TO: Agency Heads and Agency HR Directors

DATE: March 13, 2017

RE: General Letter No. 29 - Temporary Service in a Higher Classification (Revised)

PURPOSE
The purpose of this General Letter is to establish uniform procedures for temporary service in a higher classification (TSHC) appointments and supersedes the previous General Letter, dated June 30, 2006. TSHC occurs when an appointing authority temporarily appoints an employee to a position in a higher classification and the employee assumes the essential functions of the higher classification.

POLICY
As part of appointing authorities' responsibility to deliver efficient, safe, and timely public services, they use their responsible judgement to appropriately manage and direct their agencies. Incorporated within this duty and obligation, appointing authorities may, for legitimate business purposes, make TSHC appointments under Sec. 5-209 of the Connecticut General Statutes, Management Personnel Policy 81-1 (MPP), and applicable collective bargaining agreements (CBA).

SCOPE
This General Letter applies to all TSHC appointments within the executive branch under the jurisdiction of the Department of Administrative Services, Statewide Human Resources Management Division except for positions assigned to labor unit '01' or to the SE pay plan. Appointments to these appointed positions are not typically made on a temporary basis. However, there are situations when TSHC appointments to other appointed positions are appropriate, such as Warden or Superintendent, as those types of positions may need to be filled temporarily before a permanent appointment is made.

REQUIREMENTS
A TSHC appointment is permissible when it is either inappropriate or not possible to delegate the essential duties to other staff without the need for TSHC due to either of the following:

- The incumbent of a position is not available for a period of time greater than thirty (30) days and the appointing authority determines that the need for the service is immediate, essential, and in the best interest of the public; or
- A vacant position that cannot be immediately filled on a permanent basis and the appointing authority certifies that the immediate rendition of service is essential and in the best interest of the public.
TSHC appointments are restricted to bargaining unit employees serving in bargaining unit positions and non-bargaining unit employees serving in non-bargaining unit positions.

TSHC appointments are not to be used to circumvent the filling of approved vacancies and the use of reemployment, SEBAC and other mandatory lists.

Given that employees must qualify for the higher classification at the time of TSHC appointment, time served in a TSHC appointment is not credited toward meeting the minimum qualifications for the higher classification of the TSHC appointment. However, this experience can be credited toward meeting the minimum requirements for other class specifications.

**RESPONSIBILITIES**

Agencies shall:

- Be judicious when making TSHC appointments pursuant to the above policy.
- Ensure TSHC appointments have a legitimate business purpose and are made in a fair, reasonable, and non-discriminatory manner.
- Inform employees of the requirements and benefits of TSHC in accordance with this policy and the employee’s CBA or MPP.
- Appropriately manage employee work performance and attendance while serving TSHC. (Note: TSHC is at the direction of agencies. Therefore, approved and/or protected leaves of absence that occur during a TSHC do not break the continuity of the TSHC.)
- Ensure correct compensation while an employee serves in the TSHC appointment and immediately following the completion of the TSHC appointment (refer to "Compensation" section below).
- Retain and, when requested, provide approvals and other relevant documentation during the DAS SHRM post-audit.

The Department of Administrative Services, Statewide Human Resources Management Division shall:

- Review and render a decision on all requests for TSHC on the basis of ensuring the:
  - Appropriate use of the proposed higher classification; and
  - Proposed employee meets the minimum qualifications of the higher classification, based on the experience and training requirements listed on the class specification.
- Conduct post audits of assigned TSHC.

**PROCEDURES FOR MAKING TSHC APPOINTMENTS**

If the appointing authority determines there is a need to make a TSHC appointment, the agency HR Professional enters a Position Data transaction via CORE-CT for approval, when a position action is appropriate, and e-mails the following required documentation to the assigned DAS HR Consultant responsible for the agency’s Position Data request:

- Summary of the request, to include:
  - Requesting agency;
  - Reason for the TSHC;
  - Employee name;
  - Employee ID;
  - Permanent class title;
  - Class reassignment title;
  - TSHC position number;
  - TSHC start and end dates;
• Name of employee being replaced, if applicable; and
• Appointing letter to employee or other documents, if applicable.

A current and completed application by the employee (i.e., CT-HR-12, as amended or replaced); and
• The current and proposed organizational charts.

It is critical that TSHC requests be made prior to the commencement of the TSHC appointments to ensure proper authority exists to compensate employees working higher level duties. There is no authority to make TSHC appointments and compensate employees prior to such approval. (Emphasis added)

The assigned DAS HR Consultant reviews the submitted information and renders a decision on:
• The appropriate use of the proposed higher classification; and
• If the proposed employee meets the minimum qualifications of the higher classification, based on the experience and training requirements listed on the class specification.

If the assigned DAS HR Consultant approves the use of the higher classification and deems that the proposed employee meets the minimum qualification of the higher classification, the agency HR Professional shall:
• Make TSHC appointments for the minimum duration required, not to exceed six months.
  o If the agency believes it is necessary to extend a TSHC, the agency HR professional shall e-mail the assigned DAS HR Consultant to request and justify the need for an extension of the TSHC appointment beyond the initial six months. The requested extension shall not to exceed an additional six months. The assigned DAS HR Consultant must provide written approval of such a request for the employee to continue the extended TSHC appointment.
• When a new position is necessary to appoint an employee on a TSHC basis, establish and maintain a temporary position ensuring all DAS SHRM and OPM approvals have been received and verify that all mandatory lists have been cleared prior to compensating an employee for TSHC.
  o A temporary position is required when the incumbent of the (higher) position is to be paid during the extended absence or when a vacant position cannot be immediately filled.
• Enter the TSHC in the employee’s Job Data record in accordance with the CORE-CT Job Aid.
• Return an employee to the last held classification and base rate of compensation as if the employee had never left at the completion of the assigned TSHC.
  o If the employee is promoted via permanent appointment to the higher classification (immediately) following completion of TSHC, retain the compensation rate s/he received while serving TSHC.

**COMPENSATION WHILE SERVING IN A TSHC APPOINTMENT**

"Correct compensation" of an employee on a TSHC means the following:
• Paying the employee on the 31st consecutive calendar day or working day as determined by the applicable CBA or MPP, retroactive to the date of assumption of such higher duties and responsibilities.
• Assigning the employee appropriate hours of work that coincide with the requirements of the higher classification. When the hours differ from the last held permanent position, the employee accrues vacation leave in accordance with the last held permanent position.
• Providing the employee benefits and terms and conditions of employment based upon the employee's last held permanent position. This includes union dues, longevity payments and vacation payout (should the employee separate from state service while serving TSHC).

• Calculating the employee's base rate of compensation as if a promotion occurred and providing the following salary adjustments:
  
  o TSHC position is in the same bargaining unit as the last held permanent position: When a salary adjustment occurs, adjust the compensation accordingly in the TSHC position per the relevant CBA language. (Upon completion of TSHC, apply all salary adjustments to the last held position as though the employee never left that position.)

  o TSHC position is in a different bargaining unit than the last held permanent position: When a salary adjustment occurs in the last held position, virtually apply the adjustment (to the employee's pay in the last held position) and recalculate the promotion; adjust the TSHC pay, when appropriate. When a salary adjustment occurs in the TSHC position, apply the adjustment only to the TSHC pay.

• If the employee is promoted via permanent appointment to the higher classification (immediately) following completion of TSHC, retain the compensation rate s/he received while serving TSHC.

**POST AUDIT**

All transactions under this General Letter are subject to post-audit by DAS SHRM.

**OTHER**

Appointing authorities are responsible for the following regarding TSHC appointments:

• Responding to any administrative and/or legal challenges to TSHC appointments;

• Meeting all document retention requirements;

• Responding to all requests for information under the Freedom of Information Act (FOIA); and

• Maintaining the security and confidentiality of all TSHC appointment materials.

Please contact the assigned DAS HR Consultant for any questions regarding this General Letter.

Melody A. Currey
Commissioner
Department of Administrative Services

17-02