



MONTGOMERY
C O U N T Y
Made of Something Stronger

TABLE OF CONTENTS

	Page
Purpose and Effect	2
Rule I Definitions.....	3
Rule II Exempt Class.....	4
Rule III Non-Competitive Class.....	4
Rule IV Labor Class.....	4
Rule V Unclassified Service.....	5
Rule VI Recruit Personnel.....	5
Rule VII Applications.....	6
Rule VIII Disqualifications.....	6
Rule IX Examinations.....	7
Rule X Eligible Lists.....	9
Rule XI Certification.....	10
Rule XII Promotions.....	12
Rule XIII Probationary Terms.....	12
Rule XIV Trainee Appointments.....	15
Rule XV Effects of Temporary or Provisional Appointment on Status of Appointees.....	15
Rule XVI Transfers.....	16
Rule XVII Reinstatement.....	17
Rule XVIII Leave of Absence.....	18
Rule XIX Resignation.....	19
Rule XX Reports of Appointing Officers.....	20
Rule XXI Certification of Payrolls.....	21
Rule XXII Classification Plan.....	22
Rule XXIII Prohibition Against Questions Eliciting Information.....	23
Rule XXIV Layoff of Competitive Class Employees.....	24

RULES FOR THE CLASSIFIED CIVIL SERVICE OF MONTGOMERY COUNTY

PURPOSE AND EFFECT

It is hereby declared to be the purpose of these rules to provide an orderly and uniform system for the administration of Civil Service in Montgomery County on a basis of merit and fitness as provided in the Civil Service Law of the State of New York. These rules have the force and effect of law, and apply to all positions in the classified service of Montgomery County as well as the towns, villages and special districts therein. These rules may be amended by the Personnel Officer after public hearing and subject to the approval of the State Civil Service Commission.

RULE I

DEFINITIONS

Unless otherwise expressly stated or unless the context or subject matter requires a different meaning, the several terms hereinafter mentioned, whenever used in these rules, shall be construed as follows:

1. **“Employee”** means the incumbent of a position holding the position in accordance with these rules and the Civil Service Law.
2. **“Position”** means an office or employment involving an aggregation of duties to be performed and responsibilities to be exercised by one person.
3. **“Compensation”** means the remuneration of a position and shall include food, lodging, maintenance and commutation when same is furnished.
4. **“Eligible list”** means an official record kept in the Personnel Office as a public record which contains the names of those persons who have successfully completed examination, listed and ranked in order of their final ratings from the highest to the lowest rank.
5. **“Part-time employment:** means any employment or a combination of one or more employments in a civil division which an individual works 50% or less of the time prescribed as a normal workweek by the authority of the civil division.
6. **“Transfer”** means the change, without further examination, of a permanent employee from a position under the jurisdiction of one appointing authority to a similar position under the jurisdiction of another appointing authority.
7. **“Reassignment”** means the change, without further examination, of a permanent employee from one position to another similar position under the jurisdiction of the same appointing authority.
8. **“Municipality”** means county, town, city, village or special district.

RULE II

EXEMPT CLASS

1. Positions in the exempt class are those for which competitive or non-competitive examinations or other qualification requirements are not practicable. (Civil Service Law, Section 41)
2. Positions in the exempt class shall be listed in Appendix A of these rules and made a part hereof.

RULE III

NON-COMPETITIVE CLASS

1. A position in the non-competitive class may be filled by the appointment of a person who meets the minimum qualifications established for such position by the Personnel Officer. A nomination for such an appointment shall state the qualifications of the nominee and shall be filed by the appointing authority with the Personnel Officer. Such appointments shall become effective only after approval by the Personnel Officer.
2. Position in the non-competitive class shall be listed in Appendix B of these rules and made a part hereof.

RULE IV

LABOR CLASS

1. The labor class shall include unskilled laborers.
2. A position in the labor class may be filled by the appointment of any person Selected by the appointing officer of the agency where a vacancy exists, and the Personnel Officer may require applicants for employment in the labor class to qualify in such tests of their fitness for employment as may be deemed practicable.
3. positions in the labor class shall be listed in Appendix C of theses rules and made part hereof.

RULE V

UNCLASSIFIED SERVICE

Positions in the unclassified service shall be listed in Appendix D of these rules and made a part hereof as though set forth in full herein.

RULE VI

RECRUITMENT OF PERSONNEL

1. Residence requirements for municipal positions.
 - a. An applicant must be, at the time of examination and for at least one month prior thereto a resident of the municipality in which appointment is to be made or any reasonable combination of municipalities both in and outside of New York State contiguous to the municipality in which appointment is to be made or contiguous to the municipality in which such municipality is located as determined by the Personnel Officer. Residence requirements may be suspended or reduced by the Personnel Officer in cases where recruitment difficulty makes such requirements disadvantageous to the public interest.
 - b. When preference in certification is given to residents of a municipality pursuant to subdivision 4-a of section 23 of the Civil Service Law, an eligible must have been a resident of such municipality for at least one month prior to the date of certification in order to be included in a certification as a resident of such municipality and must be a resident of such municipality at the time of appointment.
2. Announcements of examinations.

The public announcement of an examination shall specify the application fee, if any, the title, salary or salary range, the duties of the position, the minimum qualifications required, the final date for filing applications, the subjects or scope of the examination and the relative weights thereof, and the date and place of the examination. Public notice of open-competitive examinations shall be made at least twenty-five days before the date of the examination and must be conspicuously posted in a public place for fifteen days. The last day for filing applications shall be at least ten days before the date of the examination.

RULE VII

APPLICATIONS

1. Applications of candidates for positions in the competitive class and for positions in the non-competitive class must be addressed to the Personnel Officer at the Personnel Department.
2. The Personnel Officer shall notify each applicant of the disposition of his application. Approved applicants for competitive examination shall be given notice of their approval at least four days before the examination.
3. A candidate's application for examination may be exhibited, upon request, to the appointing officer to whom his name is certified, or to his representative; provided, however, that information therein relating to the candidate's national origin or indicating where his citizenship is by birth or naturalization shall not be divulged. Before a candidate's application for examination is exhibited to the appointing officer or his representative, all reference therein to the candidate's national origin or to the basis of his citizenship shall be concealed.

RULE VIII

DISQUALIFICATIONS

1. Good moral character and habits and a satisfactory reputation shall be requirements for appointment to any position subject to these rules. Any applicant who is found to lack such requirements shall be disqualified for examination, for certification and appointment.
2. A record of disrespect for the requirements and processes of law, including repeated traffic offenses or disregard of summonses for traffic offenses, may be grounds for disqualification for examination or, after examination, or certification and appointment.
3. The burden of establishing his qualifications to the satisfaction of the Personnel Officer shall be upon the applicant. Any applicant who refuses to permit the Personnel Officer to investigate matters necessary for the verification of his qualifications or who otherwise hampers, impedes or fails to cooperate with the Personnel Officer in such investigation shall be disqualified for examination or, after examination, for certification and appointment.

RULE IX
EXAMINATIONS

1. The marking of each competitor's examination shall be made on the scale of 100, which maximum shall represent the best performance possible, expected or attained, and 70 shall represent a performance meeting minimum needs of the position to be filled. The Personnel Officer may, after the announcement of the examination is made, sub-divide the written examination into parts and require a passing mark of 70 in each of the parts in order that candidates be considered further for eligibility. Notice of such arrangement shall be given in the instructions on the written examination. Where the written test is prepared and rated by the State Civil Service Commission in accordance with Section 23, subdivision 2 of the Civil Service Law, the provisions of the rules and regulations of the State Civil Service Commission and Department dealing with the rating of examinations shall apply.
2. The Personnel Officer shall adopt a system to conceal the identity of the candidate's papers in a written examination until such written examination has been rated.
3. For examinations prepared and rated by the Personnel Officer, applications and examination records and papers of candidates shall be preserved until at least six months after the expiration of the eligible list resulting from such examination, but in no event may records be destroyed except in accordance with the policies of the State Commissioner of Education and the State Civil Service Commission. Whenever an oral test shall be prescribed as part of an examination, a stenographic or recording device record of all the questions and answers shall be made a part of the examination records.
4. Every candidate in an examination shall be notified of this final rating and, if successful, of his relative position on the eligible list established as a result of the examination. Except for candidates in continuous recruitment examinations, any candidate receiving such notice, or his duly authorized representative, may inspect his examination papers in the office of the Personnel Officer, provided he makes request for such inspection, in writing, within the period of ten days after the date of the post-mark of such notice. The application and examination papers of a candidate shall be exhibited only to the candidate or his duly authorized representative, designated as such in writing. The application of an eligible who is being considered for appointment may be sworn to the appointing officer.
5. a. A candidate who wishes to appeal to the Personnel Officer from his rating in one or more, or all of the subjects of an examination must submit such appeal in writing within twenty days after the earliest date on which his examination papers were made available for his inspection. Such appeal must show that a

manifest error was made in the original rating. Such appeal shall be considered as opening all of the candidate's papers for review, whether resulting in a higher or lower average standing. No change in rating shall be made as a result of an appeal unless it shall affect the candidate's relative position on the eligible list.

- b. For examinations prepared and rated under Section 23(2) of the Civil Service Law, the State Civil Service Commission shall have sole and exclusive authority to correct any errors in rating upon appeal or otherwise. The review of papers by candidates and the filing of appeals in such examinations shall be governed by the rules and regulations of the State Civil Service Commission and Department.
 - c. The Personnel Officer may at any time during the life of an eligible list, resulting from an examination prepared and rated by the Personnel Officer, correct any clerical or computational errors in the ratings of candidates who competed in the examination.
 - d. Any change in an eligible list pursuant to this rule shall be made without prejudice to the status of any person previously appointed as a result of such examination.
6. Rating keys shall be prepared for each examination held. Such keys shall be a permanent part of the record of each examination.
 7. Examination material security. In order to prevent the unauthorized publication and dissemination of examination, material the following acts are prohibited except as authorized by the Personnel Officer.
 - a. No person shall copy, record, or transcribe any examination question or answer; or remove from the examination room or possess outside the examination room, any question sheet, answer sheet or booklet, scrap papers, notes or any other papers or materials relating to such examination.
 - b. A candidate in an examination shall not, at any time, communicate with an examiner concerning the conduct or content of such examination; and shall not directly or indirectly communicate to any other person information concerning the content of such examination until completion of the testing of all candidates.

No examiner, proctor or other person charged with the supervision of a candidate or group of candidates during an examination shall have authority to waive the provisions of this subdivision. A person, who is found by the Personnel Officer to have violated the provisions of this subdivision or any similar provision of the rules of any other civil service jurisdiction within the State of New York, shall be disqualified from appointment to the position for which the examination is being held and may be

disqualified from being a candidate for any civil service examination for a period of five years.

RULE X

ELIGIBLE LISTS

1. Every candidate who attains a passing mark in an examination as a whole and who meets the standards prescribed, if any, for separate subjects or parts of subjects of the examination shall be eligible for appointment to the position for which he was examined and his name shall be entered on the eligible list in the order of his final rating; but if two or more eligible's receive the same final rating in the examination, they shall be ranked in accordance with such uniform, impartial procedures as may be prescribed therefore by the Personnel Officer.
2. The date of the establishment of a list shall be the date fixed therefore by the Personnel Officer, and shall be entered on such list. The duration of all eligible lists shall be fixed by the Personnel Officer prior to the establishment of such lists, but shall not be less than one nor more than four years. The date of establishment of a list and its duration shall be given to all successful candidates at the time when notice of standing on the eligible list is given to such candidates. Where the duration of an eligible list is fixed at less than four years, the Personnel Officer may, prior to the expiration date of such list, extend the duration of the list up to the maximum limitation of four years, provided that eligible's on such list are notified in writing of the extension of the eligible list.
3. Eligible lists shall be open to public inspection at the office of the Personnel Officer. The names of the persons who failed to receive a passing grade on the examination shall not be disclosed to the public.
4. The Personnel Officer shall have power in his discretion to correct any error and amend any eligible list where it appears that an error has been made. The Personnel Officer shall have power to revoke any eligible list where the provision of these rules were not properly or sufficiently carried out; provided, however, that an eligible list shall not be revoked except after notice and opportunity to be heard has been given to all persons whose names appear thereon. The reasons for such action shall be recorded by the Personnel Officer and reported to the State Civil Service Commission.

RULE XI
CERTIFICATION

1. The Personnel Officer shall determine the eligible list most nearly appropriate for the position to be filled, and shall certify to the appointing authority a sufficient number of eligible's from which selection for appointment may be made. When the name of any eligible is included in a certification for appointment, the names of all other eligible's on the list having the same final rating as such eligible shall likewise be included in such certification.
2. A certification issued by the Personnel Officer to an appointing officer shall be valid for a period of 30 days from the date of issuance. After the expiration of such 30 day period, no appointment shall be made except from a new certification. The Personnel Officer, for good cause shown, may extend a certification up to a maximum of sixty days upon request of an appointing authority.
3. When an eligible is canvassed for appointment or is offered appointment in writing, and fails to state his willingness to accept such appointment within four business days after the mailing of such canvass or offer, or before the end of the next succeeding business day if such canvass or offer is sent to him by telegram, he may be considered ineligible for purposes of making selection for such particular appointment.
4. The name of the person declining appointment shall be eliminated from further certification from the eligible list unless declination is for one or more of the following reasons: (a) Insufficiency of compensation offered when below minimum of grade of the position for which the examination was held; (b) Location of employment; (c) Temporary inability, physical or otherwise, which must be satisfactorily explained by the eligible in writing. The Personnel Officer shall enter upon the eligible list the reasons for its actions in such cases.
5. Except as otherwise provided herein, appointment or promotion to a position in the competitive class shall be made by the selection of a person on the most nearly appropriate eligible list who is willing to accept such appointment and whose final rating in the examination is equal to or higher than the rating of the third highest ranking eligible on the list indication willingness to accept such appointment. The term "ranking" as used herein refers to the order in which the names of eligible's appear on the eligible list as provided in rule ten.
6. Whenever a vacancy exists in a position in the competitive class and an open competitive examination duly advertised results in three or fewer approved applicants for the examination, the appointing officer may nominate to the Personnel Officer one of the applicants who may be certified for appointment to fill the vacancy without further examination, provided that he has already

qualified in an examination of equivalent character within the last four years from the date of nomination.

7. Wherever one or more eligible's shall have declined any appointment offered and an eligible, whose relative standing is lower and who was reachable on the certification only because of the aforesaid declination, shall have been appointed to the position, the salary or compensation of such appointee shall not be increased, except by a service or a class wide increase, within a period of six months after their appointment beyond that offered to the persons so declining.
8. An open competitive, promotion or preferred eligible list shall not be certified for filing a permanent competitive class vacancy created by reclassification of a permanently encumbered competitive class position if the appointment or promotion from such list would require the layoff of a permanent employee; but this provision shall not apply if the incumbent whose position was reclassified has, following such reclassification, either refused to take an examination for such reclassified position or failed to qualify for appointment, examination or promotion to such position.
9. When a vacancy exists in a permanent competitive class position and a permanent competitive class candidate in direct line of promotion, as defined in these Rules, is nominated for non-competitive promotion examination in accordance with Section 52(7) of Civil Service Law, the Personnel Officer may determine that the appropriate examination for such non-competitive promotion shall consist of a review of the candidate's training and experience at the time of nomination.

If the Personnel Officer determines the candidate's training and experience meets or exceeds the open-competitive qualifications for the position, the candidate shall be certified as eligible for permanent promotional appointment to the position subject to a probationary period.

10. Whenever a vacancy exists in a position in the competitive class and an open competitive examination duly advertised results in three or fewer approved applicants, and the announced minimum qualifications for the position included a requirement of possession of a license or certificate in a profession issued by the State of New York, the Personnel Officer may waive the examination and certify for appointment to the appointing authority the names of such qualified applicants, provided, however, that such applicants have been licensed or certified in the profession by the State of New York.

RULE XII
PROMOTIONS

1. In no case shall any person be eligible to participate in a promotion examination until he has served at least six months on a permanent basis in a lower grade position.
2. Any person who is nominated for non-competitive examination for promotion to a position and who fails to pass two successive examinations for such promotion shall not thereafter be eligible for employment in such position, except by appointment or promotion from an eligible list established following competitive examination.
3. Promotion examinations for non-competitive class employees shall, in addition to the requirements of Civil Service Law, Section 52(12), require that applicants shall have been employed in a full-time position at a salary level less than that assigned the position for which promotion examination is to be held.

RULE XIII
PROBATIONARY TERM

1. Probationary term
 - a. Except as herein otherwise provided, every permanent appointment from an open competitive list and every original appointment to a position in the non-competitive, exempt or labor class shall be for a probationary term of not less than eight nor more than fifty two weeks.
 - b. The probationary term for training positions, in which an appointee is required to serve a specified training term, shall not be less than twelve nor more than fifty two weeks.
 - c. Every permanent appointment from a promotion list resulting from a departmental or interdepartmental examination admitting non-competitive class employees shall be for a probationary period of twelve weeks.
 - d. An appointment shall become permanent upon the retention of the probationer after their completion of the maximum period of service or upon earlier written notice following completion of the minimum period of service that their probationary term is successfully completed. A copy of such notice shall be sent to the Personnel Officer.

If the conduct or performance of a probationer is not satisfactory, his employment may be terminated at any time after the completion of the minimum period of service, and on or before completion of the maximum period of service in the manner prescribed in these rules.

2. Interdepartmental promotions and transfers.

An interdepartmental promotion or transfer means a promotion or transfer from a position in one department to a position in another department. Every interdepartmental promotion or transfer shall be for a probationary term of twelve weeks. If the conduct or performance of the probationer is not satisfactory, his employment in such position shall be discontinued at the end of such term. For the purposes of this subdivision, the term "promotion" shall include the appointment of an employee to a higher-grade position in the non-competitive or exempt class.

3. Restoration to permanent position.

When a permanent employee is promoted or transferred to a position in which he is required to serve a probationary term, the position thus vacated by him shall not be filled, except on a temporary basis, during such probationary term. At any time during such probationary term the employee shall have the right to return to his previous position at their own election. If the conduct or performance of the probationer is not satisfactory, he shall be restored to his former permanent position at the end of his probationary term.

4. Absence during probation.

Any period of authorized or unauthorized absence aggregating up to ten workdays during the probationary term, may, at the discretion of the appointing authority, be counted as time served in the probationary term. Any such periods of absence in excess of an aggregate of ten days shall not be counted as time served in the probationary term. The minimum and maximum periods of the probationary term of any employee shall be extended by the number of workdays their absence, which, pursuant to this section, are not considered as time, served in the probationary term.

5. Report on probationer's service.

The probationer's supervisor shall carefully observe his conduct and performance and, at least two weeks prior to the end of the probationary term, shall report thereon in writing to the proper appointing authority. The supervisor shall also, from time to time during the probationary term, advise the probationer of his status and progress. A probationer whose services are to be terminated for unsatisfactory service shall receive written notice at least one week prior to such termination and, upon request, shall be granted an interview with the appointing authority or his representatives.

6. Restoration to eligible list.

A probationer whose employment is terminated or who resigns before the end of his probationary term may request that his name be restored to the eligible list from which he was appointed, provided such list is still in existence. His name may be restored to such list if the Personnel Officer in his discretion determines that the probationer should be given a second opportunity for appointment.

7. Temporary or provisional service in higher-level position.

When an employee who has not completed his probationary term is appointed on a temporary or provisional basis to a higher level position, the period of temporary or provisional service rendered by such employee in such higher level position, may at the discretion of the appointing authority, be considered as satisfactory probationary service in his lower position and may be counted as such in determining the satisfactory completion of such probationary term. At any time after the expiration of the minimum period of the probationary term, or the entire probationary term if it be one of fixed duration, the appointing authority shall, upon request of such probationer, furnish his decision in writing as to whether or not service in such higher-level position shall be considered as satisfactory probationary service. In the event of an adverse decision by the appointing authority, such probationer, at his request, shall be returned to his lower position for sufficient time to permit him to complete his probationary term. The employment of such a probationer in his lower position shall not be terminated at the end of his probationary term on account of unsatisfactory service unless he shall have actually served in such position, in the aggregate, at least the minimum period specified for such probationary term or the entire probationary term if it be one of fixed duration.

8. Removal during probationary term.

Nothing contained in this rule shall be construed to limit or otherwise affect the authority of an appointing authority pursuant to section seventy-five of the Civil Service Law, at any time during the probationary term, to remove a probationer for incompetency or misconduct.

9. Notwithstanding any other provisions of these rules, the appointment or promotion of a police officer shall not become permanent unless and until he has satisfied such requirements as may be applicable to him under section two hundred nine-q of the general municipal law. If a police officer is promoted to a higher rank for which he has met all requirements of eligibility for permanent promotion except training requirements applicable under section two hundred nine-q of the general municipal law, he shall be deemed to be on leave of absence from the lower rank position from which he was promoted pending completion of such training. During such period, such lower rank position may not be filled except on a temporary basis. In the event of his failure to complete such training successfully within the time allowed therefore, he shall be restored to such lower rank position.

10. An employee who is reinstated to a position after a separation of more than one year, either in his former jurisdiction or another jurisdiction shall serve a new probationary period in the same manner and subject to the same requirements as apply upon the original appointment to such position.

RULE XIV

TRAINEE APPOINTMENTS

The Personnel Officer may require that permanent appointments or promotions to designated position shall be conditioned upon the satisfactory completion of a term of service as a trainee in such a position or in an appropriate, lower training title or the completion of specified training or academic courses, or both. The period of such term of training service shall be prescribed by the Personnel Officer. Upon the satisfactory completion of such training term, and of specified courses if required, an appointee shall be entitled to full permanent status in the position for which appointment was made. Any appointment hereunder shall be subject to such probationary period as is prescribed in these rules. Also, the employment of such person may be discontinued if his conduct, capacity of fitness is not satisfactory, or at any time if he fails to pursue or continue satisfactorily such training or academic courses as may be required.

RULE XV

EFFECT OF TEMPORARY OR PROVISIONAL APPOINTMENT ON STATUS OF APPOINTEE

1. Effect of temporary appointment on eligibility for permanent appointment.
 - a. The acceptance by an eligible of a temporary appointment shall not affect his standing on the eligible list for a permanent appointment, nor shall the period of temporary service be counted as part of the probationary service in the event of subsequent permanent appointment.
 - b. When an appointment to an encumbered position is made from an eligible list and the appointee is, at the time of appointment, reachable for permanent appointment on such eligible list, he shall, at such time that the incumbency is vacated, be eligible for permanent appointment to the same position or another position in the same class, notwithstanding the fact that the eligible list on which his name originally appeared may have expired, nor shall the period of temporary service be counted as part of the probationary period.

2. Provisional appointment of permanent employee.
 - a. When a permanent competitive class employee is given a provisional appointment to another competitive class position in the same department or agency, the position thus vacated by him shall not be filled on other than a temporary basis pending his reinstatement thereto upon failure of his provisional appointment to mature into permanent appointment.
 - b. A provisional appointee may return to his/her permanent position at any time during provisional term of appointment by providing written notice to the appointing authority requesting to be returned to such permanent position. The appointing authority shall return such provisional appointee to his/her permanent position within fifteen days of receipt of such written notice.
3. Successive provisional appointment.
 - a. No provisional employee who has twice failed the examination for permanent appointment or refused to take such examination, shall be given another provisional appointment in the same position.
 - b. The term of provisional appointment shall end within the time period prescribed in subdivision 3 of section sixty-five of the Civil Service Law or upon the receipt of the results of an examination wherein no candidates passed the appropriate examination. A provisional employee, who fails to qualify on an appropriate examination, may be authorized a second provisional appointment at the discretion of the appointing authority and the Personnel Officer if the eligible list contains less than three eligibles from which to make a permanent appointment to the position.

RULE XIV

TRANSFERS

1. Transfer of eligibility for permanent appointment.

Upon the written request of an individual and the prospective appointing authority, and subject to the approval of the Personnel Officer, any individual serving in a competitive class position as a permanent appointee may be permanently appointed to another competitive class position subject to these rules without further competitive examination, provided:

- a. There is no preferred list appropriate for filling the position to which appointment is sought containing the name of an eligible willing to accept appointment; and

- b. There is no departmental promotion list for the position to which appointment is sought containing the names of three or more eligible's willing to accept appointment; and
- c. 1) The Personnel Officer determines that the examination's scopes and qualifications for the positions held and to which appointment is sought are identical; or
2) When the examination's scopes and qualifications are not identical, the New York State Department of Civil Service has determined that the examinations for the position held involved or would involve essential tests and qualifications the same as or greater than those of the position to which appointment is sought; and
- d. The Personnel Officer has determined that such appointment is for the good of the service.

RULE XVII

REINSTATEMENT

- 1. A permanent competitive class employee who has resigned may be reinstated without further examination to the position from which he/she resigned, if then vacant, or in any vacant position to which the employee was eligible for transfer or reassignment. An employee who is laid off shall be eligible for reinstatement in the same manner as an employee who has resigned.

All reinstatements are subject to the following terms and conditions:

The prospective appointing authority must request approval from the Personnel Officer to reinstate an individual.

A reinstatement may not be approved to a position for which a preferred list exists containing the name of an eligible willing to accept appointment.

With the exception of an employee who is being reinstated to his/her former position within one year from resignation, a reinstatement may not be approved to a position for which a promotion eligible list exists containing the names of three or more eligible's willing to accept appointment.

The Personnel Officer shall determine if the reinstatement is for the good of the service.

Reinstatement following a break in service of more than one year must also satisfy the following additional condition:

The appointment authority must provide documentation or explanation that demonstrates to the satisfaction of the Personnel Officer that the individual requested to be reinstated possessed current knowledge and skill in the occupational field to which reinstatement is sought.

If the position to which reinstatement is sought requires successful completion of medical and/or physical agility tests for original appointment, the individual being reinstated must satisfy these criteria immediately prior to reinstatement.

Time spent in active service in the military or naval forces of the United States or of the State of New York, or any time served in another position in the civil service of the same municipality shall not be counted in computing the one year period within which a person may be reinstated after resignation.

RULE XVIII

LEAVE OF ABSENCE

1. A leave of absence without pay, not to exceed one year, may be granted to an employee by an appointing officer. Notice of such leave of absence shall be given to the Personnel Officer. Where a leave of absence without pay has been granted for a period, which aggregates one year, a further leave of absence without pay shall not be granted unless the employee returns to his position and serves continually therein for three months immediately preceding the subsequent leave of absence. Notice of such subsequent leave of absence shall also be given to the Personnel Officer. Absence on leave for more than one year shall be deemed the equivalent of a resignation from the service upon the date of commencement of such absence, except as provided in subdivision 2 of this rule.
2. In an exceptional case, the Personnel Officer may for good cause shown waive the provisions of this rule to permit an extension of the leave of absence for an additional one-year period. In no case may such leave of absence exceed in aggregate two years from the date of commencement of the leave.
3. A leave of absence without pay, not to exceed four years, shall be granted by an appointing officer to an employee who is a veteran of the Armed Forces of the United States, providing such a leave of absence is for the purpose of taking courses under the educational benefits provided for in Title 38, United States Code or under a New York State Board of Regents War Scholarship, Education Law, Section 614. An employee taking such a leave shall be reinstated to his position provided they make an application for such reinstatement within sixty days after the termination of his courses of study.

RULE XIX

RESIGNATION

1. Resignation in writing.

Except as otherwise provided herein, every resignation shall be in writing.

2. Effective date.

If no effective date is specified in a resignation, it shall take effect upon delivery to or filing in the office of the appointing authority. If an effective date is specified in a resignation, it shall take effect on such specified date. However, if a resignation is submitted while the employee is on leave of absence without pay, such resignation, for the purpose of determining eligibility for reinstatement, shall be deemed to be effective as of the date of the commencement of such absence. Notwithstanding the provision of this section, when charges of incompetency or misconduct have been or are about to be filed against an employee, the appointing authority may elect to disregard a resignation filed by such employee and to prosecute such charges; and, in the event that such employee is found guilty of such charges and dismissed from the service, their termination shall be recorded as a dismissal rather than as a resignation.

3. Withdrawal or amendment.

A resignation may not be withdrawn, cancelled, or amended after it is delivered to the appointing authority, without the consent of the appointing authority.

4. Voluntary Demotion of Permanent Competitive Employees.

An employee, who voluntarily elects to relinquish his permanent competitive class status to a position and accept a demotion, must deliver a statement of relinquishment to the appointing authority. Upon receipt of the statement of relinquishment by the appointing authority, the employee may be reinstated to any vacant lower salary level position for which he is eligible for such reinstatement as provided in these rules. Such statement of relinquishment shall not take effect until the employee is reinstated to the lower level position.

RULE XX

REPORTS OF APPOINTING OFFICERS

For the purposes of certification of payrolls and to enable the Personnel Officer to keep an official roster of the classified service as required by law, each appointing officer, from time to time, and upon the date of the official action in each case, shall report to the Personnel Officer as follows:

- a. Every appointment or employment whether probationary, temporary, or otherwise, in the classified service, with the date of commencement of service and the title and compensation of the position.
- b. Every failure to accept an appointment under him by a person eligible therefore, with copies of the offer or notice of appointment and the reply thereto, if any.
- c. Every discharge during or at the end of probationary term with the date thereof.
- d. Every vacancy in a position, for whatever reason with the date thereof.
- e. Every position abolished, with the date of such abolition.
- f. Every change of compensation in a position, with the date thereof.
- g. Every promotion, giving positions from which and to which made, with the salaries and date thereof.
- h. Every transfer, giving the positions from which and to which made, with the date and salaries thereof.
- i. Every reinstatement in a position, with the date and salary thereof.
- j. Every leave of absence, with the date and duration thereof.
- k. Every new position, giving a complete description of the duties thereof.

RULE XXI

CERTIFICATION OF PAYROLLS

1. Extended certifications.

The Personnel Officer may certify the employment of a person for a limited or extended period. No further certification shall be necessary for the payment of salary or compensation to such person, so long as his title and salary grade remain unchanged and during such stated period, except as to the first payment for services in each fiscal year and, if required by the Personnel Officer the first payment for services in the second half of each fiscal year. Nothing herein shall be construed to prevent or preclude the Personnel Officer from terminating or rescinding a certification at any time by giving notice thereof to the appropriate fiscal or disbursing officer.

2. Temporary certification.

When the name of any person is first submitted for certification following his appointment, reinstatement, promotion, transfer, or other change in status, and the Personnel Officer requires further information or time to enable him to make a final determination thereof, the Personnel Officer may certify such person temporarily pending such final determination. In such event, the Personnel Officer shall immediately request the necessary additional information from the appointing authority, who shall furnish forthwith. If such information is not furnished promptly, or if the Personnel Officer finds, following receipt of such information, that the employment of such person is not in accordance with the law and rules, the Personnel Officer shall immediately terminate such certification by notice to the appropriate fiscal or disbursing officer.

3. Refusal or termination of certification.

Upon satisfactory evidence of intention to evade the provisions of the law and of these rules in assigning any employee to perform duties other than those for which he was examined and certified or under any title not appropriate to the duties to be performed, the Personnel Officer shall refuse certification or terminate a certification previously made and then in force.

RULE XXII

CLASSIFICATION PLAN

1. Definitions. For the purpose of this rule, the following definitions shall apply:

“**Class**” means one or more positions sufficiently similar with respect to duties and responsibilities to be designated by a single descriptive title and treated as a unit for the purpose of recruiting, establishing salary ranges, and administering other personnel functions.

“**Class Title**” means the designation given under these rules to a class and to each position allocated to such class.

“**Class Specification**” means a formal written statement of the class which defines the general character and scope of the duties and responsibilities of positions in the class, lists typical or illustrative examples for work of positions in the class, enumerates the knowledge, skills, and abilities required for successful performance of the work and states required minimum experience and training for positions in the class.

“**Allocation**” means the assignment of a position to an appropriate class as determined by the duties, responsibilities, and minimum qualification requirements of the position.

“**Reclassification**” means the re-allocation of a position from one class to another because of a permanent and material change of the duties of that position.

2. The Personnel Officer shall prepare and maintain a list of class titles and class specifications for all positions in the classified service of the civil division and shall allocate all such positions to an appropriate class.

3. **Classification of Vacant Positions.** The appointing officer shall file a prescribed form with the Personnel Officer when a classified position, which has or is about to become vacant, is to be filled. Such form shall contain a detailed description of the duties and responsibilities of the position to be filled and a statement of suggested minimum entrance qualifications for the position. After an analysis of the position description, the Personnel Officer shall allocate the position to an appropriate class, or, if no appropriate class exists, shall create a new class and prepare a class specification for such position.

4. **Classification of New Positions.** The appointing officer shall file a prescribed form with the Personnel Officer when a new position is to be created. Such form shall contain a detailed description of the duties and responsibilities of the position to be filled and a statement of suggested minimum entrance qualifications for the position. After an analysis of the position description, the Personnel Officer shall allocate the

position to an appropriate class, or if no appropriate class exists, shall create a new class and prepare a class specification for such new class.

5. **Reclassification.** The appointing officer shall file a prescribed form with the Personnel Officer whenever a permanent and material change is made in the duties and responsibilities of any position. Such form shall clearly describe in detail the changes, which have been made in the duties of the position. After an analysis of the changes in the duties and responsibilities of the position, the Personnel Office shall allocate the position to an appropriate class, or if no appropriate class exists, shall create a new class and prepare a class specification for such position.

6. **Notice and Appeals.** Any appointing officer may make application for the classification or reclassification of any position in their department, or any employee in the classified service may apply for a reclassification of his position. Such application must set forth reasons in support of the requested reclassification, and must show changes in the duties and responsibilities of the position since the last determination with respect to its classification. The Personnel Officer shall give reasonable notice of any proposal or application for a change in classification to the appointing officer and to the employee or employees affected thereby. Any person desiring to submit facts orally or in writing in connection with the reclassification of any position shall be afforded reasonable opportunity to do so. The Personnel Officer shall then determine the proper allocation of the position. No employee, either by classification or reclassification, change of title or otherwise, shall be promoted, demoted, transferred, suspended, or reinstated except in accordance with the provision of the Civil Service Law and these rules.

RULE XXIII

PROHIBITION AGAINST QUESTIONS ELICITING INFORMATION CONCERNING POLITICAL AFFILIATION

No questions in any examination or application or other proceeding by the Personnel Officer or their examiners shall be so framed as to elicit information concerning, nor shall any other attempt be made to ascertain the political opinions or affiliations of any applicant, competitor or eligible, and all disclosures thereof shall be discountenanced by the Personnel Officer and its examiners. No discrimination shall be exercised, threatened, or promised against or in favor of any applicant, competitor, or eligible because of his political opinions or affiliation.

RULE XXIV

LAYOFF OF COMPETITIVE CLASS EMPLOYEES:

1. For the purpose of this rule the following terms shall mean:
 - a. Direct line of promotion shall be strictly construed in that in order to be considered as direct line all titles shall have the same generic root.
 - b. Next lower occupied title shall mean the title in direct line of promotion immediately below the title from which the incumbent is suspended or demoted unless no one is serving in that title in that layoff unit, in which case, it shall be the closest lower title in direct line of promotion in that layoff unit in which one or more persons do serve.
 - c. Layoff unit shall mean each department of a County, City, Town, Village, each School District and each special district. Authorities and community colleges shall be deemed to be separate civil divisions.
 - d. Satisfactory service shall mean service by an employee during which he did not receive an "Unsatisfactory" performance rating and was not found guilty of misconduct or incompetency pursuant to Section 75 of the Civil Service Law which resulted in the imposition of any of the following penalties upon such employee:
 - (i) dismissal from the service, or
 - (ii) suspension without pay for a period exceeding one month, or
 - (iii) demotion in grade and title.
 - e. (1) Permanent service shall start on that date of the incumbent's original appointment on a permanent basis in the classified service, however, in the case of disabled veterans, the date of original appointment is considered 60 months earlier than the actual date; while non-disabled veterans are considered to have been appointed 30 months earlier than their actual date of appointment. For the purposes of this rule, the definition of what constitutes a veteran or disabled veteran is contained in Section 85 of the Civil Service Law.
 - (2) A resignation followed by a reinstatement or reappointment more than one year subsequent to the resignation constitutes a break in service. The original appointment date is to be determined from the date of reemployment, the prior service would not count.
 - (3) Temporary or provisional service preceding the original permanent appointment does not count. However, temporary or provisional employment

immediately preceded and followed by permanent classified service employment does not interrupt continuous service.

(4) The permanent service of any employee who has transferred from another civil division shall start on the date of his original permanent appointment in the classified service in the other civil division.

(5) If an employee was covered-in to a classified position upon acquisition by a civil division of an agency in which he was employed, his seniority begins on the effective date of the cover-in. As between that employee and others covered-in on the same date, they shall have the seniority held by them as among themselves in the agency before the cover-in.

2. Suspension

- a. When an occupied position in the competitive class is abolished, suspension is to be made from among those employees holding the same title in the same layoff unit as the abolished position.
- b. Among permanent employees, the order of suspension is the inverse of the order of their original permanent appointments in the classified service. See above definition of permanent service for veterans and disabled veterans. An exception to this rule is that the blind have absolute retention rights but only in their job status.
- c. A blind person may not backdate his permanent service if he also happens to be either a veteran or disabled veteran.
- d. A person is considered blind if he is so certified by the Commission for the Visually Handicapped of the New York State Social Services Department.
- e. When two or more permanent incumbents of positions in a specific title are suspended, demoted, or displaced at the same time, the order in which they shall be entitled to displace shall be determined by their respective retention standing, with those having the greater retention standing entitled to displace first.
- f. When several employees were originally appointed on a permanent basis on the same day, their retention rights shall be determined by their rank on the eligible list from which they were appointed; that person having the highest rank having the greater retention rights over those having lower ranks.
- g. All temporary, provisional and contingent permanent employees occupying these positions must be let go before any permanent employee is suspended from such positions.

- h. Probationary employees occupying such positions in the same title must also be suspended before any permanent employee in the layoff unit in that title who has completed his probationary period. Probationary employees, do, however, have superior retention rights to those of contingent permanent, temporary and provisional employees.
- i. The order of suspension among probationary employees shall follow the same principles as that among permanent employees.

3. Vertical bumping

- a. Vertical bumping occurs when an employee in a specific title to which there is a direct line of promotion, who is himself suspended or displaced, displaces an employee in the next lower occupied title in direct line of promotion in the same layoff unit having the least seniority if the employee who seeks to displace has greater retention standing.
- b. Where the layoff involves more than one position in a title, the order of displacement will be the inverse of the order of suspension. That is, the most senior of the suspended employees will be the first to displace. This shall apply to both vertical bumping and retreat.
- c. If an employee refuses to displace a junior incumbent, he must be laid off. This, however, does not protect the junior incumbent from being compared in retention standing with other incumbents if other positions at the higher level are being abolished.
- d. When the next lower title has been occupied by means of displacement regardless of when the displacement into the title has occurred, it is considered to be occupied for further displacement purposes; however, a next lower title which has all of its positions abolished at the same time as positions are abolished at the higher level, cannot be considered as occupied. A title that is occupied by an incumbent, temporary, provisional, contingent permanent, probationary, or permanent is considered occupied for the purposes of this section.

4. Retreat

- a. Retreat occurs when and only when there is no lower occupied position in direct line of promotion at any level.
- b. An employee may retreat by displacing the incumbent with the least retention right who is serving in a position in the title in which the displacing incumbent last served on a permanent basis prior to service in the title from which he is currently suspended or displaced. Retreat may only occur where the position in the title formerly held by the displacing incumbent is occupied in the competitive class, in the same layoff unit, and at a lower salary grade; the service of the

displacing incumbent while in the former title must have been satisfactory, and the junior incumbent must have less retention standing than the displacing incumbent.

- c. The service of the displacing incumbent in the title to which he is retreating need not have been in the same layoff unit as the one from which he is displaced.
 - d. An employee may also displace by retreat to a position in a title he last served on a permanent basis although he had intervening service in other titles as long as his service in each of the intervening titles was on other than a permanent basis. He may also displace by retreat to a position, which does not count in the computation of his continuous service.
5. An employee, who refuses to accept an appointment afforded by displacement for whatever reason, waives all rights regarding the displacement; however, this employee's name will be entered on an appropriate preferred list.

6. Preferred list standing for competitive class employees on and after October 1, 1972, shall be as follows:

- a. On and after October 1, 1972, those employees whose positions were abolished prior to that date and who, therefore, had their standing on the preferred list determined by the date of their original appointment on a permanent basis in the competitive class shall retain among themselves such preferred list standing including the preferences to which they were entitled as blind, disabled veterans, and non-disabled veterans.
- b. Blind employees whose positions are abolished on or after October 1, 1972, shall have their preferred list standing determined by the date of their original appointment on a permanent basis in the classified service, whether or not they are also disabled veterans or non-disabled veterans; provided however, that the blind shall be granted absolute preference on the preferred list over all other employees whose positions were abolished prior to October 1, 1972 with whose names theirs shall be interfiled.
- c. Disabled veterans whose positions are abolished on or after October 1, 1972, shall have their preferred list standing determined by the date of their original appointment on a permanent basis in the classified service; provided however, that the date of such original appointment shall be deemed to be 60 months earlier than the actual date, determined in accordance with Section 30 of the General Construction Law.
- d. Non-disabled veterans whose positions are abolished on or after October 1, 1972, shall have their preferred list standing determined by the date of their original appointment on a permanent basis in the classified service; provided however, that the date of such original appointment shall be deemed to be 30 months earlier than

the actual date, determined in accordance with Section 30 of the General Construction Law.

- e. Non-veterans whose positions are abolished on or after October 1, 1972, shall have their preferred list standing determined by the date of their original appointment on a permanent basis in the classified service.
 - f. The names of all persons encompassed by paragraphs (c), (d), and (e) above whose positions are abolished on or after October 1, 1972, shall be interfiled on the preferred list with the names of all non-veterans whose positions were abolished prior to October 1, 1972.
7. An appointing authority may take such steps, as it may deem necessary in order to secure binding written commitments in advance of suspension, demotion, or displacement from employees potentially affected by such suspension, demotion, or displacement as to their willingness to accept reassignment or displacement.