

<b>HUMAN RESOURCES MEMORANDUM 01-020</b>		DATE ISSUED: 7/2/2001
SUBJECT: <b>TEMPORARY AUTHORIZATION (TAU) APPOINTMENTS POLICY AND PROCEDURES</b>		REFERENCE: None
TO: DIRECTOR, CHIEF DEPUTY DIRECTORS, DEPUTY DIRECTORS; OFFICE/BRANCH CHIEFS; PERSONNEL LIAISONS; ATTENDANCE CLERKS		SUPERCEDES: None

---

**PLEASE ENSURE THAT THIS INFORMATION IS SHARED WITH YOUR EMPLOYEES**

Attached for your review and immediate use are the policies and procedures for Temporary Authorization (TAU) appointments. We hope that these detailed procedures will assist everyone and provide the tools needed to properly document TAU hires.

Please note that authorization for TAU appointments will be granted only when all other avenues have been explored and have proven to be unsuccessful. Now that we have regained our delegation to conduct examinations without prior approval from the State Personnel Board, we anticipate that we will be able to schedule and complete exams in a more timely manner. This should reduce the need for TAU appointments.

Your cooperation in ensuring that the managers and supervisors in your organizations are provided with this information will be most appreciated. Questions regarding this memo can be referred to your assigned Personnel Analyst.

LYNN W. CATANIA, Manager  
Personnel Operations Section

LWC:CAK:cak

cc: Assistant Personnel Managers  
Classification and Pay Analysts  
Selection Analysts  
Certification Unit staff  
Personnel Transactions staff

## Policy

---

Authority to approve TAU appointments (both open and promotional) has been delegated to the Department of General Services by the State Personnel Board. Our delegation from SPB stipulates that we must follow specific guidelines when approving promotional TAU appointments:

“To prevent pre-selection and/or providing an unfair advantage to one employee over another, promotional TAU’s should be very rare. Promotional TAU appointments should only be approved when it has been demonstrated that there is an urgent need for the appointment. An example of “urgent need” is vital medical services will be denied if the position remains unfilled or a critical administrative or legislative mandate would remain incomplete. Prior to approving a promotional TAU appointment, consideration must be given to out-of-class assignments allowed through the bargaining unit contract and/or the feasibility of rotating staff on an acting basis into the position until the examination can be completed.”

(Promotional TAU's are both departmental candidates and those candidates outside the department that are currently state employees.)

We will not abolish eligible lists to make TAU hires. Instead, the list must be cleared by sending contacts and having no interested candidates. We will exhaust all other options before authorizing a TAU (this should be the last option considered). Other options include: lateral transfers, training and development assignments, out-of-class assignments, reinstatements, using another department’s list for the same or similar classification as an appropriate list, transferring a candidate’s eligibility from another department’s list to ours (Selection Analyst will confirm if this is appropriate and if the candidate would be reachable).

## Procedures

---

### The Recruitment Process

#### Office

1. Send RPA to C&P Analyst.

#### C&P Analyst

1. Review for appropriate duties, etc.
2. Send to Cert Unit for cert ordering.

#### Cert Unit

1. Order certification list and send out contact letters to the entire list. Contacts are valid for 60 days.
2. If there is no list available, return RPA and copy of list to C&P Analyst.
3. If there are less than three interested names on the existing list, notify Office and return the RPA with a copy of the cert list to C&P Analyst.

Note: If the list is promotional, ALL names must be cleared before a TAU can be considered.

#### C&P Analyst

1. Discuss options with the office. (see Page 1. All other alternatives will be explored before TAU is authorized. TAU is the last option.)
2. Browse (BRPT/XXXXLIST) if we have no list or there are less than 3 interested candidates (ALL names must be cleared if the list is promotional). Alternatives:
3. Use another department’s list
4. Use another classification (equal to or higher level)
5. Choose the list that will offer the best results. Attach a copy of search to the RPA.
6. If appropriate list is used, return to Cert Unit step. If no results, continue with Step 4

7. Is the existing DGS list a promotional list? If so, it must be completely cleared before a TAU can be considered (SPB Rule 265)
8. Check TAU listing to see if there are any existing TAU's in that class.
9. Discuss potential TAU authorization with Selection Unit Supervisor. If exam is in progress and the final file date has passed, a TAU cannot be authorized.
10. If TAU cannot be authorized, advise office they must choose one of the other alternatives.
11. If TAU is only viable alternative, contact Selection Unit Supervisor to get the name of the Selection Analyst.

#### Selection Unit Supervisor

1. Assign a Selection Analyst to work with C&P analyst for application review purposes.

#### C&P Analyst

1. Send notice of "TAU Authorization to Recruit" (Attachment A) to the Office HR Liaison and contact person with copies to the Cert Unit, Transactions and the Selection Analyst identified by the Selection Unit Supervisor.
  - TAU Authorization form lists the procedures to follow throughout the process.
  - TAU Authorizations are granted on an RPA by RPA (or position by position) basis.
  - TAU Authorizations are good for 60 days – TAU's should be granted to meet immediate hiring needs; therefore, recruitment should be immediate.
2. Enter TAU language on JOB and post JOB.
3. Forward copy of RPA to identified Selection Analyst.

#### Office

1. Print copy of class specification from SPB website to assist with application review.
2. Develop newspaper ad (if applicable) and send to identified Selection Analyst for review prior to publication.
3. Proceed with recruitment.

#### Selection Analyst

1. Review newspaper ad (if any) prior to publication.
2. Check file for 511B. If no 511B on file, create one using class specification. Contact office to request input from SME.

#### Office

1. After the final filing date of the JOB, review applications.
2. Send only the applications of the candidates that you are interested in interviewing to the C&P Analyst. All applications should be sent at the same time. Note: Applications must have original signature.
3. Attach a copy of the "TAU Authorization to Recruit" and a copy of the JOB to the applications.
4. On the top of each application, enter the RPA number.
5. Retain a copy of the applications for the office file.
6. At the same time, send an e-mail to the C&P analyst with the names of the applicants being sent forward for review.

#### C&P Analyst

1. Review applications for the following:
  - Check PIMS history for current class
  - Identify potential promotional TAU's
  - Eligibility anywhere else for transfer; on a list elsewhere?
2. Forward applications to identified Selection Analyst for MQ review.

### Selection Analyst

3. Before reviewing applications, ensure that an updated 511B is prepared.
4. If assistance from SME is needed for application review, have SME sign green "Security Information for Examination Consultants" form.
5. Review applications to make sure applicants meet the minimum qualifications for entrance into the examination. Complete the TAU APPLICATION REVIEW WORKSHEET (Attachment B). Do not detail or mark original applications in any way.
6. Bundle applications together in two groups: Put a Post-It note on each bundle marked "Meet MQ's" or "Do not meet MQ's."
7. Retain TAU APPLICATION REVIEW WORKSHEET. Attach security form.
8. Return MQ'd applications to the C&P Analyst.

### C&P Analyst

1. Send e-mail to Office and (cc Selection Analyst) with the results of the MQ review (which applicants meet/don't meet MQ's). Remind the office that only those applicants who meet the MQ's can be interviewed.
2. Hold all applications until the office responds with results of interviews.

### Office

1. Interview qualified applicants.
2. Send e-mail to C&P and Selection Analysts (cc Transactions Specialist and Cert Unit) with the name of the hired applicant, the class title, the RPA number and the proposed effective date.

### C&P Analyst

1. If selected candidate is a DGS employee, advise office that employee will be placed on out-of-class assignment instead of a TAU appointment. Check appropriate MOU to determine length allowed in contract.
2. If TAU appointment is appropriate, prepare Form 215, CERTIFICATION OF TAU APPROVAL (Attachment C) for the person selected for TAU appointment.
3. Forward original of 215 with application attached to Selection Analyst for signature.

### Selection Analyst

1. Referring to TAU APPLICATION REVIEW WORKSHEET, detail application for proposed TAU appointee.
2. Sign and date original 215, attach detailed application, and return to C&P Analyst.
3. File worksheet with security form attached in TAU holding file.

## **TAU Appointment Process**

### C&P Analyst

1. Notify Office to begin appointment process.
2. Verify proposed effective date and write it in pencil in the "A01 EFF DATE" space.
3. Make 3 copies of the 215 and application:
  - Original goes to TAU file (open or promo)
  - 1 copy for Selection Unit Supervisor
  - 1 copy for Cert (for OPF)
  - 1 copy for C&P Analyst
4. Make correction to RPA to reflect TAU (initial and date all changes).
5. If TAU appointee will receive a Hire Above Minimum (HAM), attach approved HAM documents to RPA.
6. Return RPA to Cert Unit.
7. Prepare "Returned TAU Applications" cover memo (Attachment D) and return all applications for those candidates not selected for TAU appointment to the office.

### Cert Unit

1. Clear the cert if applicable.
2. Record cert number only on Control form.
3. Forward the RPA, Form 215 and HAM, if applicable, to the Transactions Specialist.

### PTU

1. Before processing appointment, verify effective date with Office; change if needed.
2. Calculate expiration date as a full 9 months from effective date.
3. Record Cert number only on PAR.
4. Process appointment within 30 days of receipt from Cert Unit.
5. File copy of the 215 and application in the employee's OPF.

### Office

1. Provide prospective employee with information regarding conditions of employment for TAU employees.
2. Send "thank you for applying" letters (Attachment E) to those candidates not selected.
3. Retain applications for two years per Government Code Section 12946.

### Selection Unit Supervisor

1. File 215 in TAU holding file pending assignment of exam.
2. Add exam to exam plan; note anticipated TAU expiration date in Comments/Status column.
3. Determine lead time required to complete exam prior to expiration date.
4. Assign priority to exam.

## **After Appointment is Processed**

### Selection Unit Supervisor

1. Compare the 215 to the TAU report.
2. If the TAU candidate does not appear on the report within two months after the anticipated effective date as noted on the 215, follow-up with C&P Analyst to find out why.
3. Fill in actual TAU expiration date on exam plan.

### C&P Analyst

1. Review the TAU report to make sure the expiration date is correct.
2. Alert PTU to any changes that need to be made.
3. Notify Selection Unit Supervisor of any changes.

## **When Exam is Scheduled**

### C&P Analyst

1. Send e-mail to office with TAU's notifying them of the upcoming exam and that TAU hires must be completed prior to the final filing date as announced on the exam bulletin.

### Selection Analyst

1. Send out reminder to office to ensure that TAU appointee files for the exam.
2. If the exam is going to be a one-day file-in-person, coordinate date with office to ensure that TAU appointee will be available to file his/her application in person.

### Office

1. Ensure that TAU appointee is notified for exam and files his/her application in accordance with filing instructions.
2. Provide appropriate assistance to TAU employees in preparing for upcoming exam.

## **After Exam is Completed**

### Selection Analyst

1. Notify Office, Cert Unit and C&P Analyst via e-mail that exam is completed.

2. Abolish existing list belonging to DGS (for the same location), if applicable.

### C&P Analyst

A cert will automatically generate with the same cert number used for the TAU appointment.

If TAU is reachable:

1. Advise Office that an RPA must be submitted within 60 days to appoint the TAU.
2. Follow up at 30-day intervals if RPA has not been received.
3. After approving RPA, monitor TAU report to ensure appointment has been keyed.
4. If TAU continues to show up on TAU report, follow up with PTU to find out why.

If TAU is not reachable, advise the office of their options:

1. Terminate TAU and hire someone else off the list.
2. Wait 60 days to see if TAU becomes reachable.
3. If TAU is not reachable after 60 days, TAU must be terminated.

If TAU was not successful in the examination process:

- Terminate within 60 days or by the appointment expiration date, whichever comes first.

### Office

Submit RPA and attach original JOB that advertised the position. If applicable, attach Post and Bid information from the original recruitment. If RPA and JOB from original recruitment do not match, Post & Bid may need to be re-done.

Note1: If TAU will not be retained, termination MUST be made within 60 days of the list date OR prior to the expiration date, whichever comes first.

Note2: If TAU appointee is successful in the examination process and in a reachable rank and the expiration date has passed, the candidate must be appointed. If the office did not wish to retain the TAU but failed to take the proper termination action, the candidate is now on probation and the Office must work with PES to resolve performance issues, including Rejection on Probation if necessary.