

City and County of San Francisco  
Department of Human Resources

*Overview Presentation on*  
**ASO Section 1.1.D.:**  
**Simultaneous Employment of Two  
Employees in One Position**



# ASO Section 1.1.D.

Pursuant to Annual Salary Ordinance Section 1.1.D., “[t]he Human Resources Director is authorized to make permanent exempt appointments for a period of up to 6 months to permit simultaneous employment of an existing City employee who is expected to depart City employment and a person who is expected to be appointed to the permanent position previously held by the departing employee when such an appointment is necessary to ensure implementation of successful succession plans and to facilitate the transfer of mission-critical knowledge within City departments.”



# Guidelines

## **Consult with your assigned DHR Client Services immediately when planning to fill a position under ASO.1.1.D.**

- An appointment authorized for exemption under category “AS” must be to a position created specifically to backfill anticipated vacancies for a period of up to 6 months to ensure implementation of successful succession plans, and to facilitate the transfer of mission critical knowledge within City departments.
  - Department must demonstrate what knowledge is to be transferred and why necessary for overlapping employment
- Funding for appointments authorized under this section shall be for a period up to six months, and must be approved by the Controller’s Fund Accountant, i.e., an appropriation for the specific purpose of succession planning.
  - Departments must secure additional funding
- A position once exempted under this section shall not be offered to eligibles or holdovers.
  - This should be done with a particular candidate in mind



# Guidelines

- An appointment status authorized under this section is for “Permanent Exempt” (PEX) (Category 18).
- All appointees shall possess the minimum requirements for the class as established by the last examination announcement for the class.
- Any impediments to an ultimate PCS appointment should be addressed ***prior*** to making the PEX appointment:
  - **Holdover List** – make sure there are no holdovers on the list (or if any mitigating special conditions)
  - **Eligible List** – make sure candidate is on the list or alternatively seek to clear it if appropriate
  - **Register** – make sure candidate is or gets on
- All appointees shall provide at the time of appointment a signed original Notice to Exempt Appointee acknowledging their last date of employment as stated on the notice, which is not subject to extension.



# Instructions

- **Department Certification** must be provided by individuals authorized to submit and amend position budget information and classification documents.
- An appropriately completed **Signature Authorization Card** must be on file with DHR for this purpose.
- The **ASO Amendment Request Form for Succession Planning Position** should be submitted as an email attachment in two required formats and must include the Department Certification/signature, i.e., MS Word, and Acrobat .pdf format. If Form is submitted by staff other than the individual providing the Department Certification, an authorized representative providing the Department Certification must be copied with all emails communication pertaining to the request.



# Instructions

- Submit the Form to the DHR Client Services Representative assigned to your department. If additional information is required, a Client Services Representative will contact the Departmental HR Contact named on the top of the Form.
- A **Job Requisition** for the proposed backfill may be submitted concurrently, using the exempt category “AS”.
- Upon approval by HRD Director, a Client Service Representative will copy and paste the pertinent sections of the request onto the requisition, and notify the Departmental HR Contact, and a prescribed recruitment process will be specified for the purpose of succession planning. Concurrently, DHR will update the HRMS ASO to reflect a 0.5 FTE position authority, and scheduled for deletion at the end of six months.



# Forms



City and County of San Francisco  
DEPARTMENT OF HUMAN RESOURCES

ASO AMENDMENT REQUEST FORM  
FOR SUCCESSION PLANNING

**ASO Section 1.1.D:** "The Human Resources Director is authorized to make permanent exempt appointments for a period of up to 6 months to permit simultaneous employment of an existing city employee who is expected to depart City employment and a person who is expected to be appointed to the permanent position previously held by the departing employee when such an appointment is necessary to ensure implementation of successful succession plans and to facilitate the transfer of mission-critical knowledge within City departments." (New language effective FY 2008-09.)

Department:	Dept. #	Division:	Section/Unit
Department HR Contact:			Phone No.:

**Position/Budget Information**

ASO item?	No	Dept. Code & Division:	Index Code:	Program:
Fiscal Year		Job Code/Title:	Sub Fund:	Project:
Replaces DHR Req. #:		Position Indicator:	FTE:	Grant:
		Begin Date:	End Date:	Amount:

**Current Incumbent Information**

Name: \_\_\_\_\_ Reason for Separation: \_\_\_\_\_

Separation documents on file?  No  If yes, attach a copy with request.  If no, explain why: \_\_\_\_\_

**Justification/Rationale for Position Request**

Describe the mission critical knowledge that is necessary to be transferred for this position that requires a permanent appointment to backfill the anticipated vacancy. If necessary, attach an additional page.

Describe in detail your department succession plan, why it is necessary to be successful, and the critical role and impact this position has on the overall success of the plan. If necessary, attach an additional page.

Describe in detail the consequences that would result if the department is not allowed to backfill the anticipated position vacancy.

> Are there written documentation that will guide the position?  Yes  No

> If answer is no, will the department produce written procedures for the duties of this position during the proposed (six-month) backfill period?  Yes  No

> Is the manager whom this position reports available able to train and ensure a successful succession plan?  Yes  No

**Department Certification** (see Instructions)

The authorized departmental representative named below hereby certifies that the information provided in this document is accurate and complete, and acknowledges no other options are available outside the ASO Section 1.1.D. provision.

Authorized Representative (DPO/CFO): \_\_\_\_\_ Date: \_\_\_\_\_

**Approvals and Notifications (DHR Only)**

DPO: \_\_\_\_\_

Dept. CFO: \_\_\_\_\_

Dept. Analyst: \_\_\_\_\_

DHR-CS Rep: \_\_\_\_\_ Recommend Approval:  Date: \_\_\_\_\_

DHR-CS Manager: \_\_\_\_\_ Recommend Approval:  Date: \_\_\_\_\_

DHR Director: \_\_\_\_\_ Approval to Post:  Date: \_\_\_\_\_

9/2008



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**Notice to Exempt Appointee**

Name of Appointee _____	Date Issued _____
Street Address _____	City _____ State _____ Zip _____
Job Code (Class) and Title _____	Department _____

**Category or Type of Exemption**

- Exempt Under Charter Section: \_\_\_\_\_
- Anticipated Last Day of Employment: Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_
- ASO Section 1.1.D. (Authorization of Up To Six Months - Position for Succession Planning)
- Last Date of Employment: Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**Appointment Status** (Check One)

- Permanent Exempt
- Temporary Exempt

**Work Schedule** (Check One)

- Full-Time Regularly Scheduled
- Part-Time Regularly Scheduled
- School-Term, Full-Time Regularly Scheduled
- School-Term, Part-Time Regularly Scheduled
- As-Needed (not regularly scheduled)

**Important Information**

As an exempt appointee you acquire no guaranteed right or preference for permanent Civil Service employment. Your exempt appointment under certain Charter Sections, or under the ASO Section, is time limited (applicable box is checked).

- Charter Section 10.104-16: Limited to (6) months in a fiscal year.
- Charter Section 10.104-17: Limited to (2) years in 4-six month increments.
- Charter Section 10.104-18: Limited to (3) years.
- Charter Section AS.511: Limited to 960 hours in a fiscal year.
- Annual Salary Ordinance (ASO) Section 1.1.D.: Limited to 6 months only (or less if stated above – refer to Last Date of Employment).

Further, exempt employees serve at the pleasure of the Appointing Officer. Therefore, regardless of the anticipated or last date of employment noted above, your employment may be terminated at any time by the Appointing Officer with or without cause. You may also be displaced by an eligible from a Civil Service list at any time prior to the anticipated last date of employment indicated above.

The signature below is to acknowledge effective end date of employment, and the receipt of copy of this notice.

Signature of Appointee \_\_\_\_\_ Date \_\_\_\_\_ Signature of Appointing Officer/Designee \_\_\_\_\_ Date \_\_\_\_\_

Original To: DHR Referral Unit

Copy To: Employee's Personnel Folder

DHR 6-20 (DRAFT 4/29/08)

(SEE INSTRUCTIONS)

# Department Heads

Departments may **not** simultaneously have two department heads. To accommodate the need for succession planning and transfer of knowledge, incoming department heads must be appointed to a deputy director classification during any period of simultaneous employment with the outgoing director. Only upon the separation of the outgoing director may the incoming director be appointed to a director classification.

