

New York State Department of Civil Service
DIVISION OF CLASSIFICATION & COMPENSATION

Classification Standard

Occ. Code 6643400

Correctional Services Employee Investigator, Grade 14 6643400
Senior Correctional Services Employee Investigator, Grade 17 6643800
Coordinator Correctional Services Employee Investigations, Grade 23 6643830

Brief Description of Class Series

Correctional Services Employee Investigators are responsible for a variety of tasks associated with conducting criminal, civil, and internal affairs investigations involving prospective personnel seeking employment with the Department of Corrections and Community Supervision (DOCCS), current employees, and incarcerated individuals. Incumbents conduct investigations concerning the personal history of applicants for positions with DOCCS; conduct audits of programs and policies as assigned; conduct criminal, civil, and internal investigations involving Department personnel and incarcerated individuals; and provide security for Main Office, as needed.

These positions are classified in the Employee Investigations Unit, Workers Compensation Investigation Unit, and Inspector General's Unit at DOCCS.

Distinguishing Characteristics

Correctional Services Employee Investigator: full performance level; investigates potential and/or current employees of DOCCS.

Senior Correctional Services Employee Investigator: first supervisory level; supervises and trains a minimum of four Correctional Services Employee Investigators and/or Correction Officers; conducts the more complex investigations; and conducts and/or supervises field investigations involving criminal, civil, and internal affairs matters.

Coordinator Correctional Services Employee Investigations: management level; responsible for the coordination, direction, and management of all employee investigations conducted in the unit to which assigned at DOCCS. In addition, incumbents are responsible for establishing and implementing policies and procedures to be adhered to by unit staff and for establishing unit goals.

Related Classes

Correction Officers are responsible for the custody and security as well as the safety and well-being of criminal incarcerated individuals in State Correctional Facilities, Correction Camps, Shock Incarceration Correctional Facilities, Work Release Centers and Drug Treatment Centers. Incumbents are also responsible for incarcerated individuals requiring mental health services while confined within the State correctional system and those who require health care at hospitals or health care centers outside of Departmental facilities.

Consumer Frauds Representatives mediate consumer complaints, perform field investigations and conduct consumer education and outreach programs.

Investigative Officers (Beverage Control) supervise or manage the performance of investigations related to the administration and enforcement of the Alcohol Beverage Control Law, rules and regulations governing establishments licensed by the agency. These positions have Peace Officer status.

Investigative Specialists (Law) supervise or manage the performance of investigations necessary to support the States position in various types of legal actions concerning the laws, rules, and regulations of State agencies.

Investigative Specialists (Motor Vehicle) supervise or manage the performance of investigations related to the administration and enforcement of the laws, rules and regulations governing motor vehicle sales, registration, licensing, and disposal. These positions have Peace Officer status.

Illustrative Duties

Correctional Services Employee Investigator

Conducts investigations concerning the personal history of applicants for positions within DOCCS.

- Creates case folders for each candidate being screened.
- Prepares and sends out requests for information to verify background information provided by applicants by contacting employer and character references, schools and colleges, courts, police agencies, and military authorities.
- Accesses computerized records of other State agencies to obtain information such as motor vehicle driving records.

- Conducts face-to-face interviews with candidates to review records, obtains additional information and records, and clarifies or obtains explanations about matters of concern in the candidate's personal history.
- Supervises the fingerprinting of candidates.
- Obtains additional information about candidates by conducting interviews and field investigations and contacting other agencies.
- Maintains quality control, tracking, and accountability on all Division of Criminal Justice (DCJS) and Federal Bureau of Investigations (FBI) fingerprints submitted on all new employees Statewide.
- Provides fingerprint training to facility ID officers.

Conducts criminal, civil, and internal affairs investigations involving Department personnel and incarcerated individuals.

- Conducts preliminary inquiries regarding complaints from incarcerated individuals, Department personnel, and civilians, including conducting fact-finding interviews with witnesses, co-workers, and others as necessary.
- Conducts on-site surveillance activities pertinent to the case under investigation.
- May act in an undercover capacity, performing undercover activities, as required by the nature of the case and the investigation.
- Works with facility administrators, Counsels Office staff, Labor Relations staff, Personnel staff, and law enforcement agencies to find evidence and develop cases.
- Acts in a supporting capacity for the Attorney General's Office, Counsels Office, Labor Relations, and Personnel as cases enter the prosecution/disciplinary stage.
- May serve subpoenas as required.
- Prepares detailed progress reports regarding the status of investigations and information obtained for review by supervisory personnel.
- Based upon evidence developed during the course of investigations, submits reports with recommendations for appropriate action.
- When necessary, appears as witness on behalf of the Department.

- Interviews material witnesses for the purpose of obtaining sworn, written testimony to be submitted as evidence.
- Conducts additional investigative tasks, as assigned, during the hearing phase of cases.

Provides security for Main Office by responding if the alarm is sounded by the receptionist.

Senior Correctional Services Employee Investigator

May perform all of the same duties and functions as a Correctional Services Employee Investigator.

Supervises subordinate staff.

- Provides supervision, guidance, and oversight to subordinate staff, and intervenes and resolves problems as necessary.
- Determines and oversees staff assignments.
- Approves leave and tracks time and attendance.
- Reviews, monitors, and evaluates staff performance.
- Completes performance evaluations.
- Identifies training needs and arranges for provision of training.
- Manages and directs program activities by setting priorities and deadlines.

Supervises investigations concerning the personal history of applicants for positions within DOCCS.

- Evaluates the performance of subordinate staff on an ongoing basis.
- Supervises the preparation of case folders.
- Supervises the evaluation of cases and status changes as they occur.
- Oversees the conduct of face-to-face interviews with the candidates and necessary follow-up as needed.
- Monitors investigative staff to verify that a timely review of questionable cases for completeness and accuracy is performed and a proposed course of action is presented.

- Performs a final audit and evaluation of subordinates cases to ensure compliance and completeness with office policy.
- Monitors investigative staff's interaction with candidates and the public in general.
- Interacts with agencies within the New York State Criminal Justice System, as well as the Federal System, in exchanging essential information.
- Trains subordinates to ensure that they utilize available resources, i.e., NYSPIN, PC Programs, fingerprinting, etc., effectively to complete the investigative process.
- Responds to candidate inquiries made by Main Office executive staff and facility executive team members.
- Maintains quality control, tracking, and accountability on all DCJS/FBI fingerprints submitted on all new employees Statewide.
- Provides fingerprint training to facility ID Officers.

Supervises and conducts audits of programs and policies promulgated by the Commissioner.

- Performs and supervises on-site analyses to determine if programs and policies have been properly implemented and carried out by the facilities of the Department.
- Performs and supervises on-site analyses to determine the extent and effectiveness of specific policies and programs.
- Prepares reports of audit findings for submission to Coordinator Correctional Services Employee Investigations.

Supervises and conducts criminal, civil, and internal affairs investigations involving Department personnel and incarcerated individuals.

- Supervises and conducts preliminary inquiries regarding complaints from incarcerated individuals, Department personnel, and civilians.
- Conducts and assists subordinate staff with conducting fact-finding interviews with witnesses, co-workers, and others as necessary.
- As necessary, supervises and/or conducts on-site surveillance activities pertinent to the case under investigation.

- Provides daily supervision, training, and orientation to Correctional Services Employee Investigators and/or Correction Officers as assigned.
- Provides direction to Correctional Services Employee Investigators and/or Correction Officers relative to their investigative responsibilities and monitors their performance, making recommendations concerning areas where improvement is needed.
- Interacts with local, State, and federal criminal justice agencies in obtaining and exchanging essential information pertaining to cases.
- Trains subordinate staff to ensure that they effectively utilize available technological resources in completing the investigative process.
- Evaluates performance of assigned Correctional Services Employee Investigators and/or Correction Officers.
- As necessary, develops recommendations to supervisory staff for the return of detached service staff to their permanent facility.

May investigate Workers Compensation claims filed by employees of DOCCS.

- Performs all of the above duties and functions but does so in accordance with Departmental and State Insurance Fund policy and procedures and the Workers Compensation Law.
- Handles all aspects of the investigations from preliminary inquiries up to, and including, assisting in the prosecution of alleged incarcerated individuals and furnishing court testimony.
- Incumbents assigned to Workers Compensation claim investigations typically do not supervise subordinate staff, but must be available 24 hours per day for immediate dispatch for the purpose of initiating the investigation of a questionable work-related accident or illness.
- Examines and, if necessary, photographs accident scenes.
- Examines claimants personnel, timekeeping, and medical records as they relate to the Workers Compensation claim.
- Works, in concert with facility administrators, agency Counsels Office, Bureau of Labor Relations, Office of Personnel, State Insurance Fund, Attorney General's Office and law enforcement agencies in the development of legal evidence.
- May assist in the arrest of alleged incarcerated individuals or serve legal process.

- Prepares reports for the Coordinator Correctional Services Employee Investigations for presentation to the Deputy Commissioner.
- Submits periodic reports regarding the final disposition of those cases that have been adjudicated, including comments as to the reasons for the success or failure of each case.
- Reviews existing mechanisms for the control of Workers Compensation abuse to ensure that they are being carried out according to Departmental policy and the Workers Compensation Law.
- Visits assigned facilities periodically to review procedures to be followed in those cases where fraud or abuse is suspected.
- Works closely with Main Office Personnel during all phases of the investigative and prosecution/discipline stages of the case, ensuring consistency in the application of policy.
- Based on his/her field experience, suggests, or develops new mechanisms or procedures to enhance the effectiveness of the Departments Workers Compensation Program as it relates to controlling abuse.

Coordinator Correctional Services Employee Investigations

May perform all the same duties and functions of a Senior Correctional Services Employee Investigator.

Provides direction and oversight of Employee Investigations Unit.

- Establishes and implements policies and procedures to be adhered to by unit staff.
- Establishes unit priorities and goals.
- Ensures that subordinate staff effectively utilize available technological resources in completing the investigative process.

Coordinates the recruitment, hiring, and completion of detailed background investigations of all entry level security and specific civilian personnel for the Department, as well as criminal history inquiries for Office of Mental Health staff assigned to the Department, extra service personnel, and registered volunteers.

- Coordinates with executive and managerial staff to determine Departmental hiring needs to ensure that an adequate pool of fully screened candidates is available at all times.

- Coordinates the programming of a computer oriented list maintenance system.
- Coordinates the scheduling of candidate medical examinations and the receipt of examination results with the Director of Employee Health Services.
- Serves as liaison with Psychological Screening Unit relative to Correction Officer Trainee candidates.
- Establishes unit workloads and timeframes for completion of background investigations.
- Coordinates the exchange of information on candidates with other law enforcement agencies.
- Supervises the use of and dissemination of data received over the New York State Police Information Network, ensuring that security is maintained at all times and that exact records of inquiries are maintained.
- Coordinates the receipt of data required for investigations through negotiations and personal contact with various federal, State, and local agencies.
- Reviews all case recommendations prepared by staff, maintaining final authority to disqualify or declare eligibility of candidates.
- Maintains quality control, tracking, and accountability on all DCJS/FBI fingerprints submitted on all new employees Statewide.
- Provides in-service training on fingerprinting to EIU and Personnel staff, as well as ID Officers in the field.

Administers the disqualifications and appeals processes for prospective candidates.

- Reviews and evaluates additional information submitted by a candidate at the preliminary appeal stage and issues a decision to sustain disqualification or approve the candidate for appointment, consulting with legal and executive staff as necessary.
- If a candidate pursues the appeal process, directs the preparation of a detailed case study, and presents the case to the Civil Service Commission.
- Ensures that all steps in the process, including notification of disqualification, appeal requests, case preparation, and case submittals are processed within an appropriate time frame.

Coordinates all investigations of employees.

- Assigns specific staff based upon type and sensitivity of investigation.
- Establishes parameters under which assigned staff must complete investigations.
- Coordinates mutual investigations with other agencies.

Processes and maintains all data relative to notifications of employee arrests, active and former, when received via teletype, DCJS notification, or telephone. Notifies the Office of the Inspector General, the Bureau of Labor Relations, and the Bureau of Personnel.

Manages a unit charged with investigating abuse of Workers Compensation Leave by employees, developing evidence, and taking necessary prosecutorial and disciplinary action.

- Supervises and, in the most complex cases, participates in actual investigations of alleged fraud or other violations of law, rules, and regulations pertaining to claims for Workers Compensation benefits.
- Reviews information received from various sources and prioritize those investigations that will be undertaken.
- For highly complex investigations, develops the construct of the investigation and assign staff necessary roles. In some cases, this may also involve the use of staff from outside police agencies.
- On an ongoing basis, evaluates investigative activities and results with authority to either continue or terminate the investigation.
- Works with independent prosecutors in the development of major cases.
- Works with Labor Relations staff, as appropriate, relative to disciplinary issues.
- Submits progress reports to the Deputy Commissioner on a continuing basis regarding the status of active investigations and periodic reports regarding the final disposition of those cases that have been adjudicated, including comments as to the reasons for the success or failure of major cases.
- Works with various internal divisions, i.e., Personnel, Labor Relations, and Counsels Office, in developing and/or improving management systems aimed at controlling Workers Compensation abuse.

- Based on the results of investigations conducted by subordinate staff, identifies policy and procedure deficiencies that allow for such abuses to occur and recommends modifications as necessary.
- In concert with Counsels Office staff and often in cooperation with the State Insurance Fund, recommends changes in legislation that will improve the enforceability of Workers Compensation Law and reduce the potential for abuse.
- Provides ongoing training to subordinate staff relative to both the investigative process and ensuring that they effectively utilize available technological resources in completing the investigative process.

Minimum Qualifications

Correctional Services Employee Investigator

Open Competitive: three years of investigative experience, at least one year of which must have been in the criminal justice field. An associate degree may substitute for one year of the general experience, or a bachelor's degree for two years of the general experience.

Senior Correctional Services Employee Investigator

Promotion: one year of permanent service as a Correctional Services Employee Investigator.

Open-Competitive: four years of investigative experience, at least two of which must have been in the criminal justice field. An associate's degree may substitute for one year of the general experience, or a bachelor's degree for two years of the general experience.

Coordinator Correctional Services Employee Investigations

Promotion: one year of permanent service as a Senior Correctional Services Employee Investigator.

Open Competitive: six years of investigative experience, at least three of which must have been in the criminal justice field. Of this experience, one or more years must have been in a lead investigator/supervisory capacity. An associate degree may substitute for one year of the general experience, or a bachelor's degree for two years of the general experience.

Note: Classification Standards illustrate the nature, extent and scope of duties and responsibilities of the classes they describe. Standards cannot and do not include all of the work that might be appropriately performed by a class. The minimum qualifications above are those which were required for appointment at the time the Classification Standard was written. Please contact the Division of Staffing Services for current information on minimum qualification requirements for appointment or examination.

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