

Rule 414

Appointments

Article I: General Provisions

Applicability: Article I, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Article II: Appointment by Reinstatement

Applicability: Article IV, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Article III: Reappointment

Applicability: Article V, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Article IV: Appointment by Transfer

Applicability: Article VI, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Article V: Exempt Appointment

Applicability: Article VII, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Rule 414

Appointments

Article I: General Provisions

Applicability: Article I, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Sec. 414.1 **Appointment - General Provisions**

414.1.1 Report of Appointment

All appointments shall be authorized by the MTA Director of Transportation/Designee on the prescribed form prior to the appointee's starting date of employment.

414.1.2 Validation of Appointment

No appointee may begin working until validation has been issued by the MTA Director of Transportation/Designee.

414.1.3 Finality of Appointing Officer's Decision

Except as otherwise provided in these Rules, ordinances, or the Charter, the decision of the MTA Director of Transportation/Designee in all matters regarding appointment within the MTA shall be final.

Sec. 414.2 **Permanent Appointment - Definition**

A permanent appointment is an appointment made as a result of certification from an eligible list to a permanent position.

Sec. 414.3 **Method of Appointment - Permanent Appointment**

Permanent appointments shall be made in the following order of priority:

414.3.1 by the return to duty of a permanent holdover;

414.3.2 by the reinstatement of a promotive probationary employee consistent with the provisions in the Reinstatement Rule governing such employees;

Sec. 414.3 **Method of Appointment - Permanent Appointment (cont.)**

414.3.3 by the appointing officer through use of any one of the following options:

- 1) advancement of a part-time employee to full-time status consistent with the requirements found elsewhere in this Rule; or
- 2) transfer; or
- 3) from requests for reinstatement other than by the reinstatement of a promotive probationary employee consistent with the provisions in the Reinstatement Rule governing such employees; or
- 4) by reappointment following resignation; or
- 5) by certification by the MTA of eligibles from an eligible list or reemployment register.

414.3.4 Exercise of one option will preclude the use of any other method of appointment except as a result of any settlement arising following an appeal or other litigation. The MTA department may also fill permanent vacancies through internal reassignment within classifications of permanent employees consistent with MTA procedures. Such reassignments are not within the jurisdiction of the Civil Service Commission.

Sec. 414.4 **Temporary Appointment**

414.4.1 Temporary appointment shall be one of the following:

- 1) An appointment from an eligible list to a temporary position. Such appointment is time limited to a maximum duration of the hourly equivalent of 130 working days based on the regular daily work schedule of the employee, and in no case may the maximum exceed 1040 hours; or
- 2) An appointment from an eligible list to a temporary position established to perform a special project or investigation. The establishment of such position shall require the express approval of the MTA Director of Transportation/Designee. It must be readily foreseeable that the duties and responsibilities and products must be completed by the time limit of a maximum of the hourly equivalent of 260 working days based on the regular daily work schedule of the employee, and in no case may the maximum exceed 2080 hours.

Sec. 414.4 Temporary Appointment (cont.)

3) When no eligible list exists or no eligible is available on an existing eligible list for a position in the class requisitioned by MTA, and immediate service in the position is required and another eligible list exists which is deemed by the MTA Director of Transportation/Designee to be suitable to provide temporarily the service desired, the MTA Director of Transportation/Designee shall certify for civil service temporary appointment an eligible from such eligible list.

414.4.2 Expiration of Temporary Appointment

1) Upon expiration of the maximum allowable time period or upon expiration of the appointee's temporary position, temporary appointees shall be separated as provided below.

2) Temporary appointees so separated shall be returned to the eligible list from which appointed if such list has not expired.

3) Temporary appointees returned to the eligible list or to the holdover roster shall be immediately available for certification to temporary positions:

- under another appointing officer; or
- to the same appointing officer to another position with the express approval of the Human Resources Director.

In the case of represented classes, the MTA Director of Transportation/Designee shall provide prior notification to the appropriate bargaining representative of intention to authorize such immediate certification and shall, upon request, meet and confer concerning the proposed certification.

4) For employees represented by the Transport Workers Union, Locals 200 and 250A, temporary appointees, except those appointed from a "near list", whose list has expired shall be ranked on the holdover roster for the class.

414.4.3 Layoff due to lack of work or lack of funds or termination shall be as provided elsewhere in these Rules.

Sec. 414.5 **Provisional Appointment**

414.5.1 Provisional appointment shall be an appointment to a permanent or temporary position when there is no available eligible.

1) A provisional appointment is time limited to a maximum duration of the hourly equivalent of 130 working days based on the regular work schedule of the employee; however, in no case may the maximum duration exceed 1040 hours in any class or in any department in a calendar year.

2) Except with the express approval of MTA Director of Transportation/Designee, when an eligible list is adopted, all provisional appointments in the affected class shall expire.

414.5.2 Provisional appointments may be extended with the approval of the MTA Director of Transportation/Designee for additional periods of time not to exceed, for each extension, the time limitations specified above.

414.5.3 Provisional appointees serve at the discretion of the MTA Director of Transportation.

414.5.4 Provisional appointees shall be separated as provided below at the expiration of the maximum allowable time or upon expiration of the appointee's temporary position.

414.5.5 The MTA Director of Transportation/Designee shall promulgate policies and procedures for making provisional appointments which shall include provisions that appointments shall be made on the basis of a combination of merit factors, equal employment opportunity and, if promotive, consideration of performance appraisal ratings and seniority.

414.5.6 Layoff of provisional appointees due to lack of work, lack of funds or termination shall be as provided elsewhere in these Rules.

414.5.7 A civil service appointee who is laid off, terminated or who resigns from a provisional appointment shall return to the appointee's permanent position.

414.5.8 A provisional appointee resigning from employment shall complete the prescribed resignation form.

414.5.9 Provisional appointees shall acquire, by virtue of serving under provisional appointment, no right or preference for permanent appointment.

Sec. 414.5 **Provisional Appointment (cont.)****414.5.10** **Restrictions on Provisional Appointment**

- 1) Provisional appointments for civil service positions for which no eligible list exists shall not exceed three years.
- 2) Provisional appointments may only be renewed beyond three years with the approval of the Board of Supervisors and upon certification by the MTA Director of Transportation/Designee that for reasons beyond its control MTA has been unable to conduct examinations for these positions.
- 3) Unless provisional appointments are renewed as provided in this section or are transitioned to regular civil service appointment through either the competitive examination process or as provided in Charter Section 18.110, provisional employees appointed before July 1, 1996 shall be laid off by June 30, 1999.

414.5.11 **Provisional Appointees - No Preference for Permanent Appointment**

Provisional appointees shall acquire, by virtue of serving under provisional appointment, no right or preference for permanent appointment.

Sec. 414.6 **Advancement from Part-Time Position to Full-Time**

After verification of satisfactory performance in a permanent part-time position, the senior appointee in a class in the MTA may be advanced by the MTA Director of Transportation/Designee to a full-time position. Advancement from a part-time position shall require a new probationary period.

Sec. 414.7 **Separation of Temporary and Provisional Appointees Upon Expiration of Term of Employment**

- 414.7.1** No temporary or provisional appointment shall exceed the maximum allowable duration provided in these Rules, and upon expiration of that period of time, the appointee shall be separated from the position.
- 414.7.2** The appointee's separation shall be based upon the expiration of the maximum allowable duration or upon expiration of the appointee's temporary position. Such separation shall be without reference to the layoff or termination provisions of these Rules. The appointee shall be notified in writing:
 - 1) at the time of appointment as to the duration of such appointment; and
 - 2) at least ten (10) working days in advance of the final date.

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Appointments

Article II: Appointment by Reinstatement

Applicability: Article IV, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Sec. 414.8 Reinstatement

414.8.1 A permanent employee who accepts permanent appointment to a position in another class shall be permanently separated from any former position, with the following exception: the employee may be reinstated to a vacant position in any former class in which the probationary period had been completed upon the employee's written request on the prescribed form and with the approval of the appointing officers in both the present department and the former department or the department(s) to which reinstatement is requested. A copy of the approved form(s) must be maintained in the MTA Office of the Director of Transportation/Designee and the City's Department of Human Resources.

414.8.2 An employee serving a promotive probationary period shall be reinstated to a vacant position in any former class in which the probationary period had been completed upon the employee's written request on the prescribed form and with the approval of the MTA Director of Transportation/Designee.

- 1)** A request for reinstatement under this section shall not extend the probationary period or infringe upon an appointing officer's authority to terminate an employee.
- 2)** An approved request for reinstatement shall remain in effect until the employee is either reinstated, separated, refuses an offer of reinstatement, or such a request is canceled by the MTA Director of Transportation/Designee.
- 3)** Separation of the employee shall nullify all requests for reinstatement approved under this section.
- 4)** The employee shall receive one (1) offer of reinstatement. Failure to accept a reinstatement offer shall forfeit all rights to reinstatement under this section.

Sec. 414.8 **Reinstatement (cont.)****414.8.2** **(cont.)**

5) A reinstatement under this section shall be under the applicable procedures of the Civil Service Commission.

6) If more than one (1) request for reinstatement under this section is on file, the person with the greater seniority in the class to which reinstatement is requested shall be reinstated first.

414.8.3 Reinstatement to a position in a former class and department shall be with former civil service seniority standing in that department and no probationary period shall be required.

414.8.4 Reinstatement to a position in a former class in another department shall require a new civil service seniority date in that department from the date of such reinstatement and shall require a new probationary period as provided elsewhere within these Rules.

Sec. 414.9 **Reinstatement Following Transfer**

An appointment by transfer shall cancel all rights to the position from which transferred except that, prior to the completion of the probationary period, a transferee may request reinstatement to a vacancy in a position in the same class and department from which transferred in accordance with the procedures established in this Rule.

Sec. 414.10 **Restrictions on Reinstatement**

Appointments by reinstatement are subject to the appointment provisions found elsewhere in this Rule.

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Article III: Reappointment

Applicability: Article V, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Sec. 414.11 **Reappointment after Resignation**

- 414.11.1** A permanent appointee who has completed the probationary period who resigns and whose services have been certified as satisfactory by the appointing officer, or except as otherwise ordered by the Commission in the case of services certified as unsatisfactory, shall be permanently separated from such appointment except as follows:
- 414.11.2** Upon request on the prescribed form within a four (4) year period after the effective date of the resignation, the resignee, with the approval of the MTA Director of Transportation/Designee, may be appointed ahead of eligibles to a vacancy in a permanent position in the class from which resigned in any department.
- 414.11.3** A separate request must be filed with each department to which reappointment is desired. An approved copy of the reappointment form(s) must be filed with the office of the MTA Director of Transportation/Designee.
- 414.11.4** If a vacancy does not exist in the class from which resigned from City and County Service, or, if otherwise approved by the MTA Director of Transportation/Designee, subject to appeal to the Civil Service Commission, a resignee may re-enter the service to a vacancy in any former class in which the probationary period had been completed.
- 414.11.5** When reappointed, the resignee shall enter the service as a new appointee with no rights based on prior service except such as may be specifically provided elsewhere in these Rules, in the Vacation, Sick Leave and any other Ordinances as appropriate, and in the examination procedures with respect to credit for prior City and County Service.

Sec. 414.12 **Restrictions on Reappointment**

Reappointments are subject to the appointment provisions found elsewhere in this Rule.

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Article IV: Appointment by Transfer

Applicability: Article VI, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Sec. 414.13 **Transfer - General**

- 414.13.1** A transfer of a permanent appointee who has completed the probationary period to a position in the same class under another appointing officer shall be requested on the form prescribed by the City's Human Resources Director.
- 414.13.2** A properly completed transfer form approved by the appointing officer or designee of the department to which transfer is requested shall be filed in the requested department as well as the employee's current department. A copy of the approved form shall also be filed with the office of the MTA Director of Transportation/Designee and the City's Department of Human Resources within two (2) business days of approval.
- 414.13.3** Appointees accepting a new appointment by transfer shall give a minimum period of notice prior to separation from their current department of fifteen (15) working days, unless the current department approves a shorter period of notice.
- 414.13.4** Appointments by transfer are subject to the appointment and probationary provisions of these Rules.
- 414.13.5** Appointment by transfer will cancel all other transfer requests which have been filed.

Sec. 414.14 **Transfer from Position Not Full-Time**

A permanent appointee to a part-time position or a position not full time on an annual basis and who serves under such appointment continuously for one (1) year, may request transfer to a regular full-time position in accordance with the provisions of this Rule.

Sec. 414.15 Transfers Occasioned by Reduction of Force Due to Technological Advances, Automation, or the Installation of New Equipment

Permanent civil service employees who have completed their probationary period and who are subject to layoff because of technological advances, automation, the installation of new equipment, or the transfer of functions to another jurisdiction may submit a request to the MTA Director of Transportation/Designee for transfer to a position within their capacities to perform, whether or not within the class for which they qualified for appointment. Such request for transfer shall be subject to the following:

- 414.15.1** Request for transfer shall be submitted on the prescribed form and shall be approved by the appointing officer or designee of the department to which transfer is requested.
- 414.15.2** The position to which transfer is requested shall not be to a class with more than a five percent (5%) increase in compensation.
- 414.15.3** The City's Human Resources Director or the MTA Director of Transportation may administer any examinations which, in the judgment of the City's Human Resources Director or the MTA Director of Transportation are deemed advisable to test the capacity of the employee to perform the duties in the position to which transfer is requested, unless the transfer is to a position in the same class or a closely related class.
- 414.15.4** Employees so transferred, who are not suited to the position, may be given an opportunity for further transfer to other positions within their capacities to perform.
- 414.15.5** In the event of layoff of an appointee who occupies a position through transfer under the provisions of this section, such layoff shall be in accordance with the applicable provisions of the Layoff Rule. Seniority shall be calculated from the date of citywide seniority as defined in these Rules in the class from which transferred.
- 414.15.6** Employees transferred under the provisions of this section may request reinstatement to the former class in accordance with the Reinstatement Rule.

Sec. 414.15 Transfers Occasioned by Reduction of Force Due to Technological Advances, Automation, or the Installation of New Equipment (cont.)

- 414.15.7** In the event that more than one approved transfer to the same class is on file, preference shall be given to the appointee who has the longest service under civil service permanent appointment in the class from which layoff is to be made.
- 414.15.8** An appointee transferred under the provisions of this section shall serve a probationary period in the new class.

Sec. 414.16 Transfers Occasioned by the Transfer of Functions from One Department to Another

- 414.16.1** When, in accordance with Charter provisions, part of the functions and duties of any department are transferred to another department, the employees performing such functions and duties shall be transferred therewith.
- 414.16.2** Such employees shall retain in their new department the same salary and civil service seniority status as they had in the department from which transferred.
- 414.16.3** Employees transferred in accordance with this Rule shall not be required to serve a new probationary period.

Sec. 414.17 Limited-Term Transfer**414.17.1 Definition**

The transfer of a permanent appointee to a vacant position in the same class under another appointing officer for a specified duration of time may be approved by the appointing officers of both departments, the City's Human Resources Director and the MTA Director of Transportation/Designee and shall be known as a "limited-term transfer."

414.17.2 Purpose

The purpose of a limited-term transfer is to more efficiently utilize and exchange human resources among the departments of the City and County; to allow employees exposure and training in other departments; and to provide a mechanism for reducing staffing levels during slow periods or periods of fiscal emergency and to temporarily increase staffing during peak work periods.

Sec. 414.17 **Limited-Term Transfer (cont.)****414.17.3** **Types of Limited-Term Transfers**

1) Voluntary: A limited-term transfer may be initiated on the written request of an employee on the prescribed form. Upon receipt of a written request from an employee and no less than fifteen (15) working days prior to implementation, the designated union of the employee shall be provided written notice. The union shall have five (5) working days from the date of the notice to request a meeting with the appointing officer/designee. Within five (5) working days from the date of the union request, a meeting shall be held. If the union is unavailable to meet within the five (5) working days following the request to meet, the unavailability of the union shall constitute a waiver of the right to meet. Unavailability of the appointing officer/designee shall constitute an extension of the timelines. The timelines may also be extended through mutual written agreement.

2) Mandatory: A permanent or probationary employee may be transferred by the employee's appointing officer for a specified period up to a maximum of six (6) months in any calendar year to a position in the same class under another appointing officer. Such transfers shall be made by class in reverse order of seniority in the class in the department after all permanent and probationary employees in the class have been canvassed and all more senior employees have been notified and have waived the right to request a voluntary limited-term transfer. The employee shall receive at least five (5) working days written notice in advance of the effective date of the transfer and shall be given an opportunity, if requested, to meet and confer with the appointing officer/designee and the designated union representative. No permanent employee shall be placed on mandatory limited-term transfer if there are temporary or provisional employees in the same class in the department from which the transfer originates.

Sec. 414.17 Limited-Term Transfer (cont.)**414.17.4 Expiration and Extension**

- 1) Limited-term transfers will remain in force for the period specified unless abridgment is approved by both appointing officers.
- 2) Voluntary limited-term transfers may be extended for additional periods of time with the approval of the employee and the MTA Director of Transportation/Designee
- 3) Upon expiration of the period of the transfer, the transferee shall be automatically reinstated to a permanent position in the class and department from which transferred.

414.17.5 Probationary Period

- 1) A limited-term transferee shall not serve a new probationary period; however, notwithstanding any other provision of these Rules, with the approval of the appointing officer in the department to which transferred, the time served during a limited-term transfer, or a portion thereof, may be counted toward the completion of the probationary period if the transferee requests and is granted a permanent transfer and commences a probationary period in the new department.
- 2) An appointee who is transferred under the provisions of this Rule while serving a probationary period in the department from which transferred shall complete the probationary period upon reinstatement to the original department; however, an appointing officer may, notwithstanding any other provision of these Rules, credit the time served during a limited-term transfer or a portion thereof toward the completion of the probationary period in the original department.

414.17.6 Disciplinary Action

A limited-term transferee is an appointee in the department to which transferred during the period of the transfer for the purpose of disciplinary action.

Sec. 414.17 Limited-Term Transfer (cont.)**414.17.7 Temporary Positions**

Limited-term transfers which are not made to permanent positions may be made to positions which are funded on a temporary basis with the certification of the Controller that funds for the payment of mandatory fringe benefits are available in the department to which transferred. Appointees so transferred retain all the rights and benefits of permanent appointees.

414.17.8 Seniority

Appointees returning to their original departments following a limited-term transfer are reinstated with full seniority. No deduction from seniority in the original department shall be made for any period of limited-term transfer.

414.17.9 Layoff

An appointee who is laid off while on a limited-term transfer shall be automatically reinstated to a permanent position in the class in the department from which transferred.

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Article V: Exempt Appointment

Applicability: Article VII, Rule 414 shall apply to all Service-Critical classes of the Municipal Transportation Agency (MTA).

Sec. 414.18 Exclusions from Civil Service Appointment

All permanent employees of the City and County shall be appointed through the civil service process by competitive examination unless exempted from the civil service examination and selection process in accordance with Charter provisions. Appointments excluded by Charter from the competitive civil service examination and selection process shall be known as exempt appointments. Any person occupying a position under exempt appointment shall not be subject to civil service selection, appointment, and removal procedures and shall serve at the pleasure of the appointing officer.

Sec. 414.19 Charter Limit on Certain Categories of Exempt Appointments

- 414.19.1** The proportion of full-time employees in the exempt categories included under Charter Sections 10.104-1 through 10.104-12 to the total number of civil service employees of the City and County shall not be greater than the proportion existing on July 1, 1994, except as authorized in this Article. As certified by the Civil Service Commission at its meeting of November 18, 1996, the ratio on July 1, 1994 of full-time exempt employees to the total full-time City and County work force was two percent (2%).
- 414.19.2** In accordance with Charter Section 10.104, the Civil Service Commission may, by express approval, authorize that full-time positions conforming to the criteria established in this Section in the categories defined in Charter Sections 10.104-1 through 10.104-12 in excess of the Charter limitation be excluded from civil service selection and removal procedures and be filled through exempt appointment.

Sec. 414.19 **Charter Limit on Certain Categories of Exempt Appointments**
(cont.)

414.19.3 Requests for exemption under this section must conform to the following:

- 1) The position to be exempted must be in one of the categories defined in Charter Sections 10.104-1 through 10.104-12.
- 2) The action of exempting a particular position shall not directly affect the civil service rights of an incumbent regularly occupying such position on a permanent civil service basis.
- 3) The MTA Director of Transportation/Designee recommends the exemption and certifies that the exemption action shall not directly affect an incumbent civil service appointee to the position.
- 4) The request for exemption is made and approved by an appointing officer or an elected official; a request from a department under the City Administrator must be approved by the City Administrator.
- 5) The official making the request provides written justification as to the reasons the position should be exempted.

414.19.4 An appointing officer or an elected official may submit a request to exempt a position under this section to the Civil Service Commission through the Human Resources Director. If the Director recommends approval, the request shall be transmitted to the Civil Service Commission for review and action; if the Director denies a request, the appointing officer shall be notified in writing of the denial and the reasons for such action.

414.19.5 The decision of the MTA Director of Transportation/Designee is appealable to the Civil Service Commission within thirty (30) calendar days of the date of the notice of denial. The Commission decision on the appeal shall be final.

414.19.6 This section as adopted by the Civil Service Commission at its meeting of November 18, 1996 was approved by the Board of Supervisors on January 3, 1997 (Resolution Number 222-96-4).

Sec. 414.19 **Charter Limit on Certain Categories of Exempt Appointments**
(cont.)

414.19.7 Pursuant to Charter Section 8A.104: The MTA Director of Transportation/Designee may create new classifications and positions exempt from the Civil Service System for managerial employees in MTA bargaining units M and EM in addition to those exempt positions provided in Section 10.104; provided, however, that the total number of such exempt managerial positions within the MTA shall not exceed 2.75 percent of the MTA's total workforce, exclusive of the exempt positions provided in Section 10.104. This provision shall not be utilized to eliminate personnel holding existing permanent Civil Service managerial positions on November 2, 1999.

Persons serving in exempt managerial positions shall serve at the pleasure of the Director of Transportation.

The Civil Service Commission shall annually review both exempt and non-exempt classifications of the Agency to ensure compliance to Charter Section 8A.104.

414.19.8 **Charter Limit on Categories 16, 17 and 18**

1) Temporary and Seasonal Exemptions under Charter Section 10.104-16

- a. Temporary and seasonal appointments shall be TEX, with full-time, part-time, or as-needed schedules.
- b. No person, regardless of work schedule, shall exceed 1040 hours of work in any fiscal year.

2) Temporary Substitute/Backfill Exemption under Charter Section 10.104-17

- a. An appointment proposed for exemption under Charter Section 10.104-17 shall be for a temporary substitute or back-fill for a civil service employee on an authorized leave of absence (*e.g., an employee on pregnancy or other medical leave, etc.)
- b. The Human Resources Director may approve an appointment in increments of up to 1040 hours (six months); however, the appointment shall not exceed a maximum duration of 4160 hours (not to exceed two years by Charter requirement, or a total of four six-month increments).

Sec. 414.19 **Charter Limit on Certain Categories of Exempt Appointments (cont.)**

- 3) Special Project Exemption under Charter Section 10.104-18
- a. An appointment authorized for exemption under Charter Section 10.104-18 must be to a position created for or dedicated to a special project, or for professional services, not to exceed three years by Charter requirement.
 - b. Funding for appointments to perform professional services as authorized under Charter Section 10.104-18 shall be for a limited term (e.g., a grant or a “one-time only” appropriation for a specific or special purpose). Departmental requests for such appointments must certify that the funding is limited, identify the funding source and anticipate duration of such funding source, and adequately describe the professional services to be performed.
 - c. Departmental requests for appointments to a special project as authorized under Charter Section 10.104-18 must adequately define the special project or professional service to be provided (including but not limited to a description of the project objective, scope of work, and the specific anticipated duration of the project).