

**NEW YORK STATE DEPARTMENT OF CIVIL SERVICE  
STATE PERSONNEL MANAGEMENT MANUAL  
1600 Interviewing and Hiring**

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\*NOTE: See also 1830, Verification of Credentials.

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**Advisory Memorandum #17-01**

**1400 Eligible Lists/1600 Interviewing and Hiring**

**February 15, 2017**

**TO:** Department and Agency Personnel, Human Resource, and Affirmative Action Offices

**FROM:** Scott DeFrusco, Director of Staffing Services

**SUBJECT:** Beginning Office Assistant Email Canvasses

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The Department of Civil Service is pleased to announce that agencies will now have the option of email canvassing the recently established Beginning Office Assistant, Office Assistant 1- Keyboarding and related language parenthetical eligible lists, as they do with the Professional Career Opportunities (PCO) lists. These lists will be referred to collectively as “the BOA lists” in this memorandum. Many agencies have expressed interest in email canvassing these new lists in an effort to save time and resources.

**Email Address Query** – Email addresses for the BOA list eligibles may be obtained from the Email Address Query. The email addresses you receive will be the most current email addresses the eligibles have provided. When more than one email address is shown for an eligible, canvasses must be sent to each email address.

To access the query, log into HR Professionals, click on Examinations, then click on Email Addresses for Certs. You will need to select the exam series and enter your Cert number from your Eligible List Management System (ELMS) Cert. You can limit your request to a range of eligibles (for example 1 through 50).

We suggest you select “Get Email List As Excel” to view the Cert eligibles. From the spreadsheet you can copy/paste some or all of the email addresses into the address portion of your email. This will allow you to identify the eligibles without email addresses listed and you may wish to phone canvass or send a paper canvass to these eligibles.

If you cannot access the Excel version, you can use the “Get Email List as Text” option, but the eligibles without an email address will not be identified.

**Important:** Certification eligibles without email addresses **MUST** be canvassed following the procedures for canvasses by letter and/or phone, if these eligibles must be coded to effect an appointment.

Please be careful when coding your ELMS Cert, especially when using the bulk processing function, to ensure that codes are only entered for list eligibles who have actually been canvassed.

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**February 15, 2017**

**Email Canvassing in General** - Agencies may immediately appoint reachable eligibles who respond to an email canvass before the deadline for response.

The email canvass must contain all of the information that would be provided in a canvass letter. For convenience and consistency, the email should provide this link to canvass letter information: <http://www.cs.ny.gov/extdocs/forms/S-60.page2.pdf>. Agencies must provide all information contained in the email canvass to eligibles who contact them with problems opening attachments to the email.

Eligibles may respond to the canvass in a variety of ways (e.g., by letter or fax), even if the agency requests responses only by email. Agencies must consider timely responses, regardless of the method the eligible used to respond.

If an eligible declines by email, the agency must mail a confirming letter to the eligible.

If an email is returned as undeliverable, the agency must canvass the eligible by letter and/or by phone, if the eligible must be coded to effect an appointment.

**10-Day Email Canvassing** - 10-day email canvass procedures follow the procedures for canvasses by mail. Eligibles must be given at least 10 business days from the date the email is sent to respond to the canvass, consistent with Civil Service Rule 4.1 (b). If the eligible does not respond in that time the eligible may be coded NR (No Response), unless the eligible responds late. Late responders should be coded as LR, unless the candidate declines the position.

**2-Day Email Canvassing** - Agencies have the option of requiring a minimum two business day deadline for responses to email canvasses, similar to a phone canvass. However, eligibles who do not respond may not be coded as NR.

**Updating Email Addresses** - Eligibles may update their email address by logging into the Department web site at <https://www.cs.ny.gov/home/myaccount>.

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**Advisory Memorandum #16-04**

**1400 Eligible Lists/1600 Interviewing and Hiring**

**September 9, 2016**

**T0:** Department and Agency Personnel, Human Resource, and Affirmative Action Offices

**FROM:** Scott DeFruscio, Director of Staffing Services

**SUBJECT:** PCO Advanced Placements with Higher-level Degrees

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The Department of Civil Service is pleased to announce a further expansion of the preapproved minimum qualifications that can be used for advanced placement of eligibles on the PCO list or PATT list to PCO Generalist Job Titles. These advanced placement appointments may be made at the agency's discretion. Eligibles who have a Juris Doctor, master's or higher-level degree in a field related to the duties of the position may be advanced placed to the Trainee 2 level of two-year traineeships. Eligibles possessing a duties-related Juris Doctor, master's or higher-level degree and one year of experience performing the duties of the journey level title may be advanced placed to the journey level of two-year traineeships. Agencies have discretion in determining whether an eligible's degree is related to the duties of the position, but may contact their Classification and Pay Analyst for assistance in making these determinations.

This revision of the minimum qualifications for advanced placement is effective as of the date of this memorandum and may not be applied to previous PCO or PATT list appointments.

The DCS Business Suite will be updated to show these advanced placement qualifications.

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**March 11, 2016**

**TO:** Department and Agency Personnel, Human Resource, and Affirmative Action Offices

**FROM:** Scott DeFruscio, Director of Staffing Services

**SUBJECT:** PCO Email Canvasses

The Department of Civil Service (the Department) is pleased to announce new policies for agencies that choose to canvass the Professional Career Opportunities (PCO) eligible lists by email. These policies will improve the timeliness and efficiency when canvassing a PCO eligible list. This Advisory Memorandum updates and replaces the section on Email Canvasses in GIB No. 14-03.

Agencies now have two options when canvassing a PCO list by email. Agencies may choose between:

- a 10-day email-only canvass, which requires no follow up with eligibles who do not respond to the email canvass; **or**
- a 2-day email canvass, which requires follow up with eligibles who do not respond to the email canvass, before considering them as a No Response (NR).

**Email Canvassing in General** - Agencies may immediately appoint reachable eligibles who respond to an email canvass before the deadline for response.

The email canvass must contain all of the information that would be provided in a canvass letter. For convenience and consistency, the email should provide this link to canvass letter information: <http://www.cs.ny.gov/extdocs/forms/S-60.page2.pdf>. Agencies must provide all information contained in the email canvass to eligibles who contact them with problems opening attachments to the email.

Eligibles may respond to the canvass in a variety of ways (e.g., by letter or fax), even if the agency requests responses only by email. Agencies must consider timely responses, regardless of the method the eligible used to respond.

If an eligible declines by email, the agency must mail a confirming letter to the eligible.

If an email is returned as undeliverable, the agency **must** canvass the eligible by letter and/or by phone, if the eligible must be coded to effect an appointment.

Agencies must check <https://www.cs.ny.gov/businesssuite/Examinations/> and click on Email Opt Outs to see if any eligible has opted out of receiving email canvasses for the title/eligible list. The agency **must** canvass these eligibles following the procedures for canvasses by letter and/or by phone, if the eligibles must be coded to effect an

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**March 11, 2016**

appointment. If an eligible indicates they do not want to receive canvasses by email, refer them to the PCO Exam Unit at [PCO@cs.ny.gov](mailto:PCO@cs.ny.gov).

**10-Day Email-Only Canvassing** – 10-day email-only canvass procedures follow the procedures for canvasses by mail. Eligibles must be given at least 10 business days from the date the email is sent to respond to the canvass, consistent with Civil Service Rule 4.1 (b). If the eligible does not respond in that time the eligible may be coded NR (No Response), unless the eligible responds late.

**2-Day Email Canvassing** – 2-day email canvass procedures follow the procedures for phone canvasses. Eligibles must be given at least two business days from the date the email is sent to respond to the canvass, consistent with Civil Service Rule 4.1 (b). If an eligible does not respond to the email canvass, the agency must still consider the eligible as active and may not inactivate an eligible on a cert based on a failure to respond to a 2-day email canvass. The agency may choose to not consider eligibles who do not respond to the email canvass, but they must be coded as non-selects (NS). The agency must use the procedures for a new 10-day email canvass or for canvasses by letter and/or phone to follow up the 2-day email canvass of any non-responders and then record the results in ELMS, if the eligibles must be coded to effect an appointment.

**Email Address Query** – The Department has developed a query agencies can use to obtain the email address of PCO list eligibles on a cert. To access the query, log into HR Professionals, click on Examinations, then click on Email Addresses for Certs. After entering the cert number, email addresses will appear for all eligibles on that cert who provided the Department their email addresses. The request can be limited to a range of eligibles (for example 1 through 50). The email address will be the most current email address the eligible has provided the Department. In some cases, more than one email address may be shown for an eligible. If an eligible did not provide an email address, they are included in the Email Opt Outs listing described above.

**Updating Email Addresses** –Eligibles may update their email address by logging into the Department web site at <https://www.cs.ny.gov/home/myaccount>.

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Advisory Memorandum #93-05**

1600 Interviewing and Hiring

September 1, 1993

**TO:** Agency Personnel/Affirmative Action Officers  
**FROM:** James W. Sever, Director of Staffing Services  
**SUBJECT:** Revised standard canvass letters for reemployment lists - Change in policy on the effect of declinations of contingent permanent positions.

Enclosed are several copies of the revised standard canvass letter agencies **must use** for canvassing reemployment lists, effective October 1, 1993. This replaces the standard reemployment list canvass letter included with Advisory Memorandum #93-01, issued January 8, 1993, in this section.

Policy Bulletin #93-03, issued 9/1/93, (See 1450 Preferred Lists), announced a change in our policies on the effect of declinations on the status of eligibles when the positions are encumbered and temporarily vacant, i.e. "contingent permanent".

As of October 1, 1993, our policies on reemployment lists and eligibles will now be the same, i.e. a declination of a contingent permanent will be treated the same as a declination of a permanent position.

Therefore there are no longer separate boxes for permanent and contingent permanent on the canvass letter, and the declination information on the back of the letter has been revised to indicate that this effect.

This revised canvass letter is being provided to agencies as a master which can reproduce with their address preprinted in the appropriate box. Please use only this letter on or after October 1, and destroy any other copies that contain the old policy information.

**Intent to Appoint**

Certifications of lists should be requested only when you intend to appoint. Preparing unnecessary certifications diminishes our ability to provide service. If you have access to APPS in your agency, you can view informational certifications of eligible lists via the on-line certification system.

Eligibles should be called for interview only when it is likely that an appointment will result, and there is a good chance that the person called will be reachable. Eligibles should be given at least 24 hour notice of their interview date. Agencies must attempt, within reason, to accommodate eligibles who wish to be interviewed.


**Notification of Eligibles not Selected for Appointment from an Eligible List**

Pursuant to §61 of the Civil Service Law, when an appointment is made from an eligible list, any eligible who was interviewed, or any eligible whose score was higher than the score of the eligible who was appointed, must be notified in writing that they were not selected.

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**Advisory Memorandum #93-01**

1600 Interviewing and Hiring

January 8, 1993

TO: Agency Personnel/Affirmative Action Officers  
FROM: James W. Sever, Director of Staffing Services   
SUBJECT: Revised standard canvass letters for eligible lists and reemployment lists/Canvass and Interview Reminders

Enclosed are several copies of the revised standard canvass letter agencies **must use** for canvassing eligible lists and reemployment lists. These are being provided to agencies as masters which they can reproduce with their address preprinted in the appropriate box.

**ELIGIBLE LIST CANVASS LETTER**

Please note the following changes:

- The "FROM:" box contains a space for the Personnel Office telephone number, and the date the letter was prepared.
- There are two ways in which salary can be indicated. If "BEGINNING SALARY - open competitive eligible list" has been checked, type in the annual salary. If "SALARY GRADE - promotion/transition list" has been checked, type in the salary grade for the position.
- "TYPE OF APPOINTMENT" must include the number of months expected when the appointment is temporary. Note that you must canvass for permanent when the position will be filled on a contingent permanent basis.
- "TYPE OF EMPLOYMENT" must include the percentage of time whenever the job is less than 100%.

We've tried to make the effect of any declination clearer by including it on the line for the box an eligible might check. The processing codes have been moved to a shaded box. These are the only codes which should be used for declinations.

**REEMPLOYMENT LIST CANVASS LETTER**

- We have combined the three types of reemployment lists on one letter. It is essential that only one box be checked, and that it is the correct one.
- "REMARKS" should be used to indicate the journey level salary grade for traineeship (NS) positions.
- You may canvass for permanent and/or contingent permanent and/or temporary on the same canvass letter, provided you have the appropriate certifications of the list. Please note that at this time our policy remains that a declination of a contingent permanent position is counted in the same manner as a declination of a temporary position.



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January 8, 1993

**Intent to Appoint**

Certifications of lists should be requested only when you intend to appoint. Preparing unnecessary certifications diminishes our ability to provide service. If you have access to APPS in your agency, you can view informational certifications of eligible lists via the on-line certification system. We are working on system changes that will provide on line access to reemployment lists.

Eligibles should be called for interview only when it is likely that an appointment will result, and there is a good chance that the person called will be reachable. Eligibles should be given at least 24 hour notice of their interview date. Agencies must attempt, within reason, to accommodate eligibles who wish to be interviewed.

**Notification of Eligibles not Selected for Appointment from an Eligible List**

Pursuant to §61 of the Civil Service Law, when an appointment is made from an eligible list, any eligible who was interviewed, or any eligible whose score was higher than the score of the eligible who was appointed, must be notified in writing that they were not selected.

**Change in Requirements for Copies of Canvass Letters - Reemployment Lists**

Although we still must have copies of their signed canvass letters for each eligible who declines, we no longer require a copy for each eligible who fails to reply; one sample letter will do. Please mark it clearly so we know what it is.

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**Policy Bulletin #00-01**

**1600 Interviewing and Hiring**

**August 4, 2000**

**T0:** Department and Agency Personnel, Human Resource and Affirmative Action Offices  
**FROM:** Crys Hamelink / Bill Doyle  
**SUBJECT:** New and Revised Canvass Letters / Confirmations of Declinations

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Enclosed (for Personnel Offices Only) are the following:

- S-60, Eligible List Canvass Letter
- S-61, Reemployment List Canvass Letter
- S-62, Redeployment List Canvass Letter
- S-63, Agency Reduction Transfer List Canvass Letter
- S-64, Confirmation of declination letter – eligible list
- S-65, Confirmation of declination letter – Agency Reduction Transfer List
- S-66, Confirmation of declination letter – Redeployment / Reemployment List(s)

Use these forms as masters upon which you may print your agency address and/or logo, and then reproduce with the appropriate list/appointment/employment information when canvassing or confirming declinations. The revisions to previous versions are not major, so you may exhaust any current stocks.

***E-mail Canvasses***

When you canvass individuals using electronic e-mail, you should apply the same policies as for telephone canvasses. That is, unless you receive a reply directly from the individual you must send that person a canvass letter, and, if the individual declines via e-mail, you must send the appropriate confirming letter.

***Reporting to Work***

Although we do not indicate this on the canvass letters, you should allow individuals at least 15 calendar days to report to work for positions at Grade 22 or lower, and 30 calendar days for positions at Grade 23 or higher.

This Policy Bulletin does not replace Advisory Memoranda #93-01 or #93-05 in this section on this topic, to which you should still refer for information on the use of these forms, intent to appoint and notification of eligibles not selected.

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**Policy Bulletin #97-04**

**1600 Interviewing and Hiring**

**February 7, 1997**

**Telephone Canvasses**

The following policies apply to all eligible lists and reemployment lists

- Eligibles must be given two business days to reply.
- You must actually speak to the eligible. It is not sufficient to leave a message on an answering machine or to speak with anyone other than the eligible. If you cannot contact the eligible by telephone you must send a canvass letter.
- Telephone canvasses must include all the same information as would be provided for on the canvass letter. For example, the type of appointment, the type of employment, the location (county) of the position, and for trainee titles, the title and salary grade of the journey level position,.
- Eligibles must be told the effect the declination will have on their eligibility. If they are on a reemployment list you should, in addition, refer them to their copy of *"Information for State Employees Affected by Layoff"* and/or the Reemployment Services Unit of this department.
- Eligibles who decline on the telephone must be sent a confirming letter. Master copies of letters to confirm telephone declinations for eligible lists and reemployment lists are available from this department and must be used.

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**Policy Bulletin #92-01**

**1600 Interviewing  
1860 Verification of Credentials**

**February 7, 1992**

**TO: Agency Personnel Officers**  
**FROM: Bob Parrish**  
**SUBJECT: Review of Promotion Applications for Derogatory Information**

Effective immediately, the Department of Civil Service will no longer review promotion applications (Form XD-5) for "derogatory" information.

The current promotion application (XD-5) asks promotion candidates the following question:

*"Since last permanent appointment have you been convicted of any crime or do you now have a criminal charge pending against you?"*

Future revisions of this form will no longer contain this question. It will be the responsibility of each agency to inquire about each candidate's background at the time of interview, using your own internal employment application form. If you do not wish to consider a candidate for appointment because of his/her background, contact the Investigations Section of the Department of Civil Service with all relevant information. They will conduct a background investigation and advise you and the candidate of the results.

Currently, most restrictions and disqualifications result from agency requests to investigate candidates. Our own internal review of promotion applications has produced very few restrictions or disqualifications relative to the work load. We believe it is more productive and meaningful for agencies to contact us with concerns about candidates at the time of interview.

We will shortly be issuing a State Personnel Management Manual section on credentials, which will more completely articulate our policy with respect to candidate background and credentials generally.

Any questions you may have concerning this memorandum should be directed to the Investigations Section at 457-5507.

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Policy Bulletin 87-03

Page 1 of 2

1600 - Interviewing, 1860 - Verification of Credentials

TO: Appointing Officers  
FROM: Walter D. Broadnax  
SUBJECT: Credentials Verification  
DATE: July 9, 1987

Over time, the Civil Service Department has decentralized verification of educational and experience requirements to appointing authorities. By delegating authority as far as practicable, we believe not only that personnel officers and the staffs which assist them are competent to perform these functions, but also that the verification process can be accomplished more rapidly and efficiently. We are writing to remind you of the importance of this function.

It is essential that credentials be verified during the interview and appointment process. This will avoid situations where it becomes known subsequent to appointment that an employee does not possess the necessary credentials and, therefore, must be terminated.

Examination announcements for competitive class positions describe the education, licensure or certification and experience requirements necessary for appointment. Similarly, minimum qualification requirements are established for appointment to non-competitive class positions. In addition, although labor and exempt class positions have no established minimum qualifications, in actuality, some positions may require specialized education (e.g., a law degree for a General Counsel).

Appointments to positions requiring specific credentials must include the following attestation in the "Remarks" Section of the Payroll and Personnel Transaction Form PR-75 signed by the personnel officer or designated representative:

"I certify that the credentials which qualify the above-named individual for the position to which he/she is being appointed have been verified as current and documented."

Although a specific credential may not be required as part of the minimum qualifications for a position, it may nonetheless be advisable to verify the education and experience represented by

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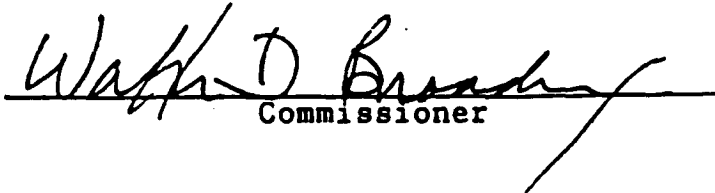
Policy Bulletin 87-03

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1600 - Interviewing, 1860 - Verification of Credentials

prospective employees on their resumes or applications (e.g., the minimum qualifications for a position is a bachelor's degree, but you decide to hire an individual because he or she has both a bachelor's and a master's in a field which would make the individual particularly valuable to your agency. In such a case, both degrees should be verified).

Questions concerning specific requirements should be addressed to your Staffing Services Representative.

  
Commissioner

cc: Personnel Officers  
Affirmative Action Officers

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ADVISORY MEMORANDUM #86-01

1600 - Interviewing

April 25, 1986

File this material in the section of the manual referenced above.

TO: Department and Agency Personnel Officers

FROM: Robert Parrish

SUBJECT: Fees for Laboratory Services

The Employee Health Service will begin charging a fee for laboratory services for all preplacement physicals which require laboratory work. The laboratory will bill the individuals tested the \$12.50 fee directly. The charge applies **only** to physicals conducted by EHS.

For appointees from eligible lists, the charge will be placed in gradually with each new examination announcement for a title with medical standards. Appointees to non-competitive and labor class positions and non-list appointees to competitive class positions will be charged beginning April 1, 1986. A list of the titles which currently have medical standards is provided on the back of this memorandum.

All questions on these laboratory fees should be directed to:

Mr. Robert Griffin  
Supervisor of Physical Fitness Testing  
Employee Health Service  
NYS Department of Civil Service  
The W. Averell Harriman State  
Office Building Campus  
Albany, New York 12239

(sn) Robert Parrish

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Deputy Director for the Bureau of  
Staffing Services

## **JOB TITLES WHICH HAVE MEDICAL STANDARDS**

Beverage Control Investigator  
Buoy Light Tender  
Building Guard  
Campus Public Safety Officer II  
Canal Structure Operator  
Capitol Police Officer  
Correction Officer  
Engineering Technician (Stack Tester)  
Environmental Conservation Investigator  
Excise Tax Investigator  
Farm Products Inspector  
Forest Ranger  
Forestry Technician  
Hazardous Waste Investigator  
Institution Safety Officer  
Motor Vehicle Inspector  
Motor Vehicle Investigator  
Motor Vehicle License Examiner  
Narcotics Investigator  
Park Patrol Officer  
Secure Care Treatment Aides  
Safety and Security Officer  
Security Hospital Treatment Assistant  
Security Officer  
Security Service Assistant  
Tree Pruner Supervisor  
Youth Division Aide IV



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GENERAL INFORMATION BULLETIN NO. 86-01

January 1986

1600 INTERVIEWING & HIRING

Page 1

File this material in the section of the manual referenced above.

TO: All Department & Agency Appointing Officers  
FROM: Karen S. Burstein  
SUBJECT: Collection of Ethnic Data

It has come to our attention that some appointing authorities are collecting ethnic data from employment applicants. While this practice is undoubtedly motivated by good intentions, I am writing to remind you that, under the Human Rights Law, only the Civil Service Department is permitted to request such a specification (see Section 296.1(d) of the Executive Law).

If you need the information to comply with federal rules or to meet your goals and timetables, you should contact our Counsel's office so that we can discuss alternative procedures to achieve those ends.

(sn) Karen S. Burstein  
Karen S. Burstein  
President, Civil Service Commission

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POLICY BULLETIN NO. 85-04

1600 Interviewing and Hiring

December 18, 1985

File this material in the section of the manual referenced above.

TO: All Agency Heads and Personnel Officers

SUBJECT: Amendment to Section 61 of the Civil Service Law

Section 61 of the Civil Service Law has recently been amended by the addition of a new subdivision relating to eligibles who are being considered for appointment or promotion in the competitive class (Chapter 875, as amended by Chapter 876 of the Laws of 1985).

This new subdivision is effective January 1, 1986 and requires that when an eligible list is certified and an appointment or promotion is made, the appointing authority must write to tell eligibles who were considered and not selected for appointment that the position was filled. Any eligible who was interviewed, or any eligible whose score was higher than that of the eligible who was appointed, should be so notified. In cases where many eligibles have the same rank, only those who were actually interviewed must be notified of their non-selection. Persons who decline or do not respond to a canvass need not be contacted.

This requirement is applicable whether the appointment or promotion is made from a centrally certified or a decentralized eligible list. Agencies must retain a copy of the notification as part of the supporting documentation relating to their eligible list usage.

A copy of the legislation is attached for your information.

*(SEE REVERSE)*

(sn) Karen S. Burstein  
Karen S. Burstein  
President, Civil Service Commission

Attachment

cc: Affirmative Action Officers

# STATE OF NEW YORK

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8246

1985-1986 Regular Sessions

## IN ASSEMBLY

June 26, 1985

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Introduced by COMMITTEE ON RULES -- (at request of M. of A. Gottfried)  
-- read once and referred to the Committee on Governmental Employees

AN ACT to amend the civil service law, in relation to candidates for appointment and promotion in the civil service; technical corrections in the provisions thereof

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

- 1 Section 1. Subdivision three of section sixty-one of the civil service  
2 law, as added by a chapter of the laws of nineteen hundred eighty-five  
3 amending the civil service law relating to candidates for appointment and  
4 promotion in the civil service, as proposed in legislative bill number  
5 S. 6591, is amended to read as follows:  
6 3. Notification to eligible candidates. Persons on an eligible list  
7 who are certified pursuant to section sixty of this chapter and are con-  
8 sidered and not selected for appointment or promotion pursuant to this  
9 section shall, whenever another candidate is appointed or promoted, be  
10 given or sent written notice by the appointing authority of such non-  
11 selection. In a city containing more than one county, persons on an  
12 eligible list who are made ineligible for further certification pursuant  
13 to a rule of the appropriate municipal commission shall be given or sent  
14 written notice of such ineligibility. Sending written notice by ordinary  
15 mail to the last address of record shall be adequate to comply with the  
16 requirements of this subdivision.  
17 § 2. This act shall take effect on the same date as such chapter of  
18 the laws of nineteen hundred eighty-five takes effect.

EXPLANATION--Matter in *italics* (underscored) is new; matter in brackets  
[ ] is old law to be omitted.

LBD11482-01-5

# NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

## STATE PERSONNEL MANAGEMENT MANUAL

### 1600 Interviewing and Hiring

#### 1605 Introduction

Page 1

File this material in the section of the manual referenced above.

#### .1 BACKGROUND

##### .110 Purpose

- .111 One of the most critical personnel decisions made by agency management is the choice of who to hire for a particular position. The key aspects of that choice are:
  - A. the knowledges, skills, abilities and personal characteristics of the candidate vis-a-vis the duties, responsibilities, physical and emotional demands of the particular position to be filled; and
  - B. the personal needs and goals of the candidate vis-a-vis the capacity of the position and the organization to satisfy them.
- .112 The greater the degree to which the candidate and the organization understand each other's needs and expectations the better the match will be between the position and the person. The quality of the match, in turn, determines job performance, job satisfaction, productivity, commitment and the length of time the individual will stay with the organization.
- .113 The employment interview and the decision to hire are, therefore, critical steps in the selection process since this is where the match is made between one of the qualified applicants and the position to be filled.
- .114 This section is intended to provide policy and procedural guidelines for these considerations while promoting a positive overall approach to interviewing and hiring.

#### .2 POLICY

##### .210 Considerations

- .211 Appointments and promotions in State service are made according to merit principles with the basic objective being to hire the person that best meets the needs of the job and the agency at that time. Interviewing and hiring practices of State agencies and facilities should ensure that the spirit of Civil Service Law is followed throughout the selection process.
- .212 Merit and Fitness Considerations - The interviewer should provide the candidate with an accurate description of the job to be filled. Both the positive and negative aspects of the job

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should be related to the candidate, so that the candidate can decide if he or she is interested in the position. The negative aspects of the job should not be inappropriately emphasized in an attempt to obtain a declination from the candidate nor should the interview process be so structured or conducted so as to discourage candidates with the objective being:

- A. to "break the list" so that provisional appointees can be retained or considered; or
- B. to "reach" certain people who are not among the three highest scoring eligibles.

Practices such as these not only violate the principle of merit and fitness but are prohibited by the Civil Service Law, Section 106, which deems it a misdemeanor for any person to obstruct the civil service rights of any other person. In addition, where it is demonstrated that undue influence was brought to bear on the candidate to decline a particular position, the Department of Civil Service may require that the appointment be voided and the entire list recanvassed.

- .213 Human Rights Considerations - Federal and New York State Human Rights Laws prohibit discrimination because of such considerations as race, religion, color, sex, age, national origin, disability or criminal record unless based upon a bona fide occupational qualification (see Section 296 Human Rights Law, Unlawful Discriminatory Practices). Although it is lawful to inquire about candidates' race, sex, and related matters (in fact, certain federal regulations require the employer to maintain records concerning such information), it is unlawful to deny employment to an individual based on such considerations. (For a complete discussion of appropriate and inappropriate questions see "A Guide to Job Interviewing," N.Y.S. Department of Civil Service.)
- .214 Negotiated Agreement Considerations - There are certain requirements regarding the posting and filling of job vacancies contained in the agreements between the State of New York and its employee organizations. These provisions specify the number of days certain job vacancies must be posted prior to filling, the number of days an employee shall be allowed to bid on the vacancy following posting, and seniority considerations in the appointment process (see 1982-1985 agreements: ASU - Article 29; ISU - Article 29; OSU - Article 25; SSU - Article 24; Security Supervisors - Article 24) as well as any applicable agreements with local chapters.

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#### 1610 Responsibilities of the Personnel Officer

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#### .1 BACKGROUND

##### .110 Responsibilities

- .111 The Personnel Officer has several major responsibilities in the interviewing and hiring process. The foremost responsibility is for maintaining the integrity of the process, that is, for ensuring that the interviewing and hiring process is well understood and supported through positive management and supervisory practices and conducted within the context of merit and fitness and Human Rights considerations and negotiated agreements. In addition, the Personnel Officer is responsible for coordinating the interview process and for requiring and maintaining necessary reviewable records for ensuring that the hiring decision is properly documented.
- .112 The Personnel Officer is responsible for ensuring that appropriate training of management and supervisory staff takes place to support the integrity of the interview and hiring process. Working with appropriate organizational units, this could be accomplished through such approaches as formal training in interviewing techniques and by providing copies of "A Guide to Job Interviewing," N.Y.S. Department of Civil Service and other guideline materials. Particular attention should be paid to the legal and policy considerations (e.g. Civil Service requirements) and ways to ask questions so that they are in compliance with the Human Rights Law.

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1615 Responsibilities of the Line Supervisor

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### .1 BACKGROUND

#### .110 Responsibilities

- .111 The Line Supervisor will usually be responsible for interviewing eligible candidates and making the selection decision. Consequently, it is important that the Line Supervisor have a thorough understanding of the interview process and the policy considerations outlined in Section 1605.
- .112 The Line Supervisor should ensure that all candidates receive comparable interviews and equal consideration.
- .113 The Line Supervisor should treat all candidates' records from the Personnel Office confidentially. Only those individuals directly involved in the hiring decision should have access to the candidates' records.

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#### 1620 The Interview Process

Page 1

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## .1 BACKGROUND

### .110 Purpose

- .111 The interview offers management a unique opportunity to obtain information about the candidate and to provide information to the candidate not available through other selection techniques. It allows the interviewer to directly appraise specific knowledges, skills, and abilities as well as the motivation, interest, needs and goals of the candidate in relation to the position to be filled. This is the opportunity to fill in, clarify or amplify information provided by the application form or other sources. Likewise, the candidate is entitled to know enough about the position and the organization to determine whether or not his or her employment and personal needs will be met.

## .2 POLICY

### .210 General Practices

- .211 The following sections highlight the general practices and policies for key areas in the interview process of direct concern to this Department.
- .212 Scheduling candidates for the employment interview is the first step in the interview process and is quite often the candidate's first contact with the agency and often with the State. Hence, how this is accomplished can impact on the image of the agency and the State as an employer.
- .213 In scheduling interviews the expectation is that candidates are provided with a fair opportunity to be considered for the position. Consideration should be given to:
  - A. the distance the candidate must travel
  - B. reserving sufficient time to conduct the interview so that the interviewer may devote his or her full attention to the candidate
  - C. scheduling interviews to accommodate the religious obligations of candidates or personal problems such as illness
  - D. scheduling interviews so that all candidates may be interviewed within a few days



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.214 Invitation to the Interview - To the extent possible written notification should be sent to each candidate inviting him or her to the interview (exceptions to this would be based on the urgency to fill the position). As this notification is often an individual's first contact with the State, the notification should be readily understandable and should include the following information:

- the title of the position;
- status of the position (permanent, temporary, etc.);
- the time of the interview;
- the location where the interview will be held;
- travel directions;
- who will conduct the interview;
- where the candidate should report;
- any information, such as a resume, that is needed for the interview;
- procedure for rescheduling or canceling;
- consequences of failure to respond;

.215 Planning and Conducting the Interview - The proper planning and conducting of the interview are essential elements of the matching process and critical factors in determining its success. The detailed nature of the interview process warrants that these procedures be explained in a separate publication of the Department of Civil Service entitled "A Guide to Job Interviewing."

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**.2 Policy**

**.210 General policies**

- .211** Where necessary to ensure proper skills of employees to perform the duties of a title or position, or where required by law, the State will require that candidates for employment possess appropriate license, certification, diploma, prior work experience, and background (Civil Service Law Section 50.4). The State will make every effort to insure that such requirements are bona fide occupational qualifications and do not impose artificial barriers to employment.
- .212** It is the expectation of the State that candidates for employment will not materially overstate or misrepresent their qualifications for employment, and that employees will take the steps necessary to maintain required certification, licensure, and/or registration.
- .213** Pursuant to Rule 3.2 (c) candidates and employees have an obligation to respond to requests to produce timely appropriate documentation demonstrating that they meet the requirements for appointment to a title or position.
- .214** State agencies have the responsibility for ascertaining whether candidates for employment possess licenses, certifications, diplomas, or other credentials essential to the legal or proper performance of the duties of a title or position.
- .215** Pursuant to Policy Bulletin #92-01, (See 1600, Interviewing and Hiring, or 1860, Verification of Credentials located in this manual) State Agencies have the responsibility to review the background of promotion candidates for "derogatory" information such as prior arrests/convictions or pending criminal charges.
- .216** State agencies have the responsibility for ensuring that employees possess and maintain certification or licensure necessary to the legal and proper performance of the duties of a title or position.
- .217** The Department of Civil Service has responsibility under CSL §50.4 for providing information on necessary credentials and qualifications and, upon written request, for conducting investigations concerning prospective or current employees. The Department has the authority and responsibility to refuse to certify, or delete from a list, eligibles who are found to lack required qualifications, and to direct the termination of employees found to be not qualified or where there is a finding of illegality, irregularity or fraud of a substantial nature in the employee's application, examination, or appointment.

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**.220 Agency Responsibilities**

- .221** Agencies will request and inspect, prior to appointment, originals or certified copies of essential credentials of all candidates for employment. These documents might include licenses (physician, dentist, professional engineer, motor vehicle operator, etc.), certificates (beautician, teacher, vocational instructor, etc.), and diplomas (two year, four year, and higher level degrees). Copies of these documents will be kept in employee files in the Personnel Office.
- .222** Agencies should maintain a tickler file of employees needing essential licenses or certifications and the renewal date. Where possible, agencies will remind employees in advance of the renewal date of the need to renew their license or other certification.

Among the numerous titles in the State Title and Salary Plan requiring certification and periodic recertification are many titles in the regulated health care disciplines. Because the work in these titles often involves direct responsibility for patient/client care, it is especially critical that employees possess and maintain their credentials. These disciplines include:

Alcoholism Counselor	Pharmacy
Audiology	Physical Therapy
Dental Hygiene	Physical Therapy Assistant
Dentistry	Physician's Assistant
Licensed Practical Nursing	Podiatry
Massage	Psychology
Medicine	Radiologic Technology
Occupational Therapy	Registered Professional Nursing
Occupational Therapy Assistant	Social Work
Optometry	Speech-Language Pathology

Other occupations generally requiring licensure or certification include:

Attorneys	Motor Vehicle Operators
Professional Engineers	

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- .223 To ensure that Personnel Officers have verified that new employees have demonstrated current registration and/or certification, the following attestation, signed by the Personnel Officer or designated representative, is required in the "Remarks" section of the PR-75 Personnel and Payroll Transaction for the above occupations.

"I certify that the credentials which qualify the above-named individual for the position to which he/she is being appointed have been verified as current and documented."

Payroll forms lacking this attestation must be disapproved.

- .224 State agencies may inquire about each candidate's training, work related experience, licensure and other stated qualifications at the time of interview using their own internal application form. State agencies may choose to verify the claimed education and work experience of prospective employees or new employees. The examination announcement will also specify that this is to be done. Candidates should be advised at the time of canvass that they will be required to prove possession of a required degree or license at the interview or prior to appointment, and whether or not a copy of the record will suffice.

It is recommended that all new appointees to a position requiring a degree or other specialized educational credential be required to produce an original diploma or a certified transcript for inspection and copying.

Agencies may choose to verify claimed work experience by writing to previous employers.

- .225 In those instances where there is reason to believe that a candidate or employee should not be certified from the eligible list or employed, the Personnel Officer or designee should provide factual information in writing to their Staffing Services Representative. If fraud or material misrepresentation is suspected, the Staffing Services Representative will forward the information to the Investigations Section of the Department of Civil Service for further investigation and resolution pursuant to Regulation 66.4.

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- .226 In examinations decentralized to agencies, the agency assumes responsibility for the review of applications from candidates, including the verification that claimed degrees or coursework are received from accredited institutions. The examination announcement sets forth the standard in these cases, which is usually those schools and universities recognized by the State Education Department. The manual supplied to the agency conducting the decentralized examination program will provide more detailed information on procedures.
- .227 The review of qualifications of appointees to positions in the non-competitive and labor classes is entirely decentralized to agencies. It is important that, where educational credentials are required, the accreditation of the institution as well as possession of the credential is verified.
- .228 When an employee's necessary license or certification is suspended or expired, agencies should follow the procedures in Policy Bulletin #91-03 located in 2200, Separations and Leaves in this manual.
- .230 Sources for Guidance
- .231 The Department of Civil Service relies on the following sources for guidance regarding the accreditation of educational institutions:
- U.S. colleges, universities, and technical schools:
- American Universities and Colleges, American Council on Education
  - Accredited Institutions of Postsecondary Education, American Council of Education (out of print)
- Third world, former republics of the Soviet Union, and eastern European schools:
- International Handbook of Universities and Other Institutions of Higher Education, International Association of Universities.
- Commonwealth countries schools:
- Commonwealth Universities Yearbook, - A Directory of Universities of the Commonwealth and the Handbook of their Association, Association of Commonwealth Universities
- .232 The State is not exempted from the responsibilities set forth in the Federal Immigration and Nationalization Act to verify the identity and right to work of prospective employees. Details of agency responsibilities are set forth in Advisory Memoranda Nos. 87-01, 87-02, and 88-02, located in 1000, Recruitment and 1800, Appointment located in this Manual.

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- .233 The evaluation of foreign degrees and credentials is beyond the scope of most personnel offices and the Department of Civil Service. Neither the State Education Department nor the Federal government currently provide this service. There are private companies which purport to perform this task, for which they charge the individuals involved. Signed and dated statements from these companies provided by applicants to demonstrate their possession of necessary credentials should be taken at face value unless there is reason to suspect otherwise.
- .240 Department of Civil Service Responsibilities
- .241 Upon request from an agency, the Investigations Section of the Department of Civil Service will conduct an investigation which may result in the removal of an eligible from a list, or the removal of an employee from the service. Affected individuals have the right to receive a written statement of the reasons for the proposed disqualification, and an opportunity to explain and to submit facts prior to the imposition of the disqualification. They have a further right to appeal an adverse decision of the Department of Civil Service to the Civil Service Commission.
- .242 In consultation with the Divisions of Affirmative Careers and Classification and Compensation, as appropriate, the Division of Staffing Services is responsible for making final determinations on the necessary education, experience, and other credentials (such as licenses) for employment in a title or position.
- .243 The agency's Staffing Services Representative will assist agencies and candidates in answering questions about the credentials required for employment.
- .244 The Staffing Services Division verifies at the time of application that a promotion or transition examination candidate possesses the necessary time in qualifying titles to be admitted to the examination, and establishes a date of appointment eligibility for those candidates whose eligibility is anticipated. It is not necessary for agencies to further verify claimed qualifying employment unless there is a question of error or other condition which would affect eligibility.
- .250 Candidate and Employee Responsibilities
- .251 Candidates are required to accurately state their qualifications, and to properly report legally required derogatory information so that a determination can be made as to their suitability for a particular position or title.

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- .252 Candidates are required to provide, with reasonable notice, acceptable proof of education, experience, credential, and/or license to demonstrate that they meet the minimum qualifications for appointment to the position or title.
- .253 Employees are required to maintain the credential and/or license necessary and required for the lawful, safe and proper performance of the duties and responsibilities of their position or title.

**4. Procedures**

**.410 Canvassing eligible lists**

- .411 Canvass letters must state that eligibles will be required to provide documentation of their veterans status, identity, eligibility to be employed in the United States, and proof of their qualifying education, current license and/or certification.
- .412 Agencies must inform eligibles scheduled for an interview of any specific documentation which must be provided.
- .413 Where a candidate does not provide the necessary documentation in a reasonable period of time following the interview, the Personnel Office may consider the candidate to be inactive on the certification. The Personnel Office must write to the candidate informing them of this action, and provide a copy of the letter with the returned certification for centrally certified lists. This action will remove the candidate from consideration on the certification in question, but will not affect their status on other or subsequent certifications.
- .414 In the specific case where the Personnel Office becomes aware that a list eligible is unable to furnish acceptable documentation to establish identity and/or the right to work in the United States, the Employment Records Section of the Department of Civil Service should be notified. The eligible will be restricted from certification on all lists on which his or her name appears, including decentralized lists. Employment Records will notify the eligible of the lists involved.
- .415 Agencies may request the assistance of the Investigations Section of the Department of Civil Service in evaluating the credentials, and qualifications of applicants and employees, by written request through their Staffing Services Representative.