarded to B. Young. The clerical correction was made which resulted in E. Young's rank change. E> Young was notified of this by the dept. - No violation of Rules. - LM	11/14/2016	Y
2	11/14/2016	1		6124	Issues regarding the exam administration - management test battery was difficult to maneuver through due to font size, etc.	6124	DPH	DHR reviewed issues o protest/complaint and provided detailed response to complainant. Issues were not appealable and DHR addressed each issue in evidentiary detail. The exam was administered in full compliance. - LM	11/28/2016	Y
2	12/16/2016	1		8239	Claims irregularities in the oral exam and with the panel members.	8239	DEM	Exam was replaced by new exam. - LM	12/20/2016	Y

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1	12/20/2016	1		Favoritism and dept manipulated the process to hire Mason Fong who is not qualified.	923	CON	Dept complied with Rules and procedures. Appointee is qualified. - LM	2/2/2017	Y
7	12/29/2016		1	Favoritism-Panelist is the direct supervisor of the candidate	3417	PUC	No favoritism. Supervisor was a panelist, no violation. Ms. Humphries (candidate) participated in the oral interview, did not continue to the next phase of screening. SE/EA	5/15/2017	N
7	12/27/2016	1		Nepotism and Favoritism: dept. not making appointments allegedly because family and friends are not reachable	1452	SFPD	No nepotism/favoritism. One vacancy was filled by reachable eligible and second vacancy by a lateral transfer from another dept. SE/EA	4/3/2017	N
1	12/29/2016	1		Nepotism in the hiring of Fatal Oshl-Ojuri for the PCS position	1822	PUC	Met MQs, reachable eligible and successfully completed competitive selection process for 1822.; no family involved in both hiring processes SE/EA	3/15/2017	N
1	12/29/2016	1		Nepotism in the hiring of Fatal Oshl-Ojuri for the PEX position	1823	CON	Met MQs and completed competitive selection process; no family involved with hiring process; family members work in different divisions and no direct or indirect supervision SE/EA	3/15/2017	N
1	12/29/2016	1		Anonymous complaint alleging that Baojie Yan and Yuyi Huang were hired into 7510 positions at SFO and do not meet the MQs for the position -	7510	SFO	Both appointees meet the MQs - LM	2/28/2017	Y
1	1/6/2017	1		Manager hired son and is supervising his son.	7540	MTA	CSC Policy requires to report if direct/indirect supervision of family member; all applicants required to report on application if family members employed with the City; employee met MQs; waiting for dept. response SE/EA		N
9	1/10/2017	1		Allegations regarding appointees not meeting minimum qualifications and nepotism/favoritism within the Treasurer and Tax Collector Office.		TTX	No nepotism; appointments according to Rules and policies - each appointee reviewed meets MQs for their positions. - LM	3/1/2017	Y
7	1/13/2017	1		Can A department hire from an expired eligible list?	1070	AIR	Department may have an active Certified Referral List; Certified Referral List: PBT-1070-069753 is still active and extended to March 3, 2017 SE	1/18/2017	Y
2	1/18/2017		1	Why is a department only notifying applicants 4 days in advance of the date of the examination?	2917	HSA	Applicants may ask for a make up examination if they will be out-of-town or seriously ill; departments are not required but may be able to accommodate; dept placed exam date on announcement and instructions on how to request make up exam date. SE	1/18/2017	Y
7	1/19/2017		1	Can A department hire from an expired eligible list?			The department may have an active Certified Referral List	1/19/2017	Y
6	2/9/2017	1		Alleges rule violations in the appointment of Heshima Hardy to class 2587 without conducting selection procedures.	2587	DPH	There are no violations - employee is in TEX category 17 status for class 2587 to replace an employee on LOA. The Director has the discretion and authority to make this type of appointment. - LM	2/16/2017	Y
7	2/9/2017	1		Unfair hiring process; raters were biased	1820	MTA	Pending SE		N
7	2/9/2017	1		Unfair hiring process; raters were biased	1824	MTA	Pending SE		N
7	2/9/2017	1		Unfair hiring process; raters were biased	1840	MTA	Pending SE		N
7	2/9/2017	1		Unfair hiring process; raters were biased	5288	MTA	Appointee met MQs, successfully completed competitive selection process; Job related uniform questions and rating criteria SE		N

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7	2/13/2017		1	Ranked #8 on eligible list and questions why eligibles with lower ranks have been hired.	7346		Citywide recruitment for 18 positions; reachable eligibles initially in ranks 1-20. Explained process to complainant by phone on 02/17/17	2/15/2017	Y
6	2/13/2017		1	Released from probationary period of promotive position but old department did not allow him to reinstated to previous position.	2940 2716	DPH MTA	Contacted department to inform them of reversion rule 417.9.3; employee released from promotive probationary period shall revert to a class from the position from which promoted. SE	2/13/2017	Y
9	2/13/2017		1	Separated because of ADA	2996	HRC	Separations are not under CSC jurisdiction; referred employee to HRC, DHR, and SEIU; SE	2/21/2017	Y
1	2/15/2017		1	Can the department add special condition if the PBT announcement did not list special condition?	5303	MTA	Employee met the MQ so they are on the eligible list; dept may have a vacancy with special condition after the announcement and eligible list was posted; dept required to notify all eligibles of a vacancy with a special condition to determine if any reachable eligibles meet special condition. SE	2/15/2017	Y
1	2/15/2017		1	Alleges that Director of Legacy Program at DPH has unethically promoted an employee to Class 2587 by not following selection procedures and that dept staff have been lied to about this.	2587	DPH	PeopleSoft data reviewed and confirms that appointee in question is in a Temporary Exempt status category 17. TEX positions are not subject to Civil Service procedures. The Director has not provided false information to staff; in fact was honest in informing staff that the appointment is to replace an employee on leave. There is no merit to the complaint/allegation. - LM	2/16/2017	Y
1	2/28/2017		1	WB alleges that MTA created a phoney PEX 9180 (Manager IV) position at MTA and appointee did not meet the MQs.	9180	MTA	The need for the 9180 position stemmed from a court ruling. 9180 appointee met MQs; waiting for documentation SE/JB		N
7	3/3/2001		1	Alleging rank 16 not a reachable eligible and higher ranks eligibles were not considered for position	8214	MTA	Ranks 1 -23 reachable eligibles. Those selected for interviews were reachable eligibles. No violation in the use of the screening tool developed by MTA to select eligibles for the oral interviews. - SE/EA	5/9/2017	N
3	3/3/2017		1	Supervisor in a romantic relationship with member of staff		FIR	CSC Policy on Family and Romantic Relationships at Work do not allow supervisors to supervise individuals whom are involved in a romantic relationship with the supervisor; Department may authorized another manager; Referred to department for review and plan. SE		Y
6	3/8/2017		1	Can a department reassign an employee in a "set post" to another location? Is there a rule on reassignments?		GSA	Rule 109.6.2 Appointing officer has the authority to reassign the work of an employee as long as the work is performed is within the employee's classification; MCOU may state another requirements regarding reassignments. SE	3/8/2017	Y

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6	3/8/2017		1	Does PCS employee who was released from probationary period have reversion rights to previous PCS position in which they did not complete the probationary period? If employee is released from exempt position, do they have reversion rights to previous position in which they did not complete the probationary period?		RET ASR	Rule 117.9.3 If employee has a non-disciplinary release from a promotive probationary period (pb), the employee has reversion rights to the previous position promoted from (Rules do not require employee to have completed pb of previous position). Displacements may occur and department may extend pb if necessary. Rule 120.31.1 Employees must have completed the probationary period to qualify for a leave to accept an exempt position in other department. Rule 114.27.1 An active employee must have completed the pb in the previous position to be eligible for reinstatement to the previous position. SE	3/9/2017	Y
2	3/9/2017		1	Why are applicants not allowed to use previously banked scores? Is this appealable?		1244	If it is the same standardized examination, applicants may use banked scores. If there is a completely new standardized examination, all applicants must participate. DHR informed applicants in advance. Applicants may appeal the examination administration. SE	3/9/2017	Y
1	3/10/2017	1		Dept director inappropriately hired 2 individuals because of personal friendships with them.	8177	OCC	The appointments are exempt and not subject to civil service rules - category 13 in accordance with Charter. No evidence to sustain allegations. no violations. - LM	3/16/2017	Y
6	3/15/2017	1		If non-disciplinary release from promotive probationary period, what rights? If non-disciplinary release from probationary period of transfer, what rights? If employee wants to return to previous position, what rights?		DHR	Rule 117.9.3 Reversion rights if non-disciplinary release from promotive probationary period; displacement may occur. Rule 114.27 if non-disciplinary release from probationary period of transfer, employee may request reinstatement to previous position if they completed the probationary period of the previous position; requires department approval SE	3/15/2017	Y
6	3/20/2017		1	Released from promotive probationary period; was not informed of what is available to him; unable to return to previous position because he did not complete probationary period of previous position unless approved by department; can he return or reinstate?	2905	HSAM TA	Rule 117.9.3 Reversion rights if non-disciplinary release from promotive probationary period; displacement may occur; dept working with previous dept on reversion rights; reinstate is only available for previous PCS position in which the probationary period has been completed and with approval of dept SE	3/21/2017	Y
6	3/23/2017		1	was not informed that position had special condition on being bilingual; just did not pass written; being released and not informed on what happens next	2905	HSAD PH	Almost completed probationary period in previous position; Rule 117.9.3 Reversion rights if non-disciplinary release from promotive probationary period; displacement may occur; the previous dept may extend probationary period upon return. SE	3/22/2017	Y
6	3/24/2017		1	Union was not informed of the reason for release			An employee may be released at anytime during their probationary period; Rules do not require the appointing officer to state the reason for the release from probationary period. SE	3/24/2017	Y
2	3/27/2017	1		States that she took written exam on computer yet the dept states that no exam was recorded so she does not progress through the selection process.	2940	HSA	Applicant given opportunity to take a different exam. - LM	4/14/2017	Y

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1	3/31/2017	1		Applicant alleged that he was unfairly disqualified from taking the PBT exam.	5177	DPH	Applicant lacked occupational safety courses under substitution E - JB/SE	4/20/2017	Y
7	4/3/2017	1		Allegation that 4 supervisors did not follow hiring protocols regarding the appointments of 7 individuals at DPW.		DPW	Review found no violations of selection process for PCS appointments. The TEX appointment did not follow HR protocol in obtaining verification of work experience. - LM	5/24/2017	Y
9	4/5/2017	1		Inquiry regarding reassignments and selection process.	2914	HSA	Clarified that division can require exp and knowledge specific to the performance of duties required for the position functions for reassignments. Can also refer to MOU.	4/5/2017	Y
9	4/13/2017	1		Inquiry regarding tie scores in seniority.	8208	REC	Explained that Rules only reference the process for addressing tie scores in seniority for circumstances of layoff. The department has the authority to implement their process when it comes to shift bidding, etc.	4/13/2017	Y
9	4/14/2017	1		Inquiry regarding special conditions for 2017 recruitment at HSA	2917	HSA	special conditions were specified in notice of referrals and dept has the authority to assign pertinent special conditions	4/14/2017	Y
7	5/19/2017	1		Allegation that appointee to Class 1452 was hired inappropriately due to personal relationship with interview panel member.	1452	SFFD	No merit to allegation - appointee qualified and was a reachable eligible who participated in the post-referral process. - LM	6/19/2017	Y
1	5/24/2017	1		Anonymous alleges that three (3) Class 1241 appointees did not meet the MQs for the position.	1241	DPH	Pending appeal SE/JB		P
6	5/26/2017	1		Promotive Points - 111A.13			Explained rule 111A.13 - MB	5/30/2017	Y
7	6/1/2017	1		selection and hiring process for the recent 2110 & 2112 classification at ZSFG	2110 & 2112	DPH	The recruitment & posting of exam announcements were in compliance with Commission Rules and the CBA between the CITY and SEIU.No indication that anyone was excluded from applying for positions. - LM	8/1/2017	Y
6	6/9/2017	1		Resigned from new department and informed unable to return to previous position		SFPD H.S.A.	Employee voluntarily resigned from position and has already been separated; may request reappointment if the employee completed probationary period and resigned with satisfactory services in previous position; needs the departments approval. SE	6/9/2017	Y
1	6/13/2017	1		Favoritism in the selection of TEX As-Needed Porters	2736	DPH	Pending SE/JB		P
1	6/13/2017	1		Favoritism in the selection of Permanent Civil Service Porters	2736	DPH	Pending SE/JB		P
1	6/13/2017	1		Favoritism in the transition of TEX As-Needed Porters to permanent positions	2736	DPH	Pending SE/JB		P
1	6/13/2017	1		Favoritism in the transition of TEX As-Needed Porters to TEX Cat. 17-18 positions	2736	DPH	Pending SE/JB		P
1	6/27/2017	1		Favoritism in the promotive process for the Porter Supervisor I	2740	DPH	Pending SE/JB		P
1	6/27/2017	1		Favoritism in the promotive process for the Porter Assistant Supervisor I	2738	DPH	Pending SE/JB		P
1	6/20/2017	1		If less than 3 internal candidates in the department are interested in reassignment, what CSC Rules are applicable?		ASR	Rules 109.6.2, 109.9 and 114.3 state that the appointing officer has broad authority to assign duties consistent with the level of responsibility of the employee's classification; according to the MOU, if less than 3, the appointing officer may select the least senior employee or use any of the methods (i.e. transfer, eligible list) listed in Rule 114 Appointments. SE	6/20/2017	Y
2	6/22/2017	1		Review of the selection process for the 7257 examination. Alleges one of the raters of the oral examination directly supervises one of the candidates.	7257	PUC	Pending SE/JB		P

ATTACHMENT D

CIVIL SERVICE COMMISSION



MERIT SYSTEM AUDIT PROGRAM

FISCAL YEAR
2016-2017

Prepared by:

Luz Morganti
Senior Human Resources Analyst
Civil Service Commission

INTRODUCTION

The role of the Civil Service Commission is to oversee and protect the civil service merit system for the City and County of San Francisco.

The Civil Service Commission is authorized by Charter (Article X Section 10.101. General Powers and Duties) to establish rules, policies and procedures to carry out the merit system provisions of the Charter. The Commission provides oversight and hears appeals on examinations, eligible lists, minimum qualifications, classification, discrimination complaints, future employment restrictions with the City and other merit system matters.

In its effort to ensure compliance of the civil service merit system, the Commission delineates responsibilities and goals to the Civil Service Commission Department Staff for the purposes of coordinating/conducting open dialog and discussion on the merits of existing rules, policies and procedures; make recommendations for change; and, where departmental staff, employee organizations, employees, applicants and members of the public can obtain consistent, fair and concise information on the merit system, the jurisdiction of the Civil Service Commission, and the application of its Rules, policies and procedures.

COMPLIANCE REVIEW AND TECHNICAL ASSISTANCE

Charter Section 10.101 states, "The Commission shall have the power to inquire into the operation of the civil service merit system to ensure compliance with merit principles and rules established by the Commission." The Civil Service Commission at its meeting on October 16, 2006 gave general directions for the Civil Service Commission staff to conduct audits in order to determine if City and County departments are adhering to Federal and California State Law as well as compliance with existing Civil Service Commission Rules, policies and procedures.

Under its Charter Authority, the Civil Service Commission staff conducts an annual Audit Program. The purpose of the Audit Program is to ensure compliance with merit system Rules, policies and procedures established by the Civil Service Commission through the investigation of the conduct or actions of appointees in all positions.

MERIT SYSTEM AUDIT PROGRAM GOALS & OBJECTIVES

The Merit System Audit Program was designed to assess compliance of Civil Service Commission Rules, policies and procedures utilized by City and County departments. Commission audit reviews may include, but are not limited to auditing departmental records, determining compliance with departmental and merit system practices and interviewing and applying relevant merit system Rules, policies and procedures. When an audit/review is conducted and completed, Civil Service Commission staff prepares a written report outlining the subject matter of the audit, an analysis and summary of the findings, and if identified to be applicable, recommendations regarding areas requiring corrective action will be noted. The results and/or recommendation of an audit review could also include scheduling the matter for Civil Service Commission consideration and action if necessary or appropriate.

In summary:

- The audit is a mechanism utilized to assist departments in reviewing their internal procedures regarding the compliance of Civil Service Commission Rules, policies and/or procedures.
- The audit review provides an assessment as to whether there is compliance of required documentation and/or records, and recommends changes that may be needed to meet compliance standards.

ACKNOWLEDGMENT

Appreciation is extended to the departments and their staff who graciously participated in the audit.

FISCAL YEAR 2016-17 AUDIT OBJECTIVES

All candidates selected for permanent civil service, provisional and exempt appointments must meet the minimum qualifications for the jobs to which they are appointed. It is the City's policy that employment verifications for all applicants be completed by departmental Human Resources professionals prior to an offer of employment with the City and County of San Francisco. This means that prior to extending an employment offer, or processing a candidate's appointment, hiring departments are required to verify information provided by the applicant regarding their qualifying experience and education. Throughout this fiscal year, the Commission received numerous complaints alleging that appointees did not meet the required qualifications for the position to which they were appointed. The Commission also received complaints by individuals questioning the justifications for exempting certain positions under Charter Section 10.104 and 10.105.

Therefore, this fiscal year the Commission focused on reviewing the following selection and appointment practices for nine recruitments conducted by various City departments in order to assess the department's compliance with applicable Charter provisions, Commission Rules, and merit system policies and procedures:

1. Information provided on Permanent Civil Service examination announcements regarding appeal rights and other required information;
2. Departmental practices with respect to the verification and documentation of minimum qualifications for individuals appointed to Permanent Civil Service (PCS), or Exempt positions;
3. Departments' justifications for exempting positions from civil service appointment, selection and removal procedures in accordance with Charter Section 10.104; and
4. The Post-Referral Selection process for Permanent Civil Service appointments.

The position recruitments for the following departments listed below were selected for the Fiscal Year 2016-17 Merit System Audit Program.

Department	Classification	Job Type
Building Inspection	6321 Permit Technician I	Permanent Civil Service
Fire	5215 Fire Protection Engineer	Permanent Exempt
Municipal Transportation Agency	5203 Assistant Mechanical Engineer	Permanent Exempt
Municipal Transportation Agency	5207 Associate Engineer	Permanent Exempt
Public Utilities Commission	5201 Junior Engineer	Temporary Exempt
Public Utilities Commission	5203 Assistant Engineer	Temporary Exempt
Public Works	5201 Junior Engineer	Permanent Exempt
Public Works	5203 Assistant Engineer	Permanent Exempt
Public Works	5216 Chief Surveyor	Permanent Civil Service

STANDARDS

QUALIFICATIONS OF APPLICANTS

Commission Rule 110.9 Qualifications of Applicants states in part,

“Every applicant for an examination must possess and maintain the qualifications required by law and by the examination announcement for the examination. Experience gained in violation of Commission Rules shall not be recognized. City and County employees shall receive credit only for the duties of the class to which appointed or assigned unless sufficient and credible documentation is provided to verify performance of other duties. Employees may receive credit for duties not usually performed by incumbents in a class if their employee file contains contemporaneous documentation that the duties were assigned and performed. By way of example but not limitation, records that describe and verify the out-of-class assignment that may be accepted as documentation include a valid performance appraisal completed during the normal evaluation period, payroll records filed at the time of the assignment and Notice of Assignment. Credit for duties not usually performed by incumbents in a class based on non-contemporaneous documentation shall require the certification of the Appointing Officer and the approval of the Human Resources Director...”

Commission Policy and Procedures on Exempt Appointments states in part,

“Exempt appointees must possess the minimum requirements for their class or position as established by the last examination announcement or class specification, whichever was issued most recently with a statement of the minimum qualifications. The department must verify and document that the individual meets the minimum qualifications for his or her exempt position in accordance with the Department of Human Resources’ policies and procedures; such documentation must be maintained in the employee’s personnel file in accordance with the Commission’s “Citywide Employee Personnel Records Guidelines.”

Department of Human Resources Memorandum No. 08-2010 – Verification of Employment History Information and Access to Employment Records in PeopleSoft

This memorandum outlines procedures and policies regarding obtaining employment history and reference checks for current and past City employees prior to making a job offer. It states in part, “It is the City’s policy that employment verifications for all applicants be completed by departmental Human Resources professionals prior to an offer of employment with the City and County of San Francisco. It is particularly important that departmental Human Resources professionals review and verify employment history information for current and past City employees who are under consideration for appointment to a City position (e.g., promotion, transfer, “Prop F” hire, etc.). To facilitate that review, departmental Human Resources professionals now have access to the PeopleSoft system for purposes of employment verification prior to employment.”

Department of Human Resources Policy on Verifying Possession of Minimum Qualifications (in-service conducted at HR Professional meeting on 8/19/2009)

“All candidates selected for permanent civil service, provisional and exempt appointments must meet the minimum qualifications for the jobs to which they are appointed at the time of the deadline published on the announcement. *Prior to extending an employment offer, hiring departments shall verify information provided by the applicant regarding their qualifying experience.*”

The policy provides specific instructions on “how” and “when” to verify an applicant’s qualifications:

- When an applicant’s qualifying experience was obtained through employment with the City and County of San Francisco the verification should be performed by the Department Personnel Officer or designee, who will check available PeopleSoft records. Credit for experience obtained outside of the employee’s class will only be allowed if it was recorded and placed in the personnel file at the time the assignment was made. Qualifying experience of City and County employees should be verified prior to the examination. City and County experience should be verified by the recruiting analyst at the time of application.
- In order to verify work experience earned outside of City and County of San Francisco employment, the hiring authority must contact the candidate’s current and/or former employers to confirm dates of service, job titles(s) and duties performed. *A record of this contact must be made.* If this verification information cannot be obtained, the hiring authority shall keep a written record of the due diligence efforts that were made. The hiring authority must seek verification from a candidate’s current and/or former employers prior to making an employment offer. Verification may be solicited at the time of reference checks.

EXAMINATION ANNOUNCEMENTS

Department of Human Resources Procedures

Human Resources procedures state that the announcement will include directions on when and where to file an application, a description of job duties, salary, qualification requirements, a description of the selection procedure(s) including, when relevant, the form, content and weight of each section of an examination. It establishes whether the examination is open on an entrance, promotive or combined entrance and promotive basis. The applicable certification rule is also specified.

Commission Rule 110.2 Examination Announcements and Rule 111.A Position Based Testing states in part, “The examination announcement shall be the official notice of an examination and shall provide the qualifications, dates, and other particulars regarding the selection procedure. Applicants are guided solely by the terms of the examination announcement”.

Civil Service Commission Rules 211 for the San Francisco Police Department, 310 for the San Francisco Fire Department and 410 for the Municipal Transportation Agency also address the subject of Examination Announcements and are similar in content provisions. In summary:

- Every applicant for an examination must possess and maintain the qualifications required by law and by the examination announcement for the examination.
- Examinations are conducted to rate the capacity of the applicants to perform the job of which the applicant is applying.
- Examinations may include, but are not limited to one or more testing devices such as written examinations, oral interviews, performance exercises, or any other device or method to determine merit and fitness for tested positions.

APPEALS OF EXAMINATIONS

Commission Rule 110 Examination Announcements and Applicants Section 110.4 Appeals of Examination Announcements states:

“Appeals concerning the provisions of an examination announcement must be received by the Human Resources Director within five (5) business days from the issuance date. The Human Resources Director shall rule on all appeals and shall notify appellants in writing of the decision. This decision is subject to appeal to the Commission as provided elsewhere in these Rules”.

Civil Service Commission Rules 211 for the San Francisco Police Department, 310 for the San Francisco Fire Department and 410 for the Municipal Transportation Agency also address the subject of Examination Announcements and Appeals and are similar in content provisions. However, Rule 310.3 Protests and Appeals of Examination Announcements requires appeal to be received within seven (7) business days from the issuance date.

If the job announcement is for a Position-Based Test (PBT), it is then subject to Civil Service Commission Rule 111A Section 111A.35.1 Appeals of the Examination Announcement.

EXEMPTING POSITIONS FROM CIVIL SERVICE APPOINTMENT

Commission Rule Series 14 Appointments: Section 114.44 Exclusions from Civil Service Appointment states:

All permanent employees of the City and County shall be appointed through civil service process by competitive examination unless exempted from civil service examination and selection process in accordance with Charter provisions. Appointments excluded by Charter from the competitive civil service examination and selection process shall be known as exempt appointments. Any person occupying a position under exempt appointment shall not be subject to civil service selection, appointment, and removal procedures and shall serve at the pleasure of the appointing officer.

Civil Service Commission Policy and Procedures

Post-Referral Selection Process Requirements

An appointing officer is afforded a great deal of discretion and authority in both determining the appropriate non-discriminatory and merit-based method to screen eligibles who have expressed interest in a position, as well as ultimately selecting the candidate that he or she believes is best suited to perform the duties of the specific position to be filled based on that screening process.

The appointing officer has the discretion to determine the appropriate screening and selection processes, provided that they are: 1) merit-based; 2) job-related; 3) non-discriminatory; and 4) documented. Merit-based screening and selection criteria *may* include, for example, any one or more of the following: performance on the examination; responses to job-related panel interview questions; performance assessments; reviews of examination application materials and/or written supplemental submissions (e.g., to determine the possession of desirable qualifications as posted on the examination announcement); work performance; disciplinary history; reference checks; etc.

Overview on Exempt Appointments

Exempt appointment is defined as an appointment to a permanent or temporary position exempt from competitive civil service selection, appointment and removal procedures in accordance with the Charter. Exempt employees are considered “at will” and serve at the discretion of the department head.

A. Categories of Exempt Appointments

The Charter provides for 20 categories of employment excluded from civil service, which are generally organized into groups.

1. Group I: Charter Sections 10.104-1 through 12 is comprised of a variety of positions such as deputy directors, department heads, executive assistants, confidential secretaries and legislative analysts/assistants. This group is subject to a Charter-imposed “cap” of the percent of full-time exempt employees to the total number of employees that existed on July 1, 1994. In accordance with the Charter, the Commission established the cap at 2%.
2. Group II: Charter Sections 10.104-13 through 15 are attorneys, physicians, hospital chief administrators, dentists and District Attorney investigators. The Commission plays no role with respect to these appointments.
3. Group III: Charter Sections 10.104-16 through 19 includes temporary and seasonal appointments which do not exceed half time (1040 hours of service) in a fiscal year, appointments to temporarily backfill civil service employees on leave (limit of 2 years), special projects and professional services with limited term funding (limit of 3 years), and the City’s program for the employment of severely disabled persons.
4. Group IV: Charter Section 8A.104 (i) is comprised of managerial employees in MTA

service-critical positions/classifications designated by the Director of Transportation as exempt from civil service. They are also subject to a cap – the total number of these positions may not exceed 2.75% of the MTA’s total workforce.

B. Two Types of Exempt Appointments

There are two types of exempt appointments: Permanent Exempt (“PEX”) and Temporary Exempt (“TEX”). PEX and TEX appointments may be made to positions that have either part-time or full-time schedules. However, PEX appointments are authorized in the Annual Salary Ordinance (“ASO”) and are therefore generally part of a department and more permanent in nature. TEX appointments are not authorized in the ASO, and they are often of shorter duration and are irregularly scheduled to fill in temporarily or on an “as needed” basis.

Any of the Charter exempt categories can be PEX or TEX, with the exception of those appointments exempted from civil service under Charter Sections 10.104-16 (also known as “As-Needed”), which are exclusively TEX appointments.

Review of Exempt Appointments

The Commission has delegated to the Human Resources Director the authority to review and approve written requests for all exempt positions under Charter Section 10.104 (Groups I through III) (other than “service-critical” positions at the MTA) to ensure that they comply with the Charter and any applicable Civil Service Rules and/or Commission policies as detailed herein. The Commission has also directed the Human Resources Director to establish procedures to ensure that written departmental requests for Group III exemptions are processed expeditiously.

Likewise, the Director of Transportation is responsible for ensuring that any MTA “service-critical” exempt appointment under Charter Sections 10.104 (Groups I through III) or 8A.104 (Group IV) complies with the Charter and any applicable Civil Service Rules and/or Commission policies as detailed herein.

Decisions by the Human Resources Director and Director of Transportation on exempt appointments may be appealed to the Commission in accordance with the Civil Service Rules. The Commission’s decisions on such appeals are final.

Charter Section 10.104 Exclusions From Civil Service Appointment states in part,

All employees of the City and County shall be appointed through competitive examination unless exempted by this Charter. The following positions shall be exempt from competitive civil service selection, appointment and removal procedures, and the person serving in the position shall serve at the pleasure of the appointing authority.

The Charter Section applicable to this audit review is the following:

- 18. Appointments, which shall not exceed three years and shall not be renewable, for special projects and professional services with limited funding, except that such positions may be filled through regular civil service procedures.

SUMMARY ANALYSIS OF AUDIT FINDINGS

EXAMINATION ANNOUNCEMENTS

The audits related to the selected nine (9) recruitments included a review of the examination announcements regarding the content of information provided to job applicants including information regarding appeal rights if applicable. An announcement is the official notice of an examination for a specific job classification. Announcements are issued by the Department of Human Resources (DHR) and by departments with decentralized examination units. Human Resources procedures state that the announcement will include directions on when and where to file an application, a description of job duties, salary, qualification requirements, a description of the selection procedure(s) including, when relevant, the form, content and weight of each section of an examination. It establishes whether the examination is open on an entrance, promotive or combined entrance and promotive basis. The applicable certification rule is also specified.

Civil Service Commission Rule 110 Examination Announcements and Applicants Section 110.2 and Rule 111A Position-Based Testing (PBT) Section 111A.7.1 states: *The examination announcement shall be the official notice of an examination and shall provide the qualifications, dates, and other particulars regarding the selection procedure. Applicants are guided solely by the terms of the examination announcement.* Civil Service Commission Rules 211 for the San Francisco Police Department, 310 for the San Francisco Fire Department and 410 for the Municipal Transportation Agency also address the subject of Examination Announcements and Appeals and are similar in content provisions.

Civil Service Commission Rule 110 Examination Announcements and Applicants Section 110.4 Appeals of Examination Announcements states in part, *“The Human Resources Director shall rule on all appeals and shall notify appellants in writing of the decision. This decision is subject to appeal to the Commission as provided elsewhere in these Rules”*.

If the job announcement is for a Position-Based Test (PBT), it is then subject to Civil Service Commission Rule 111A Section 111A.35.1 Appeals of the Examination Announcement.

FINDINGS

Each job/examination announcement was thorough in providing detailed and applicable information.

MINIMUM QUALIFICATIONS

Minimum qualifications (MQs) as listed on the job/examination announcement are formal statements describing what is required for individuals to have in order to compete further in the employee selection process. They are descriptions of the education, training, work experience, licenses, certifications, etc., that one must have to possess the competencies needed to perform a job at entry. Applicants who do not meet the stated MQs are eliminated from the selection process. Screening applications on the basis of MQs is considered a selection procedure that is covered by the Federal Uniform Guidelines on Employee Selection Procedures. To successfully withstand Title VII lawsuits that allege discrimination or other illegal hiring practices, any MQ that is used to screen applicants must be job-related and consistent with business necessity. Generally, the minimum qualifications for the tested position will remain the same as the minimum qualifications that are stated in the class specification.

Verification as Part of the Application Process

Applicants may be required to submit verification of qualifying education and experience, at any point in the application, examination or departmental selection processes. All documents related to verification of minimum qualifications are required to be obtained prior to the appointment date of the candidate and are to be in the OEPF exhibiting compliance of procedures and policies. This refers to all candidates selected for permanent civil service, provisional or exempt appointments.

Verification of work experience must be on the employer's letterhead, and must include the applicant's name, job title, description of job duties, dates of service, and signature of the employer. San Francisco City and County employees do not need to submit verification of their City employment, but must submit verification of outside experience. San Francisco City and County employees will not receive credit for experience obtained outside of their classification unless recorded in accordance with the provisions of the Civil Service Rule Series 10.

In general, there are a number of documents that can be requested and used to assess employment verification of experience:

- Transcripts, licenses or certifications
- Standard letters (on letterhead) from employers
- Performance evaluations that describe duties performed
- DHR Employment Verification form
- PeopleSoft records or appointment processing form

The following provides limited information regarding experience and can be used when other verification is not obtainable:

- W2 form
- Income tax returns
- Paycheck stubs

FINDINGS

All of the appointees reviewed for this audit were deemed by their respective department appointing officers or designees to have met the minimum qualifications for the position to which they were appointed.

The Department of Human Resources policy requires that all documents related to verification of minimum qualifications are to be obtained prior to the appointment date of the candidate and are to be in the OEPP exhibiting compliance of procedures and policies. This applies to all candidates selected for permanent civil service, provisional or exempt appointments. Of the five (5) departments that participated in this audit, four (4) complied with this procedure illustrating that each appointee is qualified for the position to which appointed.

One department failed to obtain verification of work experience for two (2) appointees prior to the appointee's start date. As a result of this audit and request, Human Resources staff for this department obtained the work experience verifications for these exempt appointees. Review of the applicable documents validates the qualifications for each one. The DHR policy and expectations to have this verification at the time of appointment has been re-addressed with the department's Departmental Personnel Officer.

Another department did not take note that in their files were expired licenses of two (2) appointees for positions that require valid/current licenses such as a California driver's license and Land Surveyor license. Current licenses were verified and copies have been placed in the OEPP.

In summary, required documents pertaining to this audit for selected appointees were appropriately obtained prior to the appointment date and for one department out of compliance the documents have now been obtained as a result of this audit. Each of these appointees meets the qualifications for their position.

EXEMPTING POSITIONS FROM CIVIL SERVICE APPOINTMENT

In accordance with its Charter authority, the Commission has adopted Rules and policies that allow the Director of Transportation (for “service-critical” positions at the Municipal Transportation Agency (“MTA”)) and the Department of Human Resources (“DHR”) (for all other positions) to approve exempt positions in Group III, subject to appeal to the Civil Service Commission.

FINDINGS

The Exempt Request Justification Forms were audited for presence and completeness. The audit included four (4) departments which posted recruitments for Permanent Exempt and Temporary Exempt status positions.

The Exempt Justification forms were provided for each appointment and the reasons for exemption met the criteria of the Charter.

APPOINTMENT PROCESSING

The Appointment Processing Forms were audited for completeness.

FINDINGS

Two departments did not thoroughly complete the relevant sections in the Appointment Processing Forms. The form has a section to be completed to validate that the Pre-employment process was completed. The Checklist is in Section IX: OTHER on the form:

Pre-employment Checklist:

- Restrictions Check Internal Employment Check Education Check
- Conviction History Review External Employment Checks Reference Check

Specifically, one (1) department did not verify the work experience for each appointee. Completing this section holds value of its importance as this section serves as a final reminder (checklist) to ensure that these processes have been reviewed and completed and also that the required documents have been obtained.

It is recommended that this section accurately reflect which documents are applicable and have been obtained as part of the Pre-employment review.

OVERALL SUMMARY

This year’s audit illustrates how the Merit System Audit Program is indeed a constructive mechanism utilized to assist departments in reviewing their internal procedures regarding the compliance of Civil Service Commission Rules, policies and Department of Human Resources procedures.

One department that participated in the audit did not obtain the required documentation to verify the appointee's qualifying work experience prior to appointment which demonstrated for the purposes of this audit that the department failed to adhere to Human Resources policy. The Department of Human Resources policy and procedures state "prior to extending an employment offer, hiring departments shall verify information provided by the applicant regarding their qualifying experience." This applies to all candidates selected for permanent civil service, provisional and exempt appointments. The Commission's policy on exempt appointments also requires that the department must verify and document that the individual meets the minimum qualifications for his or her exempt position in accordance with the Department of Human Resources' policies and procedures and that such documentation must be maintained in the employee's personnel file in accordance with the Commission's "Citywide Employee Personnel Records Guidelines."

Documents verifying the qualifications of each appointee were obtained by the departments. Although one department obtained the qualifying verification documents after appointment for two appointees, this was not in compliance with DHR policy.