

**STATE OF CONNECTICUT
DEPARTMENT OF DEVELOPMENTAL SERVICES**

Procedure No: II.D.PR.020
Subject: Employee Selection Report (ESR)
Section: Human Resources

Issue Date: October 1, 2008
Effective Date: Upon release

A. Purpose

The purpose of this procedure is to outline the responsibilities of the hiring supervisors/managers, Human Resources office, and the Equal Employment Opportunities Division within the Department of Developmental Services (DDS) to ensure that the rules of selection are followed when selecting and hiring a candidate for a vacant position.

B. Applicability/Scope

This procedure applies to all hiring supervisors/managers, Human Resources offices, and the Equal Employment Opportunity Division.

C. Definitions

Vacancy, Job Title – the official title assigned by a job specification as designated by the Connecticut Department of Administrative Services.

Bargaining Unit (B.U.) – Organized groups of employees that negotiate agreements with the State of Connecticut.

Position Control Number (PC#) – Official number assigned to a position for budget and count purposes.

Permanent – A position in which the incumbent is expected to serve for a period of more than six months of full-time employment or in cases of Promotional Working Test Periods is whatever is designated by the Collective Bargaining Unit agreement.

Temporary – A position in which the incumbent is hired to fill a temporary position of six-month duration or the length of leave of absence of the employee replaced, whichever is longer. These employees cannot be guaranteed continued employment beyond the termination date of the appointment.

Durational – The employee is hired for a specific duration (e.g., this type of appointment may be for a short-term project or to cover for someone on extended absence).

Full time – A position normally requiring the maximum hours of service set for the bargaining unit

Part time – A position normally requiring less than the maximum hours of service set for the bargaining unit

Worksite – Location where the position is assigned.

Affirmative Action outreach efforts – Specialized recruitment activities designed to increase diversity in applicant pools. An example of such activities would include contacting minority/community organizations to advise of job opportunities.

Affirmative Action Goals – Numeric goals established to ensure that the Department's workforce reflects Connecticut's demographic profile.

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Discipline – Progressive discipline is a generally accepted supervisory practice that establishes penalties of increasing severity for repeated infractions or work performance issues.

Seniority – An employee’s length of state service since date of last hire.

Rules of Selection – Candidates rights to a position based on Reemployment, SEBAC, or other mandatory rights in accordance with their collective bargaining agreement. There are also optional rights in each bargaining unit.

Exam List – A certified list of candidates who have passed a state merit examination.

Conditional Offer – An offer made to a selected candidate to confirm their interest in the position while performing the pre-employment checks and verifications.

Start Date – A negotiated date between the selected candidate and the hiring supervisor once consulted with the candidate’s supervisor for release date and after HR has authorized the selection. HR determines the start date for an outside hire.

D. Implementation

1. Responsibilities of the local Human Resources Office

- a) Collect all applications for a particular vacancy.
- b) Determine if each candidate is qualified (meets experience and training requirements).
- c) Determine if candidate has had any discipline within the last year. (If so, note the level of discipline in the Supporting Information section of the ESR - e.g. letter of warning, reprimand, suspension, disciplinary demotions, etc. For lateral transfer candidates, discipline within the past twelve months at a level greater than a letter of warning or a less than good service rating within the most recent rating period should be considered in determining an appreciable difference. For promotional candidates, all discipline and/or less than good service ratings should be considered in determining an appreciable difference. Approval to select a candidate with such discipline must be obtained from the regional HR Director.)
- d) Determine if candidate is eligible.
- e) Determine seniority for each candidate (if applicable) using latest seniority information. Note as of date of latest seniority list.
- f) Determine race and sex of each candidate. HR can get this data from CORE for DDS employees and from the applications if provided. If information is not available, HR should leave blank. It will be up to the hiring supervisor/manager to indicate, if they actually interview the candidate.
- g) Determine each candidate’s current job title, Part-time or Full-time status, and work location (including city). If candidate is not a state employee indicate “Outside”.
- h) Determine what rule/sequence the candidate would fall under according to the rules of selection and note if it is a mandatory “M” or optional “O” rule.
- i) Complete the following sections on page one of the Employee Selection Report (ESR):
 - Indicate Region, Southbury Training School or Central Office
 - Vacancy, Job Title
 - B.U. (Bargaining Union)
 - PC# (Position Control Number)
 - Permanent vs. Temporary/Durational (check 1)
 - Full Time vs. Part Time (check 1)
 - Worksite, Town/City

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- Indicate the Affirmative Action out-reach efforts that were initiated (check all that apply and describe if needed – e.g. If letters were sent out to exam list candidates, indicate this under “Other ‘Affirmative Action’” initiatives. If position was posted on DAS website, it should also be indicated here.)
 - Affirmative Action Goals (using most recent AA Plan)
- j) Complete the following sections on the secondary pages of the ESR. Enter candidates in the appropriate order according to the rules of selection and seniority (if applicable.) All candidates who apply, whether they are qualified or not, must be listed.
- Seniority as of date (if applicable)
 - Rule/Sequence # (also note an “M” for Mandatory or and “O” for Optional)
 - Candidate name and seniority (if applicable)
 - Race
 - Sex
 - Current Job Title, Part-time or Full-time status, and work location (including city). If candidate is not a state employee indicate “Outside”.
 - Is candidate qualified? (if not, indicate reason in the Supporting Information column – e.g. not on exam list)
- k) Forward via email the partially completed ESR to the appropriate hiring supervisor/manager along with a copy of the pertinent bargaining union rules of selection. Applications should follow via interoffice mail, email, or secure fax. HR should retain a printout of the partially completed ESR in the position folder.
- l) The hiring supervisor/manager will conduct the interviews and complete their portion of the ESR. They will forward the ESR via email to HR noting the candidate they would like to select. HR will review the ESR for accuracy and completeness and verify that the recommended candidate was chosen according to the rules of selection. HR will then advise the hiring supervisor/manager that they are authorized to proceed with making a conditional offer. HR **MUST** respond to the hiring supervisor/manager in a very timely manner. If the approved candidate does not accept the position, the hiring supervisor/manager must repeat the process with their second choice candidate (or advise HR of their second choice up front).
- m) The ESR must be completed, returned to HR, and approved by HR prior to a conditional offer being made to the selected candidate. Otherwise, the candidate is **NOT** authorized to be placed in the position. Supervisors/managers may consult with HR and the EEO Division when completing form if needed.
- n) HR will complete the following sections of the Employee Selection Report (ESR) (if they have not already been completed by the hiring supervisor/manager):
- Start date (in certain cases hiring supervisor/manager may determine the start date if internal candidate is selected)
 - Name of HR Staff who reviewed this ESR
 - Position Offered (if candidate was interviewed)
 - Position Accepted (if position was offered)
 - Candidate Selected
 - Would the selection of candidate meet an AA goal?
- o) Once a candidate is approved, the hiring supervisor/manager must submit a Personnel Action Form to HR.
- p) HR will print a copy of the fully completed ESR and place in the position folder.
- q) HR will forward the completed form via email to the Equal Employment Opportunity Division (Lorna Reid) within one month of the candidate’s start date.
- r) The EEO Division will review the forms within one month of receipt and advise HR if they have any questions or if they have recommendations for future hires.
- s) Once applications are returned to HR, they should be filed in the position folder. HR should ensure that applications are returned and filed.

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2. Responsibilities of hiring supervisor/manager

- a) Develop interview criteria and questions against which all candidates will be compared.
- b) Receive partially completed Employee Selection Report (ESR) and applications from HR.
- c) Conduct interviews and evaluate candidates.
All qualified applicants, including qualified affirmative action goal candidates, must be interviewed and asked the same job-related questions. In the case of a considerable number of qualified applicants, a reasonable number of applicants should be interviewed, keeping in mind their qualifications, the interview criteria, and the agency hiring goals pertaining to affirmative action. There is no required number of candidates that must be interviewed, but the hiring supervisor/manager should interview enough candidates to increase the chances of hiring the best-qualified person. Of course, the Rules of Selection must be followed in order. If there are qualified candidates in a Mandatory Rule, they must be considered prior to candidates in a lower rule. If you are considering candidates in an Optional Rule, all candidates listed within that rule must be considered. Please consult with HR if you have any questions in a particular situation.
- d) Complete the highlighted portions of the 1st page of the ESR including:
 - Hiring supervisor/manager name, job title, and work phone number. This is the person who is doing the interviewing, evaluating, and selecting of the candidates.
 - List name and job title of anybody else on the interview panel.
- e) Complete the highlighted portions of the 2nd page of the ESR. This must be completed for EVERY qualified candidate whether or not they were selected and whether or not they were interviewed.
 - Race (If not already indicated and *if* candidate was *interviewed* – note your best visual observation. Place an * to indicate that the candidate did not self identify - e.g. H* B* W* O*. If the candidate was interviewed, under no circumstance leave this section blank.)
 - Sex (If not already indicated and *if* candidate was *interviewed* – note your best visual observation. Place an * to indicate that the candidate did not self identify - e.g. M* F*. If the candidate was interviewed, under no circumstance leave this section blank.)
 - Was interview conducted?
 - Supporting information for candidate selection or rejection. This is CRITICAL! (If HR has already noted some comments in this section, simply add to them - do not remove.)
- f) Select a candidate and forward completed ESR to HR via email. Advise HR which candidate you are recommending for selection. (You may also want to advise HR who your 2nd and 3rd choices are at this point in case your first choice does not accept the conditional offer.) **Only HR can officially offer a position or authorize you to offer a position, after they have ensured that the rules of selection have been followed.**
- g) The ESR must be completed, returned to HR, and approved by HR prior to a conditional offer being made to the selected candidate. Otherwise, the candidate is **NOT** authorized to be placed in the position. Supervisors/managers may consult with HR and/or the Equal Employment Opportunity Division when completing the ESR if needed.
- h) Once HR authorizes the selection, the hiring manager/supervisor should contact the candidate and make a conditional offer to them. If the selected/approved candidate accepts, the hiring manager/supervisor should advise HR.
- i) If the selected candidate accepts and is an internal DDS employee, the hiring manager/supervisor should negotiate with the candidate's supervisor for a potential

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release/start date. This date must be the Friday of the beginning of the pay period. Advise HR of the date. If the selected candidate is from outside of DDS, then HR will determine the start date and advise you (the hiring supervisor/manager).

- j) The hiring manager/supervisor should complete a Personnel Action Form and submit to HR via email.
- k) The hiring manager/supervisor should return applications to HR.

E. References

Affirmative Action Regulations for State Agencies: Sections 46a-68-42 and 46a-68-48

F. Attachments

Attachment A: Employee Selection Report

Attachment B: Personnel Action form