NYC
Citywide Administrative Services

Stacey Cumberbatch
Commissioner

1 Centre Street
17th Floor
New York, NY 10007

(212) 386 0201 tel
nyc.gov/dcas

MEMORANDUM

TO: Distribution

FROM: Stacey Cumberbatch

DATE: September 2, 2015

SUBJECT: Civil Service List Call Guidelines

In our continued efforts to strengthen the civil service system through increased standardization and information sharing at the agency-level, I am pleased to share the attached *List Call Guidelines* and related documents. The development of this type of document speaks to our commitment to customer service, fairness and transparency.

The document will serve as a guide for the City's HR community, and clearly outlines the appropriate use of open competitive and promotion lists during the list call process. Adherence to these guidelines will ensure that agencies follow a standardized decision-making process with respect to hiring and promotions from civil service lists, and reinforce citywide compliance with relevant Civil Service and employment laws, rules, and regulations.

Thank you for your partnership and support of DCAS' work.

c: Dawn M. Pinnock
Brian Goldberg

6. Assess candidate responses objectively using detailed rating scales.

More information about structured interviewing is available at the following DCAS Diversity and EEO website: http://extranet.dcas.nycnet/eeo/diversityeeo/pages/managing-diversity.aspx.

An agency may not deem a candidate "considered and not selected" unless it has interviewed the candidate. Candidates on a civil service certification should be given the opportunity to interview for the position if they are reachable based on the number of vacancies, including any candidates that have been serving in the title provisionally and those for which the position would be a promotion opportunity.

Other factors to consider when making selections from a civil service list include:

- Performance evaluations
- Time and attendance records
- Supervisory recommendations
- On-site writing samples

These and other related areas should be considered only if relevant to the vacant position.

Notification to Candidates Post-List Call

Candidate Considered and Not Selected:
The Agency must notify any candidates considered and not selected for the position through a formal written communication as per Personnel Services Bulletin (PSB) 200-7 "Notice to Candidates of Non-Selection." http://www.nyc.gov/html/dcas/downloads/pdf/psb/200_7.PDF. The attached HC-0002 (formerly DP-2375) is a template for this notice and should be put on your agency's letterhead.

Candidate Found Not Qualified:
If the Agency finds a candidate not qualified for appointment (NQA), the Agency must provide a Notice of Proposed Disqualification (HC-0003) to the candidate (template attached), which allows for the candidate to contest the proposed disqualification. A Notice of proposed medical and psychological disqualification should comply with PSB-100-10R.

Not sooner than thirty (30) days after a Notice of Proposed Disqualification is sent to a candidate, the agency must provide to the candidate a final Notice of Disqualification (HC-0004) with reasons for the NQA along with instructions for appealing to the City Civil Service Commission (template attached).

Return of Certification Disposition to DCAS
After the civil service list call has been conducted, you must enter the certification disposition code for each list eligible into the DCAS PRISE/AIS system. The corresponding codes must be entered and the disposition closed, with all supporting documentation forwarded to DCAS, by the expiration date of the certification. Attached for your reference is a list of disposition codes. Only those disposition codes that are relevant to a particular type of certification (such as open competitive, promotion, or selective certification) are attached to each certification sent to your agency in eCerts, the DCAS electronic delivery system for certifications.

We will conduct periodic audits to ensure that these guidelines are being followed. If you have any questions regarding this process, please contact Jerez Hue, Acting Director of Certification, at 212-669-2452.

Thank you for your attention to this matter.

DECLINATION/RESTORATION

Be advised that, if you **do not wish** to be considered for the position or **fail** to attend the hiring pool, your name will be **removed** from the eligible list.

Please complete the form below and return it within five days to:

(enter agency name and address)

DECLINATION OF APPOINTMENT:

Name: _____

(*enter civil service title*), Exam No. *xxxx*, List No.: _____

I decline to be considered for the position [ ] I did not attend the hiring pool [ ]

Reason: _____

_____

Request restoration to the eligible list: Yes [ ] No [ ]

Last 4 digits of Social Security Number: _____

Signature: _____ Date: _____

You may request restoration to the list by writing to: **NYC Department of Citywide Administrative Services (DCAS), Certification Unit, 1 Centre Street 21st Floor, Room 2150, New York, NY 10007.** Please note that you can only be restored to the list while it remains in existence and for a maximum of three restorations. Therefore, you should only request restoration when you are ready to be considered for a position.

If you are serving on active military duty when you receive this letter and are interested in being considered for appointment, please contact the DCAS Certification Unit, when you are released from active duty.

Agency Letterhead

NOTICE OF PROPOSED DISQUALIFICATION FOR LIST ELIGIBLES (REQUIREMENTS)

Date:	Title:	Exam #:	List No:	Soc. Sec. No.

Dear Eligible:

The purpose of this Notice is to inform you that (***AGENCY NAME***) intends to find you **NOT QUALIFIED** for the above-referenced position for the reasons indicated below. If you have already been appointed, your employment might be **TERMINATED** or your seniority reduced.

☐ 1. **Lacks a requirement(s)/certification(s) set forth in the Notice of Examination as follows:**

☐ Insufficient Experience _____

_____

☐ Education Requirement _____

_____

☐ Other _____

_____

☐ Driver License

☐ Other License or Certification _____

_____

☐ 2. **Background Investigation/Character:**

☐ Fraud
☐ Omission of Pertinent Facts
☐ Driving History
☐ Unsatisfactory Private Employment (more than one)
☐ Falsification of Official NYC Employment Documents
☐ Conviction Record
☐ Unsatisfactory Prior Public Employment
☐ Other: _____

☐ 3. **Medical or Psychological:**

☐ Medical
☐ Psychological

☐ 4. **Unauthorized Substance(s) in Urine**

YOU HAVE A RIGHT TO RESPOND TO THIS NOTICE. IF YOU DO NOT RESPOND TO THIS NOTICE WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THIS NOTICE, YOU WILL BE DISQUALIFIED FROM THE ABOVE-REFERENCED POSITION. IF YOU WISH TO WITHDRAW FROM CONSIDERATION FOR APPOINTMENT, YOU MUST PROVIDE A LETTER IRREVOCABLY WITHDRAWING FROM THE PROCESS FOR THAT EXAM.

INSTRUCTIONS

A. RESPONDING TO A PROPOSED DISQUALIFICATION BECAUSE OF (1) LACK OF REQUIREMENTS OR (2) CHARACTER OR BACKGROUND REASONS

If you wish to submit proof of your qualifications or explain in writing why you should not be found unqualified because of your background or character, send your proof or explanation within **thirty (30) calendar days** of the date of this letter to (***CONTACT PERSON'S NAME***) at (***AGENCY NAME***) at (***AGENCY ADDRESS***).The minimum requirements for the above-referenced position are set forth in the Notice of Examination of the examination you took. If you require an additional copy of the Notice of Examination, a copy may be obtained from the Applications Unit, Department of Citywide Administrative Services, 1 Centre Street, 14th Floor, New York, New York 10007.

AUTHORIZATION TO RELEASE MEDICAL RECORDS TO A LICENSED MEDICAL OR MENTAL HEALTH PROFESSIONAL

Within thirty (30) calendar days of the date of the Notice of Proposed Disqualification, you must send this completed form to:

(AGENCY NAME)
(AGENCY UNIT – SPECIFIC PERSON, IF NECESSARY)
(AGENCY STREET ADDRESS)
(AGENCY ADDRESS)

I am appealing my medical or psychological disqualification for the position listed below. I authorize the release of my medical or psychological evaluation records to the licensed medical or mental health professional ("Doctor") listed below:

DOCTOR'S NAME: _____

ADDRESS: _____

_____

TELEPHONE NUMBER: (_____) _____

CANDIDATE'S NAME: _____

CANDIDATE'S ADDRESS: _____

_____

TITLE: _____ EXAM No.:_____ LIST No.: _____

SOCIAL SECURITY NUMBER: _____

I understand that my doctor must submit a report of my appeal within sixty (60) calendar days of the receipt of the medical records.

CANDIDATE'S SIGNATURE: _____ DATE: _____

NOTARY: _____

Before me this _____ day of _____, 20 _____

HC-0003A (Issued 9/1/15)

Listing of Certification Disposition Codes

Code	Disposition Code Description	Comments
AAC	APPOINTED FROM AGENCY POOL CERT	DCAS USE ONLY
ABA	APPOINTED BY ANOTHER AGENCY	
AOL	APPOINTED FROM OTHER PROM LIST OR UNIQUE OPEN COMP LIST	
AOX	APPOINTED FROM OTHER CITYWIDE OPEN COMPETITIVE LIST	
APP	APPOINTMENT	
AP1	PROBABLE PERMANENT	DCAS USE ONLY
AP2	PERMANENT APPOINTMENT	DCAS USE ONLY
AP3	TEMPORARY APPOINTMENT - RESTRICTIONS FOR FUTURE CERTS	DCAS USE ONLY
AP4	TEMPORARY APPOINTMENT - WITHOUT RESTRICTIONS FOR FUTURE CERT	DCAS USE ONLY
AP5	PART-TIME APPOINTMENT - FOR PART-TIME POSITIONS (OFFSIDE)	DCAS USE ONLY
AP6	PART-TIME APPOINTMENT - FOR FULL- TIME POSITION (ONSIDE)	DCAS USE ONLY
AST	APPOINTED TO SAME TITLE	
ATP	ATTENDED POOL	DCAS USE ONLY
BHE	NOT ELIGIBLE - BD OF HIGHER ED ONLY - OPEN COMPETITIVE	HISTORICAL CODE-NOT FOR AGENCY USE
BLN	BALANCE OF LIST NOT USED	
CNA	CONSIDERED BUT NOT APPT (NON-VIABLE LIST, 3 OR FEWER PEOPLE)	
CNC	CONSIDERED - NO CHARGE	DCAS USE ONLY
CNG	CONSIDERATION NOT GIVEN- CITYWIDE PROMOTION CERT	DCAS USE ONLY
CNS	CONSIDERED NOT SELECTED	
DCE	CANDIDATE IS DECEASED	
DCP	DECLINATION - CITY-WIDE PROMOTION LIST	DCAS USE ONLY
DEA	DECLINATION - AGENCY	
DED	DECLINATION - DIVISION	TRANSIT AUTHORITY USE ONLY
DEE	DECLINATION - ALL AGENCIES EXCEPT FOR ONE AGENCY	DCAS USE ONLY
DEL	DECLINATION - LOCATION	
DES	DECLINATION - SHIFT	
DET	DECLINATION - TENURE	
DLX	DECLINATION LOCATION (OPEN COMPETITIVE)	HISTORICAL CODE- NOT FOR AGENCY USE
DMA	DECLINATION - ALL MAYORAL AGENCIES	DCAS USE ONLY
DNF	DECLINATION - NO FAULT	DCAS USE ONLY
DSC	DECLINATION - SELECTIVE CERTIFICATION	
ERI	ELIGIBLE REQUESTS INVESTIGATION BEFORE APPOINTMENT	
FRA	FAILED TO REPORT/DECLINED AFTER ACCEPTING APPOINTMENT	
FRH	FAILED TO REPORT FOR PHYSICAL	
FRI	FAILED TO REPORT FOR INVESTIGATION	
FRM	FAILED TO REPORT FOR MEDICAL	
FRP	FAILED TO REPORT FOR PSYCHOLOGICAL	
FRU	FAILED TO REPORT AFTER ACCEPTING APPT - CERT FOR SEL CERT	
FTR	FAILED TO REPORT FOR INTERVIEW	
FTX	FAILED TO REPORT FOR INTERVIEW - CERT IS FOR TEMP POSITION	
FTY	FAILED TO REPORT FOR INTERVIEW - CERT IS FOR P/T POSITION	
FTZ	FAILED TO REPORT FOR INTERVIEW - CERT FOR SEL CERTIFICATION	
HAN	ELIGIBLE IS HANDICAPPED	
HHC	NOT ELIGIBLE - HEALTH AND HOSP CORP ONLY - OPEN COMP	HISTORICAL CODE- NOT FOR AGENCY USE
HLD	HOLD STATUS FOR SPECIAL REASON	
LOA	LEAVE OF ABSENCE	
NAC	NO ACTION TAKEN	DCAS USE ONLY
NDO	NOT DISPOSED OF	DCAS USE ONLY
NFP	NOT FOUND POST OFFICE	
NFX	NOT FOUND POST OFFICE - CERTIFICATION IS FOR TEMP POSITION	
NFY	NOT FOUND POST OFFICE - CERT IS FOR P/T POSITION	
NFZ	NOT FOUND POST OFFICE - CERT IS FOR SEL CERTIFICATION	
NLE	NO LONGER EMPLOYED/ NOT EMPLOYED IN LOWER TITLE	
NQA	NOT QUALIFIED FOR APPOINTMENT	
NTL	NOT ENOUGH SERVICE IN LOWER TITLE	
OVA	OVERAGE FOR THE POSITION	
PDA	PSEUDO DISPOSITION - ELIGIBLE NOT RESTORED TO AGENCY	DCAS USE ONLY
RLI	REPORTED LATE FOR INTERVIEW	
TIE	RULE 4.4.12B - FOR TIES	
TIN	DECLINATION - TEMPORARY INABILITY TO ACCEPT	DCAS USE ONLY
UNA	UNDERAGE AT THE TIME OF APPOINTMENT	
UNF	UNDERAGE AT THE TIME OF FILING	
WPL	WITHDRAW PARENT LEGACY AND ELIGIBLE FALLS OFF THE CERT	
WSL	WITHDRAW SIBLING LEGACY AND ELIGIBLE FALLS OFF THE CERT	
WVP	WITHDRAW VETERANS PREFERENCE AND ELIGIBLE FALLS OFF THE CERT	