



**Department of
Civil Service**

Application Review

APPLICATION REVIEW MANUAL

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I. Purpose of Application Review and the Role of Minimum Qualifications

Application review has its basis in the Constitutional mandate of “merit and fitness through competition” and is an integral part of merit system administration. Your agency’s philosophy of application review should be consistent with that mandate – that is, to bring the maximum number of qualified people into the selection process. Application review is the first hurdle on the road to selection. All qualified applicants should be screened in, rather than screening out all but a few ideal applicants. Likewise, only qualified applicants should be screened in, rather than screening in everyone to let the examination screen out applicants.

Application review is both an administrative review of standard questions and substantive review of applicant qualifications against established standards of education, experience and other special requirements. In order to perform consistent and meaningful application review, clear lines of communication must be established both internally and with the public so that all parties clearly understand the qualifications which must be met. The professional standards that guide human resource managers require that all selection decisions be based upon pertinent, verifiable job-related information – that is, job analysis. Make no mistake about it, the setting of minimum qualifications for a job is a selection decision. This is true to the extent that they are intended to eliminate from further consideration individuals who would not be able to satisfactorily perform the duties of the position for which the minimum qualifications are developed.

The minimum qualifications constitute the first test in the examination process, so it is important that the process of determining who has passed this test by virtue of meeting the qualifications be done carefully. This requires that the standard (the established minimum qualifications) against which applications are reviewed be precise. The applicants, potential applicants and the reviewer should all be able to come to the same understanding of the standards against which the applications are reviewed. Potential applicants will take the announced qualifications as the standard and apply or not apply based on those qualifications. If a civil service agency starts making exceptions and waivers for those who have applied, it is being unfair to those who have similar qualifications but took the announced qualifications as the standard and did not apply.

Challenges may result from application review. The public and appointing authorities will and should hold the civil service agency accountable and may challenge the decisions to disqualify or qualify applicants. In addition, applicants on an eligible list may challenge the qualifications of others above them on the list. Therefore, objective and documented reasons for decisions to qualify or disqualify applicants will minimize subsequent issues that could be avoided and facilitate appropriate responses to any such challenges should they occur.

There are many consequences of a poor application review. Individual careers can be affected, and public services could be negatively affected should an unqualified individual mistakenly end up in a position with duties and responsibilities that the individual is not able to adequately perform. Departments or agencies cannot provide quality services with less-than-qualified applicants. Letting in unqualified applicants can result in loss of credibility for the merit system. The written test, if there is one, cannot always be relied on to screen out those who do not meet the minimum qualifications. Each test that comprises the “examination” has a significant role in the resultant eligible list, and each must be administered with equal consistency and attention to detail.

While there is inevitably an element of judgment in application review, it should be informed judgment. Keep in mind that consistent and thorough application review using clear standards results in fair and equal treatment of all applicants that, in turn, enhances the recruitment effort and, ultimately, the provision of public services in all civil divisions.

This manual is designed as a guide to enable civil service administrators to develop and apply a uniform approach to the decision-making processes involved in application review.

II. Who is Responsible for Application Review?

The municipal civil service agency has the authority and responsibility to perform application review. The municipal civil service commission or personnel officer also has the authority to act on appeals from disqualification in application review.

The Municipal Service Division will, upon request, provide a recommendation to a municipal civil service agency that is unsure whether or not an applicant meets established qualifications. However, it must be remembered that this Department's recommendation to approve or disapprove an applicant does not replace the municipal civil service agency's responsibility to formally act on the application.

If the Division is asked to provide a recommendation on qualifying an applicant, we will generally ask for all related applications. This is to ensure consistency of review across all applications.

III. When is Application Review Performed?

Formal applications must be received and reviewed for appointment or promotion to the competitive or non-competitive class. This applies to all provisional, temporary, contingent permanent and permanent appointments. If required by municipal civil service rules, applications may be received and reviewed for exempt and/or labor class appointments. Applications must be reviewed and approved before an appointment may be made.

Section 50 (3) of the Civil Service Law requires all prospective examination applicants to file a formal application during a “prescribed time.” The prescribed time is typically considered to be the filing period announced for the examination, i.e., from date of posting to close-of-file date.

IV. Application Review Process

Application review is a test. It is an integral part of merit system administration and a critical step in the entire examination process. It is no less important than rated or qualifying tests, interviews, or probationary periods.

The overall application review process can be viewed as consisting of two parts—“**Administrative**” application review and “**Substantive**” application review; each of which are described separately in the remaining pages of this manual.

V. Administrative Review of Applications

The administrative review is done by applying established criteria against the information provided by the applicant in answer to standardized questions on the application. Knowledge about specific aspects of the Civil Service Law and local rules is needed in the administrative review process. Administrative review includes reviewing “clear-cut” items that can be easily checked to screen out obviously disqualified applicants. However, if the issues and/or responses to the standardized questions are not clear-cut, there needs to be a more substantive review of the information provided before an ultimate decision can be made to qualify or disqualify.

The administrative review includes reviewing such items as:

A. Residence (✓)

Residence can be defined as the place where an individual has a permanent home; to where, when the person is absent, the person has the intention of returning to remain indefinitely. Residence is important, as many open-competitive examinations require that applicants be residents of some specific political subdivision for a stated period of time in order to participate in the examination. Therefore, in order to determine eligibility for an examination with a residence requirement, it is important that this part of the application be filled out completely and accurately. If there is an announced residence requirement and an applicant does not indicate the proper place of residence for a required length of time, the application should be disapproved. If the application contains vague or ambiguous information about residence, the applicant should either be requested to provide the necessary information or be disqualified. Absent clear information provided by the applicant in writing, it is inappropriate to make assumptions if the applicant qualifies as a resident. Applicants must meet the length of residence specified in an announcement without any tolerance.

If a provision is made for a residence waiver for an examination, the waiver must apply to all applicants. A waiver is a decision not to require residence.

B. Eligibility to Work in the United States and Citizenship (✓)

The Immigration and Nationality Act of 1986 makes it unlawful for an employer, including public employers, to employ aliens who are not authorized to work in the United States. The Act establishes an employment verification system and makes it unlawful for an employer to hire any person without verifying his/her identity and employment eligibility. Your agency should review its employment procedures with your

counsel's office to ensure that your practices are in compliance with the Immigration and Nationality Act of 1986.

NYS Public Officers Law (Laws 1909, Chapter 51) requires citizenship for appointments to certain special peace officer jobs in the State. If citizenship is claimed as a result of naturalization, then the following documents can be considered as acceptable evidence:

- Original certificate of naturalization
- Original certificate of derivative naturalization
- Confidential letter of verification of citizenship forwarded by the United States Immigration and Naturalization Service
- Voter registration card

The original document should be inspected and returned to the applicant; a photocopy cannot be accepted as proof. The point at which verification of citizenship is done should be in accordance with the procedures established by the municipal civil service agency.

C. Age (✓)

Some positions have a minimum age requirement, such as police officer, (Section 58 of the Civil Service Law). In cases where there are minimum age requirements, applicants who are within six months of the minimum age requirement must be permitted to take the competitive examination, pursuant to Section 54 of the Civil Service Law. Age is most often verified by the inspection of an original birth certificate. A passport or driver's license may also be used to verify age.

D. Religious Accommodation (✓)

If an applicant for an examination indicates that he or she has a sincerely held practice of his/her religion and cannot take an examination on a Saturday test date, the application should be flagged to identify the need to make special testing arrangements. The agency should then follow its procedures with regards to scheduling an alternate test date for religious accommodation. (Refer to the *Test Administration Manual* for further information.)

E. Reasonable Accommodations Requested in Testing

(✓)

Is an accommodation requested by a person with a disability? What is the nature of the request? If a reasonable accommodation is requested and if it is not clear what is requested, ask for clarification from the applicant. Also, if not provided, appropriate medical documentation should be requested. While the application should be flagged to identify the need to make special arrangements, any additional information needed should be requested only after it is determined that the application is approved. The determination to approve or disapprove the application should be made as quickly as possible. If the requested accommodation involves the test itself (i.e., the need for a reader, a signer, a writer, large print or Braille, etc.) and the examination is prepared by the New York State Department of Civil Service, the Department should be notified promptly so the appropriate accommodation recommendation can be made on a timely basis.

F. Alternate Test Dates

(✓)

Candidates may indicate the need for an alternate test date—either for a personal commitment or military service. Requests for alternate test dates for personal reasons should be reviewed in light of your agency’s stated alternate test date policy.

The application should be flagged for further review after the determination is made that the candidate is qualified to participate in the examination.

Many times, alternate test date requests are based upon military service. If an applicant indicates that he or she is unable to participate in the examination because of active military service or reserve training, the application should be flagged to identify the need to make special testing arrangements. An applicant on active military duty may be eligible for a military make-up examination pursuant to Section 243-b of New York State Military Law. Documentation of the active military service should be obtained and the Municipal Service Division, Local Examination Section, should be notified of any alternate test date needs as soon as possible. If the applicant is a reservist, the agency should then follow its policy with regard to alternate test dates.

(Refer to the *Test Administration Manual* for further information regarding both of these alternate test date arrangements.)

G. Student Loans

(✓)

If an applicant has indicated that he or she has defaulted on an outstanding student loan, the application should be flagged pursuant to Section 50-b of Civil Service Law. Appropriate notification prior to the date on which the examination is to be administered must be made to the New York State Higher Education Services Corporation in accordance with State law. The address for the Higher Education Services Corporation is 99 Washington Avenue, Albany, NY 12255.

H. Additional Questions

The administrative review of applications should also include checking whether an applicant has answered yes to any additional questions contained on the application. These additional questions (related to Section 50.4 of Civil Service Law) generally include the following:

- Were you ever discharged from any employment except for lack of work or funds, disability or medical condition?
- Did you ever resign from any employment rather than face discharge?
- Did you ever receive a discharge from the Armed Forces of the United States, which was other than “honorable” or which was issued under other-than-honorable conditions?
- Have you ever been convicted for any crime (felony or misdemeanor)?
- Are you now under charges for any crime?

If the applicant has answered yes to any question, the application should be flagged for further substantive review.

I. Application Processing Fee (✓)

If an applicant is required to pay an application fee, the administrative review should include checking whether an applicant has paid the required fee. The review may also involve checking to determine if the applicant is eligible for a fee waiver, if provided for by your jurisdiction.

J. Driver's License (✓)

In cases where a special requirement includes the possession of a valid motor vehicle operator's license, this should also be checked during the administrative review process. NOTE: The appointing authority should confirm with the NYS Department of Motor Vehicles the possession of a valid license at the time of appointment. A license suspension or revocation may have occurred since the time the application was first received.

K. Veterans' Status (✓)

Certain veterans and children of firefighters and police officers killed in the line of duty are entitled to receive additional credit in competitive civil service examinations.

Article V, Section 6, of the State Constitution provides that to receive additional credit, a veteran must:

- have served in time of war;
- have received an honorable discharge or been released under honorable circumstances; and
- be a resident of New York State at time of application for examination.

NOTE: An applicant who is currently in the armed forces may receive additional veterans' credit on an eligible list; however, all of the above criteria must be met prior to certification with such credit.

If the application is marked that an applicant is claiming veterans' credit, it must be verified the applicant meets the above criteria. Each municipal civil service agency should have a procedure in place for processing claims for veterans' credit. If the agency needs to send the applicant a form to complete to receive the veterans' credit, it should be sent promptly. The applicant will need to submit a DD-214 (Certificate of Release or Discharge from Active Duty) to substantiate eligibility for veterans' credit. The DD-214 contains information that will verify the applicant meets the criteria for veterans' credit. Specifically, the DD-214 will indicate the dates the applicant was in the armed forces, so it can be determined if the service was during time of war, and whether the veteran was discharged under honorable circumstances. In addition, pursuant to Section 85.3 of the Civil Service Law, an applicant claiming veterans' credits may make application for such credit at any time between the date of application for examination and the establishment of the resulting eligible list. However, such applicants must be provided with a minimum of two months from the last date of filing of an application to establish proof of eligibility for veterans' credit. An applicant cannot be granted veterans' credit after the eligible list has been established. In the case of continuous recruitment lists, the credits have to be added at the time the name is added to the list. Keep in mind the two-month time requirement applies to continuous recruitment candidates as well.

If an applicant has not been discharged from the armed forces, the application should be flagged and veterans' credit granted conditionally, contingent upon honorable discharge. However, you must verify that the applicant is currently in the armed forces. The verification would include checking such items as a military identification card, military orders, or other official military documentation that substantiates active military service at the time of examination.

If an applicant is applying for veterans' credit, a check should be made that such credit has not previously been used for permanent appointment. If the application indicates prior public employment in New York State, this may suggest that the applicant may have already used his or her veterans' credit. If the prior public service was in local government, a check should be made with the municipal civil service agency that has jurisdiction to determine if the veterans' credit was used for a permanent appointment in that municipality. Section 85 (6) of the Civil Service Law requires each municipal civil service agency to maintain a roster of all veterans' credit. It is the responsibility of the civil service office to maintain an accurate record of whether or not a veteran has used allowable credit. If an applicant is claiming prior public employment in a municipality, which is under the jurisdiction of your municipal civil service agency, this roster should be reviewed to verify that credit has not been previously used for permanent appointment. If an applicant has indicated on the application that he or she has had employment with New York State, the Municipal Service Division, Local Examination Section, should be contacted at localexams@cs.state.ny.us and asked to check with the Department's Examinations Rating Section to determine if the veterans' credit has been used for an appointment to a State position.

L. Section 85-a Credit

Section 85-a of the Civil Service Law grants additional credit on civil service examinations for children of firefighters and police officers killed in the line of duty. A candidate who believes he/she is entitled to such credit may make application for such additional credit any time between the date of his/her application for examination and the date of the establishment of the resulting eligible list. During your application review, it should be determined if any examination candidate is claiming such credit on the examination. For more information regarding the implementation of this Law, see MSD-CL-20-02 dated September 24, 2002, and MSD-CL-05-03 dated June 9, 2003.

M. Signature and Date

(✓)

The application should be signed, dated and, for announced examinations, filed within the prescribed filing period in accordance with Section 50.3 of the Civil Service Law. A resume is not a substitute for a formal application. If the application form is not signed, the agency's policy on incomplete information should be followed. The application may be disapproved or returned to the applicant to be signed.

The application should be checked to verify the applicant filed within the prescribed filing period. **If you accept prefiled applications, you should send applicants the announcement and advise them that they must update their applications within the announced filing dates or they will be disqualified.**

An exception for late filing is provided in Section 243-c of the Military Law for persons on active military duty during the filing period or persons who have received other than a dishonorable discharge after the filing period has commenced. Such persons must be permitted to file an application for an examination no later than ten business days before the scheduled examination date, or the last day to file, whichever is later.

N. Promotional Applications

Promotional applications require review to determine that the applicant has permanent status in the appropriate qualifying title for the amount of time as required by the announced minimum qualifications. Questions that should be asked to determine if an applicant for promotional examinations should be approved or disapproved include:

- Is the applicant permanent in the qualifying title?
- Does he or she have the appropriate length of service in the qualifying title?
- Does the announcement require service to be in the qualifying title “immediately preceding” the date of examination? If so, does the applicant meet the service criteria?
- Is an otherwise qualified promotional applicant on leave of absence or on a preferred list?
- Was the applicant appointed to a qualifying title under Section 55-a of the Civil Service Law?

A check of the roster record should be made for verification of permanent status in a qualifying title for the required amount of time. If the roster record does not show that an applicant is currently employed, a check should be made to determine if the person is eligible for the promotional exam by virtue of being on a leave of absence or by being on a preferred list in the qualifying title. If a promotional applicant is on an approved leave of absence or a preferred list, that individual is eligible to compete if he or she meets the minimum qualifications before separation from public service. If permanent competitive class status is required to take an examination, employees appointed under Section 55-a of the Civil Service Law to a qualifying title for the period required on the announcement should be approved. An applicant serving provisionally in the qualifying title does not have permanent status in that title and, therefore, may not be allowed to take a promotional exam.

For promotional examinations open to non-competitive class employees in accordance with Section 52.12 of the Civil Service Law, applicants must have at least 24 months of permanent service in a qualifying non-competitive class title. In addition, the applicant’s experience must meet any other requirements in your rules.

VI. Substantive Review of Applications

The substantive review is best described as the decision-making process. Decision-making requires a clear understanding of the minimum qualifications, informed judgment, and consistency in reviewing and evaluating claimed education and experience against the announced minimum qualifications.

A. Critical Issues in Substantive Review

There are several critical issues to keep in mind when reviewing applications.

1. Announced Minimum Qualifications

It must be borne in mind that the announcement, as published, is binding and is in the nature of a contract between the civil service commission or personnel officer and the public. This not only includes the applicants, but it also includes those persons who may not have filed because they read the announcement and concluded in good faith that they did not meet the specified minimum requirements. Therefore, because the examination announcement is a contract with the public, it is a fundamental principle that the person reviewing the applications understands what the announcement says and means in real terms. If the reviewer is unsure, it is important to ask for clarification, get file notes, or contact the author of the specification or a subject matter expert who can help. It is also important for the reviewer to provide feedback in the classification and/or examination file at the completion of the application review process to identify any problems. The qualifications in the specification may need to be amended or further clarification included on future announcements. If a serious problem is identified during the review process, the announcement may need to be amended.

The reviewer should also remember to check the announcement for the time frame stated on the announcement at which time the candidate must meet the minimum qualifications, i.e., at time of filing application or at the time of examination.

2. Time Well Spent

Application review can be a time-consuming process. While the object of the review is to establish whether the applicant is clearly qualified or disqualified, the application in its entirety should be reviewed and all of the information provided be put

into context. A thorough review may help the reviewer determine whether or not experience is out-of-title, incidental, overlapping, enhanced, or fabricated.

3. Sampling

It is not always possible to identify and eliminate all problems with minimum qualifications before an examination is announced. A sample of applications should be reviewed early in and throughout the filing period; this may uncover problems that can and should be addressed. Sufficient time will be available to amend the announcement, if necessary.

4. Burden of Proof

Applicants are required to accurately and completely answer all questions included on the application. The responsibility to provide acceptable proof of education, experience, license or a required credential to demonstrate the applicant meets the minimum qualifications, rests solely with the applicant.

Completeness and providing sufficient detail are the responsibility of the applicant. The reviewer must not assume possession of qualifications if not clearly written, or accept vague or incomplete information as qualifying. A determination that an applicant is or is not qualified should be based only on the written information provided by the applicant. Each civil service agency should have a policy on what to do when an application is incomplete or vague. The policy may be to request additional information or to disqualify such applicants and allow them to submit clarifying information. Whatever the policy in use, it must be applied fairly and consistently for all applicants.

If an applicant might possess qualifying training and experience, and it is the civil service agency's policy to request additional information or clarification of the information provided, the applicant may need to be conditionally admitted to the examination. This should only be done if there is insufficient time to complete the process and make a determination before the examination is administered. If it is necessary to conditionally admit an applicant to the examination, give him or her a reasonable deadline by which to respond with the additional information. If the applicant fails to respond in the time provided, the applicant should be disqualified.

If the civil service agency policy is to disqualify applicants who give vague or incomplete information on their applications, such applicants should be notified of the basis for the disqualification and given an opportunity to submit facts in opposition to the determination. Timely notice to the applicant of disqualification is important since applicants must be provided with the opportunity to submit facts in support of their qualifications under Section 50.4 of the Civil Service Law.

5. Anticipated Eligibility

Anticipated eligibility is a recruitment method whereby applicants are allowed into an examination who do not meet the minimum qualifications for appointment to the position but who are expected to meet these requirements in the near future. Anticipated eligibility may have been announced on either a promotion or an open-competitive announcement. When reviewing applications for an examination where the announcement provides for anticipated eligibility, it is important to identify which requirement(s) the applicant does not yet meet, flag the application, and follow any other procedures established by the civil service agency. Clear identification of an applicant admitted based on anticipated eligibility is essential to the process required for the establishment of eligible lists and certification of eligible applicants.

Where professional licensure or certification is required and a decision is made to allow candidates with a limited permit to participate in the examination, the applications of all candidates having a limited permit should be flagged and monitored to ensure that the required certification requirements are met during the proscribed time period.

6. Tolerance Policy

A tolerance policy is a policy that may be adopted by a civil service agency to allow applicants who are lacking a very small amount of the required experience to qualify. A tolerance policy is all about flexibility in judgment and takes into account variations in actual starting and ending dates of employment. Although “tolerance” is typically a good practice, if a civil service agency has adopted an experience tolerance policy, it must be applied for all application reviews across all examinations.

Even if a tolerance policy is adopted, there will always be some applicant who is just short of the experience required to qualify. Consequently, it is imperative that if a tolerance policy is adopted, it should be set forth clearly and should be available to applicants, preferably in the general information to applicants, which is either a part of the announcement or posted in a conspicuous place in the civil service office.

You may adopt a tolerance policy of one month per year of experience, up to a maximum of three months, for the required experience. We recommend a maximum tolerance of one month where there is a requirement of one or more years of experience. If a civil service agency believes that applicants should be qualified who do not meet the duration of experience requirement applying a tolerance policy within these parameters, then the amount of necessary qualifying experience should be revised.

A tolerance policy should not be applied to enable an applicant to meet residence requirements, nor should it be applied in situations where the experience requirement is set in law or in rules. For example, if an agency's civil service rules require a minimum amount of permanent competitive service in order to take a promotion examination, it would be inappropriate to apply a tolerance policy to qualify an applicant with less time than is required.

In those agencies without a rule specifying a minimum amount of permanent competitive service to take a promotion examination, we do not recommend the use of a tolerance policy to qualify an applicant with less time than is required by the minimum qualifications. Before a promotion examination is announced, the appointment dates of potential eligibles should be reviewed. If there are persons who are a few months short of the required time indicated, consideration should be given to using anticipated eligibility. (See the *Elements of Recruitment for the Public Service Manual* for a discussion of anticipated eligibility.)

A tolerance policy should not apply to education or licensure/certification. In order to admit applicants to an examination who indicates they will meet such requirements shortly after the exam date, the announcement should provide for anticipated eligibility or possession at time of appointment.

7. Verification of Education/Experience/Licenses/Credentials

Most competitive and non-competitive positions have education, licensure or certification and/or experience requirements, the possession of which is necessary for admission to the examination and appointment. In addition, although labor and exempt class positions have no established minimum qualifications, in actuality, some positions may have specified requirements (e.g., admission to the bar for a Town Attorney) or residence requirements.

Education, experience, or licenses/credentials, which are required to qualify for appointment, must be verified. This verification before employment avoids the situation where an employee must be terminated if lack of possession of the necessary credentials is discovered at a later date.

The civil service agency should have a written policy in place that clearly explains who is responsible for verification of claimed qualifications. The local civil service agency may do verification of some claims (e.g., residence) at time of application and others before a list is established. Alternatively, the appointing authority may be given responsibility for verification of some other aspects regarding the candidates' backgrounds prior to, or at the time of, appointment. Whether it is the civil service agency or the appointing authority that does verification, the burden of proof is on the applicant to provide the information needed and be responsive to additional request for information needed to verify eligibility for appointment. Original copies of documents,

including licenses, certifications, etc., should be required for office review and then returned to the candidate.

Your agency may wish to use a checklist, which is forwarded to the appointing authority when candidates are being considered for appointment, that indicates which part(s) of the qualifications have been verified.

8. Academic Fraud

When reviewing academic credentials, staff should be sensitive to the possibility of academic fraud. Records that have been in an applicant's hands are not and should not be considered "official" records. The "official" college transcript should be used to verify possession of claimed academic credentials. It is the most comprehensive and secure document. However, only a transcript signed by the Registrar, bearing the seal of the institution and sent directly by the institution to the agency in a sealed institutional envelope, should be accepted. Records supplied by applicants or that could have been in their possession are not "official." This includes diplomas, letters attesting to academic achievement, and student copies of transcripts.

There have been cases where fraudulent, but seemingly "official" looking transcripts have been sent. Use of an envelope from the institution bearing a stamp instead of a postage meter, a transcript issue date that is not recent, a transcript in a different format than others seen from that institution, or a missing signature or seal, are clues that there may be a problem with the document. If in doubt, the agency may call or return a copy of the document to the issuing institution for verification. If a fraudulent academic document is identified, the institution that allegedly issued it should be notified. The civil service agency will also need to determine the appropriate action to take. Since a violation of law may be involved, counsel should be consulted.

Further information on detecting academic fraud is available from a variety of sources on the web. In addition to useful information on the web, one must be cautioned about the use of the web by candidates to "purchase" educational credentials from "diploma mills." A "diploma mill" is an institution of higher education operating without supervision of a state or professional agency and granting diplomas that are either fraudulent or fail to meet the proper standards.

One very useful site to check and review is the US Department of Education web site at <http://www.ed.gov/students/prep/college/diplomamills/resources.html>.

See the bibliography for additional sources of information that will be useful in the minimum qualification development and application review process.

9. Related Fields

The concept of relatedness of experience and training is utilized in recognition of the fact there are jobs or training programs that, although not identical in nature, would result in the performance of duties requiring the same knowledge, skills and abilities (KSAs), or which would result in the learning of the desired KSAs. Depending upon the specific duties to be performed or the knowledges, skills and abilities to be learned, there may or may not be related experience or training that can be substituted.

When reviewing applications against minimum qualifications that accept “related” or “closely related” experience and/or education, clear criteria must be provided in order to determine whether the education/experience is “related.” The Municipal Service Division recommends that municipal civil service agencies consider education and/or experience “related” if the KSAs likely to be acquired in the course of or possessed as a result of that education and/or experience are comparable to those associated with the stated fields. Does the claimed education/experience give the applicant the same KSAs needed to perform the job at the time of hire? If the experience/education gives the applicant comparable job preparedness and KSAs, then that education/experience should be considered related.

10. Reviewable Record

Consistency in the application of minimum qualifications is crucial to ensure fairness to those who applied and those who did not apply. A reviewable record of the decision-making process facilitates consistency. The reviewer should document in the margin of each application what education or experience was accepted as qualifying, noting how much was credited. Likewise, education or experience that was not accepted should be identified and noted; the notation should include an explanation of why something was not accepted, such as the education is not in a required field.

11. Disqualification

The legal framework for disqualification is provided in Civil Service Law, Section 50.4. Under Section 50.4(a) applicants may be disqualified for lacking “... any of the established requirements (for) the position.” This applies to applicants who do not show that they possess the required education, experience or a special requirement, such as residency. Section 50.4 also provides for disqualification based on factors such as a criminal record, dismissal from employment, or dishonorable discharge.

Pursuant to Civil Service Law, Section 50.4, no person shall be disqualified unless the applicant has been given a written statement of the reasons for the disqualification, and afforded an opportunity to make an explanation and submit facts in opposition to such disqualification. This places a responsibility on the agency that intends to disqualify an applicant to provide due process to the applicant.

Disqualification is a critical step in the process of application review. It is just as important to screen out unqualified applicants as it is to identify those who are qualified. There are two general bases for disqualification. The first is when the applicant has not met some particular requirement for appointment or for admission to an examination, such as experience or residence. The other involves derogatory information provided in the application, such as an other-than-honorable discharge from the military, dismissal from previous employment or a criminal record.

Therefore, when an applicant is disqualified for not meeting a particular requirement, the applicant must be informed as to why he or she does not meet the established qualifications and be given the opportunity to submit information in support of their qualifications for the position in question. Clear and as impersonal as possible statements are recommended, such as; "Your application fails to demonstrate . . ." Applicants should be told specifically why they are being disqualified. It is recommended such applicants be notified of not only the reason they are being disqualified, such as failure to meet a residency, education, or experience requirement, but what specifically they lacked. For example, an applicant applying for a position with a six-month residence requirement may only have lived in the jurisdiction for three months. This applicant should be told that he or she is being disqualified as his or her application shows only three months of the six-month residence requirement. The more detail provided in the initial disqualification notice, the more likely that candidates will understand the basis of the determination.

While your agency probably has a procedure in place for disqualification of applicants based on failure to meet minimum qualifications, it is also important to have a policy and procedure in place for the review and disqualification of applicants who provide derogatory information on their applications. Given the importance of the process and the finality a disqualification has for a job seeker, it is important that the policy and procedures followed are applied fairly and consistently.

There are many factors to consider before an applicant is disqualified for a dishonorable discharge, termination of previous employment or a criminal record. It will be necessary for the municipal civil service agency to obtain additional information from the applicant before making a decision. Consideration should be given to how long ago the incident occurred. There may be little reason to disqualify someone for something that happened a very long time ago. Another factor to consider is job relatedness. Embezzlement may be a good reason to disqualify an applicant for a position that handles money. A conviction for DWI may not be a good reason to disqualify an applicant for a position that handles money. Another factor to consider is what the applicant has been doing since the offense. Someone who may have committed a crime years ago, but has a good work record since then, should not be immediately disqualified. If an applicant is on probation/parole, it is advisable to contact the applicant's probation/parole officer and obtain a recommendation for the applicant. With the exception of positions such as police officer, a youthful offender conviction does not generally constitute a basis for disqualification.

When the New York State Department of Civil Service disqualifies applicants because of a conviction, dishonorable discharge or termination from previous employment, the applicants are sent a written notice detailing why they are being disqualified. The applicant is given 15 business days to supply additional facts in opposition to the disqualification. If the applicant fails to respond, or the applicant does not provide a compelling reason why he or she should not be disqualified, then the applicant is disqualified.

Before finalizing a policy regarding disqualification of, or applying an established policy to disqualify, an applicant based on a conviction for a criminal offense, the civil service agency should review Article 23-A of the New York State Corrections Law. This article sets forth the factors to be considered concerning the employment of persons previously convicted of one or more criminal offenses; the basis for denying employment is also given. In some cases, you may want to seek advice of counsel before making a determination. In Appendix C are copies of forms that the New York State Department of Civil Service uses to obtain additional information for disqualification; these forms may be useful as models.

B. Substantive Review of Education/Training

The review of education/training is generally the first part of the substantive review process. The reviewer must understand what and how much education/training is required or creditable. This will be stated in the minimum qualifications on the job specification/examination announcement. Suggestions for interpreting and applying education and training qualifications are included below.

1. High School Diplomas

When a high school diploma (sometimes stated as graduation from high school) is required, Regents, general equivalency, military service diploma, etc., are all acceptable. There is no "standard" high school diploma; diplomas can be earned with widely varying coursework in equally diverse settings.

NOTE: "High school" from other than U.S. schools may be verified by a transcript and against college-entry requirements in that country.

If an applicant fails to show possession of a required high school diploma, work experience cannot be accepted as a substitute unless the minimum qualifications specifically provide for its acceptance. To accept experience in lieu of a high school diploma, the qualifications would say what experience can be substituted, and on what basis, for the required high school diploma.

2. Individual Education Plan (IEP) Diplomas

High schools in New York State can grant Individualized Education Plan (IEP) Diplomas to students with handicapping conditions in lieu of a high school diploma. An IEP diploma is granted in recognition of achievement fulfilling individualized goals set for a student with a handicapping condition. Goals can be achievement of behavioral, social and/or academic skills depending on the disabilities and the circumstances. Goals may be primarily focused on basic life skills with little or no emphasis on academics. Section 55-c of the Civil Service Law authorizes municipal civil service agencies to accept a high school IEP diploma in lieu of a high school diploma where a high school diploma is required as a minimum qualification for participation in a competitive examination. Section 55-c of the Civil Service Law only authorizes the acceptance of the diploma; it does not mandate the substitution. Therefore, it is within the discretion of the local civil service agency to limit its acceptance, on a case-by-case basis, to situations where a substitution would be appropriate.

3. Individualized Home Instruction Plan (IHIP)

The New York State Department of Education has established standards that must be met by parents and guardians who choose to provide home instruction to students. When qualifications require graduation from high school, GED or equivalent, a review of the individual's IHIP should be reviewed, and a determination be made that the school district in which the individual lived approved the educational program provided at the secondary level. The State Department of Education web site at <http://www.emsc.nysed.gov/nonpub/homeinstruction.html> provides more information on this subject.

4. Trade and Technical Education

Postsecondary trade and technical schools are not generally colleges or universities. If minimum qualifications require trade or technical education, or permit its acceptance, it should be credited to the extent it meets the criteria established by the municipal civil service agency.

5. Postsecondary College Education

Before reviewing applications when qualifications require possession of a college degree, completion of specific coursework, majors and/or credit hours, it is essential to understand the meaning of what is required by the minimum qualifications. Classification notes, college catalogs and college web sites contain helpful information discussing various majors and courses. The lexicon of terms included in Appendix B is an additional resource.

Minimum qualifications should be written to reflect that all degrees and college credits must be from a “regionally accredited college or university or one accredited by the New York State Board of Regents to grant degrees....” The following are the six regional accrediting bodies:

- New England Association of Schools and Colleges
- Middle States Association of Colleges and Schools
- Southern Association of Colleges and Schools
- Western Association of Schools and Colleges
- North West Association of Schools and Colleges
- North Central Association of Colleges and Schools

These accrediting bodies accredit the whole school, not each program. The NYS Board of Regents accredits those colleges and universities in New York State without regional accreditation who have demonstrated an appropriate level of education standards. To determine if a college or university is regionally accredited, you can refer to the web site of the appropriate accrediting association above (see bibliography for the website address for the specific accrediting institution).

Some applicants may indicate that they have completed their education in a nontraditional setting, as in a distance learning program. The institution providing this program must meet the accreditation requirements as noted in your qualifications.

The following suggestions should assist in determining if claimed postsecondary college coursework or degrees are qualifying:

- If the degree required is at a specific level (Associate's, Bachelor's, Master's, Doctorate) but with a non-specific major, you may accept an applicant's claim on the application to have such a degree, subject to subsequent verification.
- If an applicant lacks a required degree, a higher-level degree in the same field may be substituted, if this is provided for in the minimum qualifications.
- If the requirement is for a degree with a specific major, or possession of a specified number of semester credit hours, at a minimum, a verifiable copy of the transcript (student copy) should be reviewed initially. An official transcript should be used to verify the education.
- If a degree or a major in a specific field is required, only applicants whose degree/major is in the specified field should be approved unless

the qualifications provide for acceptance of degrees/coursework in a related field.

- “Completion of coursework” required for a degree or “completion of degree requirements” is not the same as possessing a degree. Until a degree is awarded, an applicant cannot claim to have the degree. Check the exact wording of the education requirement before making any determinations. Also, check the application to see if the date given for a degree is in the future.
- If an applicant lacks a required degree as discussed above, experience cannot be credited in lieu of education unless the acceptance of experience, as an alternative to education, is specifically provided for in the minimum qualifications.
- Some qualifications may require that a degree be from a program accredited by a specialized accrediting body, such as the American Library Association or the Council on Social Work Education. The accreditation status of a program can be determined by referencing the accrediting body or the college or university.

6. College Coursework

Qualifications may require successful completion of a specified total number of semester credit hours. Possession of a number of credit hours in a specific field(s) may also be required. In these cases, the applicants should be required to provide, at a minimum, a listing of college coursework completed, showing institution, dates of attendance, course titles, number of semester credit hours earned and grade, or a student copy of the transcript. Alternatively, an official transcript may be required. The civil service agency may establish a transcript file so applicants do not have to resubmit them each time they apply for an examination.

Required credit hours are generally described as semester credit hours. If credits are from a college on a trimester or quarter system, it may be necessary to contact the college’s Registrar for additional information to guide you in equating the credits.

No credit should be given for “Withdrawn,” “Incomplete,” “Failed” or remedial courses. College catalog course descriptions can be helpful and may need to be consulted to make a determination if a course is qualifying. The applicant may be required to supply course descriptions so that a determination can be made.

NOTE: ALL EDUCATIONAL CREDENTIALS SHOULD BE VERIFIED BY REVIEW OF OFFICIAL TRANSCRIPTS. YOUR AGENCY SHOULD HAVE A POLICY

IN PLACE TO DEFINE AT WHAT POINT IN THE PROCESS OFFICIAL TRANSCRIPTS WILL BE REQUIRED FOR REVIEW.

7. Evaluation of Foreign Postsecondary Education

Evaluating foreign credentials is an extremely complicated process, which requires considerable resources and time. The municipal civil service agency needs to apply a consistent policy when foreign education credentials are presented towards meeting minimum qualifications. If postsecondary education was obtained at a foreign college or university, applicants should be required to obtain an independent evaluation to verify the equivalency of their education to the United States education system. Since the burden of proof rests with the applicant, the applicant is responsible for not only obtaining this independent verification, but also paying any associated costs. Therefore, your announcement should indicate it is the candidate's responsibility to provide the necessary documentation in the form of an independent evaluation of credentials gained from a foreign institution

Included in the bibliography is a listing of accrediting agencies, which can provide an evaluation of foreign secondary institutions. Most evaluation companies conduct several levels of evaluation with a commensurate fee schedule. The lowest level of review is an evaluation of the applicant's foreign education and its equivalency to the "standard" United States educational system. For example: An evaluation may say, "Ms. Jones' Bachelor's degree from 'X' University is the equivalent of three years of American college-level study with a major concentration in ..." For a higher fee, an applicant can obtain a course-by-course interpretation of the transcript along with an equivalency evaluation. This additional interpretation would be necessary when specific course work is required. For example: 24 semester credit hours in Accounting or Auditing courses, 6 semester credit hours in Computer Science, etc.

If an applicant with foreign postsecondary education fails to submit an evaluation with his or her application, whether or not your announcement included a note about the need for this independent evaluation of equivalency, a letter should be sent to him or her explaining what is necessary. See Appendix A for specific sources of information regarding evaluations of foreign education.

Applicants who appear to meet the minimum qualifications, but whose education credentials need further evaluation, may be admitted conditionally pending receipt of an evaluation from a company on the list. The evaluation process generally takes several weeks, although faster service is available from most companies at an additional charge. Be sure that applicants are given at least three weeks to obtain an evaluation. We recommend that the municipal civil service agency set up a file of copies of evaluations submitted by applicants for future reference. Originals may be returned to applicants.

There may be a few cases where it is not necessary to require an applicant to provide an evaluation. For example, if an exam requires a Bachelor's degree in any field, and the applicant has a foreign Bachelor's degree but a Master's degree from a regionally accredited college or university, it may be determined that the applicant does not need to provide an evaluation. The Master's degree granting institution would have evaluated the Bachelor's degree before admitting the student.

8. Resources for Review of Education

The municipal civil service agency needs to develop resources so it can determine whether a school is regionally accredited or recognized by the New York State Education Department. Resources can also help you to determine the acceptability of the content of coursework.

The bibliography in Appendix A is a good starting point for this, and the lexicon located in Appendix B will also be of help to define terms in accordance with accepted definitions in the field. This lexicon reflects definitions the New York State Department of Civil Service interprets these terms to mean when reviewing your specifications and applications for which a training-and-experience examination is held. Any definition you develop and your classifiers develop should be clear, logical, defensible and generally accepted in the field. Using resources such as the ones mentioned here in application review will facilitate the application of clear and consistent criteria to the education and experience claimed by applicants.

C. *Substantive Review of Experience*

The review of experience is the second component of the substantive review of an application. There are many types of experience that may have to be evaluated in order to determine if an applicant meets a particular experience requirement. Major types of experience likely encountered and suggestions for crediting each follows:

1. Experience in General

To be qualifying, experience should be of the type and duration defined in the established qualifications. Besides computing the duration of qualifying experience, the number of hours worked per week and salary need to be reviewed to determine if the experience is full-time and paid.

The general procedure to follow in computing the amount of time an applicant worked per job experience is to subtract the starting date (month/year) from the termination date (month/year).

Example:

Termination Date	5/97
Starting Date	6/93
Total Credit	3 years, 11 months

To compute the length of a current employment for an open-competitive examination, refer to the announcement for the ending date. If candidates must meet the minimum qualifications by the date of filing the application and the date the application was signed is absent, you should use the postmark date on the mailing envelope. If prefiled applications are accepted, those applications should be updated during the filing period. If the announcement provided that the requirements must be met by the examination date, an applicant may need to gain experience in current employment until the cutoff date specified in order to qualify. The applicant may be admitted conditionally pending the confirmation the required experience was gained.

In general, to be credited as experience of the type specified in the qualifications, the major function and primary emphasis of the duties performed must be of that type. The reviewer should not credit the performance of duties incidental to a person's job. For example, the minimum qualifications require one year of personnel experience. An applicant states that he was the manager of an auto repair shop for ten years and part of his job involved "personnel work," including the hiring and firing of employees. In this case, the personnel function is considered incidental to the management of an auto repair shop and should not be credited.

However, the structure of the qualifications may be such that the required activity only has to be performed as part of a broader job. For example, a requirement is one year of clerical experience which shall have included the use of a computer. The applicant states he/she worked one year as a Hospital Clerk and one of many things he/she did in his/her job was maintaining patient records on a computer. This applicant should be qualified, as the required clerical experience only has to have included the use of a computer.

If the requirements do not specify a particular type of experience, but rather specify a context, for example, "X" years of experience in an engineering office, any claimed experience performed in an engineering office would have to be credited, including work as a receptionist, secretary, drafting technician, etc. If this was not what was intended, the problem should be brought to the attention of staff who developed the qualifications.

Subject matter experts should be consulted when the reviewer is not sure whether or not the experience described meets a requirement. Claimed experience in fields such as accounting, engineering and computers can be difficult to evaluate. Applicants may use jargon or "key" words that suggest they have qualifying experience, but the actual duties may not be those required.

If the reviewer identifies claimed experience that does not seem plausible in the context of other information provided, the application should be flagged for further review and/or a decision to take further action, i.e., a request for proof to substantiate the claim or additional information.

2. Part-Time vs. Full-Time Experience

The number of years of experience required in the minimum qualifications is based upon the presumption of full-time employment. In order for part-time experience to be credited toward meeting the minimum qualifications, the acceptability of prorated part-time experience should be specified in the specification and announcement. Before reviewing applications for a particular title, it is important to confirm whether or not the qualifications provide for the acceptance of part-time experience.

Each civil service agency needs to develop its own criteria for how many hours per week constitute full-time experience. When part-time experience is acceptable, the agency should also have a structured plan to indicate how the part-time experience should be prorated. The criteria should be in writing and should be publicized, preferably in the general information for applicants. These criteria should be applied consistently to all applicants.

The following chart can be used by your agency as a guideline when evaluating part-time experience presented by candidates for making minimum qualifications determinations. To use the chart, you will need to identify the column that represents “full-time” in the municipality for which the job exists and determine how much credit should be awarded for less than full-time work experience. Alternatively, you can do a simple mathematical conversion to prorate part-time experience to its full-time equivalent. Regardless of the methodology used, it is important that your agency reviews be systematic and consistently applied to all candidates.

An applicant may indicate a highly variable number of hours per week worked, i.e., 8-20 hours or 1- to 3-days a week; your agency should apply consistent criteria to determine how much time the experience equates to. In absence of more detailed information, the municipal civil service agency could use the minimum time listed in the chart per week or month as the basis to prorate the experience. Alternatively, the municipal civil service agency may request more detailed information from the applicant.

Applicants should only be credited for one year of experience in a given 12-month period. No additional credit should be given for work beyond the standard your agency establishes for a full-time work week. Likewise, if a person held two or more jobs at the same time, which taken together add up to more hours than “full-time,” no additional credit should be given. The experience credited should be the one that most benefits the applicant.

PART-TIME / FULL-TIME EQUIVALENCY CHART

Credit Amount...	Full-Time = 21 hours	Full-Time = 25 hours	Full-Time = 30 hours	Full-Time = 35 hours	Full-Time = 37.5 hours	Full-Time = 40 hours
No Credit	Less than 4.0	Less than 5.0	Less than 6.0	Less than 7.0	Less than 7.5	Less than 8.0
20% Time	4.0 - 8.0	5.0 - 9.5	6.0 - 11.5	7.0 - 13.5	7.5 - 14.5	8.0 - 15.5
40% Time	8.5 - 12.0	10.0 - 14.5	12.0 - 17.5	14.0 - 20.5	15.0 - 22.0	16.0 - 23.5
60% Time	12.5 - 16.5	15.0 - 19.5	18.0 - 23.5	21.0 - 27.5	22.5 - 29.5	24.0 - 31.5
80% Time	17.0 - 20.5	20.0 - 24.5	24.0 - 29.5	28.0 - 34.5	30.0 - 37.0	32 - 39.5
Full Time	21 + hours	25 + hours	30 + hours	35 + hours	37.5 + hours	40 + hours

- Step 1. Select column that most nearly approximates the number of hours that represents full time for the job/municipality.
- Step 2. Going down the column, select the hour band that represents the number of hours worked by the candidate.
- Step 3. Select the Credit Amount indicated in the left hand column that is in the same row as the hour band of the hours worked; determine the amount of MQ credit to award for the employment period, i.e., none, 20%, 40%, 60%, 80% or Full Time

For example:

...If a Job/municipality full time hours = 35 hours and candidate worked in a job for 12 hours per week for 30 months, the candidate would be given 6 months credit toward meeting the minimum qualifications (30 months X .20)

...If a Job/municipality full time hours = 35 hours and candidate worked in a job for 17 hours per week for 30 months, the candidate would be given 12 months credit toward meeting the minimum qualifications (30 months X .40)

3. Volunteer Experience

In order to be credited toward meeting the minimum qualifications, the acceptability of verifiable volunteer experience must be specified on the specification and announcement. Most volunteer experience is part-time, and the hours per week may be highly variable. Verifiable part-time volunteer experience should be credited in accordance with your agency's policy on prorating part-time experience. The applicant should provide the same information about volunteer experience as is required if paid.

Determining the number of hours of qualifying volunteer experience to credit is particularly difficult in emergency services fields. The civil service agency should adopt a policy as to what volunteer service time will be credited. The following is a suggested policy:

"Volunteer experience in emergency services, such as emergency medical services, firefighting and emergency preparedness, shall be defined as actual time spent in emergency services training, attending official department functions, or in responding to emergency situations as a member of an emergency services department. Time spent in fund-raising, parades, or social or sporting events will not be credited. The time claimed must be verified by the submission of copies of official department documents. A letter from the department chief/director without substantiation by official department documents is insufficient."

4. Internship Experience

When reviewing internship experience, be aware that such experience can only be counted once. If an internship is a required component of a specified education requirement, then that internship may not also be credited to meet an experience requirement. Master's and Doctorate degrees frequently include internships, as do some Bachelor's degrees.

5. Military Experience

In determining eligibility for an examination where an applicant possesses military service, the following policy is recommended.

Credit should be given for an applicant's military experience the same as for civilian experience, if it is qualifying. Be sure to identify the length of time that would be creditable experience, as military service generally includes an initial basic training component, and assignments frequently change.

6. Supervisory Experience

To be credited as supervisory experience, the applicant should have responsible direction and control of subordinate employees. This involves the assignment of work, approval of work, training, evaluation and discipline of employees. The supervisory aspects must be an integral part of the job, not incidental or occasional. Lead worker or straw boss duties would not generally satisfy such a requirement.

7. Summer and Seasonal Experience

Creditable summer and seasonal experience should be counted as the actual number of months employed. However, if the applicant is also employed in a qualifying ten-month school year position, for which one year of experience would normally be credited, only a total of one year of experience can be credited for the twelve-month period.

8. Apprenticeships and Journey-Level Experience

An apprenticeship is a highly structured training program of on-the-job training, supplemented by related technical instruction to develop, maintain and expand skills. Apprenticeships have generally been thought of as a requirement for working in a skilled trade in order to progress to journey-level worker. However, the concept of apprenticeship has broadened to a wide variety of positions as health care, information technology and human services. The New York State Department of Labor has a web site referenced in the bibliography, which contains information about apprenticeships that may be of assistance when requiring and crediting experience.

9. Self-Employment

Self-employment can be credited toward meeting minimum qualifications, but such experience should be carefully reviewed. It may be difficult to verify claimed experience. The number of hours worked may be highly variable. Please refer to the discussion on crediting highly variable experience in the section on Part-Time vs. Full-Time. Also, be careful this experience is not simultaneous with other employment that, when taken together, exceeds a full-time job. The applicant may be asked to provide documentation to verify the nature of the experience that would be qualifying.

10. Crediting Experience when Education is Also Required

Qualifications may require possession of a specific level of degree, such as a Bachelor's or Master's degree, plus a minimum number of years of experience. Unless the qualifications state that post-degree experience is required to meet the experience requirement, appropriate experience before the degree will generally be creditable. There are some fields, however, where a college degree is required to distinguish professional level from lower-level experience. It is important, before reviewing applications, for the reviewer to determine if only post-degree experience may be credited towards meeting the minimum qualifications. The reviewer would need to justify crediting only post-degree experience by reference to the generally accepted norms for the field, if the qualifications did not specifically state that only post-degree experience would be qualifying. The lexicon in Appendix B contains helpful information.

11. Professional Experience

"Professional Experience" is experience that requires specialized and theoretical KSAs usually acquired through college or through training and experience that provides comparable KSAs. Such experience generally involves independent action and personal responsibility for actions. In many fields, a license, certification or registration is required for "professional practice" (e.g., Licensed Professional Engineer, Certified Public Accountant, Registered Nurse). In some of those fields, post-degree professional level work is often performed without a license, certification or registration, usually at entry levels or under the supervision of a licensed/certified/registered professional (e.g. Engineer, Accountant). In others, no experience prior to licensing would be considered professional level (e.g., Attorney, Nurse). The reviewer must be familiar with the generally-accepted requirements of a field, particularly when these are not spelled out in the qualifications.

12. Out-of-Title Work Experience

Section 61.2 of the Civil Service Law specifically prohibits out-of-title work. Since out-of-title work is a violation of law, such experience should not be credited towards meeting open-competitive minimum qualifications.

The issue of crediting illegally gained experience for open-competitive examinations was addressed in the Court of Appeals decision in Maloney vs. Nassau County Civil Service Commission. As was noted by one of the judges in the Maloney case, "The Courts of this State have consistently set down policy against any recognition of credit or benefit based upon employment, which disregards the provisions of the Civil Service Law." This applies not just to qualification requirements but also to what is creditable on an examination of training and experience.

In view of the prohibitions in Section 61.2 and the Maloney ruling, it is important to carefully review the duties and titles claimed by applicants in order to avoid crediting illegally gained experience.

13. Provisional Work Experience

There are two application reviews that affect provisionals. The first is when a person is nominated for a provisional appointment. The second is when the exam is held. All provisionals, whether promotion or open-competitive, must meet minimum qualifications at the time of appointment and at the time of examination. A provisional may not be approved for appointment without meeting minimum qualifications. If minimum qualifications have not been met, the provisional is serving in violation of Section 65 of Civil Service Law, which requires a non-competitive examination and qualification before appointment. The only alternative to disapproving the application of the person nominated for provisional appointment who does not meet the established qualifications is, if appropriate, to revise the minimum qualifications. It would be appropriate to revise the qualifications if it is determined it is reasonable that persons with such qualifications can successfully do the job. If such a determination is made, the new qualifications have to be officially adopted, and these, then, are the new qualifications for the class. Any such revised qualifications would then become the standard to be used when the examination is announced.

The provisional candidate's application must again be reviewed at the time of the examination. If the review is for an open-competitive examination, remember the Maloney decision indicates that illegally gained experience cannot be used to qualify an applicant. Check to see if the provisional met the qualifications in place at the time of appointment. If the provisional did not meet the required qualifications, the provisional's experience was illegally gained. Keep in mind if an unqualified provisional, one who did not meet the minimum qualifications at the time of appointment, has successfully performed on the job, the provisional may have proved that your minimum qualifications are not *bona fide*.

If the provisional application is for a promotion examination, Section 52.10 of the Civil Service Law governs the treatment of provisional experience. Section 52.10 states, "No credit in a promotion examination shall be granted to any person for any time served as a provisional appointee in the position to which promotion is sought or in any similar position, provided, however, such provisional appointee by reason of such provisional appointment shall receive credit in his or her permanent position from which promotion is sought for such time served in such provisional appointment."

D. *Equivalencies*

Equivalency statements are designed to permit judgments within clearly definable limits and to communicate to applicants alternate ways of qualifying.

In order to accept experience as a substitute for education or vice versa, acceptable substitutions need to be spelled out in the qualifications or there needs to be an equivalency statement that defines the limits of equivalencies. Equivalency statements are often used to recognize legitimate, equivalent ways to qualify for a position; however, an equivalency statement is not a “catchall” or a “give-away” for anything that has not been thought of. The municipal civil service agency’s equivalency statement sets upper and lower limits for qualifications, and allows an acceptable mechanism to admit those in-between combinations that will give an equally qualified applicant an opportunity to qualify. If the qualifications only provide one way to qualify, there is no allowable equivalency.

Be sure to check the qualifications to determine the lowest and highest limits of acceptable education and experience. Before reviewing applications, make a chart showing possible combinations and equivalencies so there are clear criteria against which to review applications. This chart should be retained in the classification/examination file. It will help the reviewer to see variations clearly by listing all possible equations of the equivalency.

Encourage classifiers and others to develop notes and background information so that you know their meanings and their intentions in the minimum qualifications. They can help interpret applicant claims against qualifications. It is important to follow sound procedures in application review, including a written statement in the examination file of what equivalents were accepted, the kinds of education and experience, and how much value was given to them.

VII. Conclusion: The Most Common Pitfalls of Application Review

In conclusion, the review of applications can be a very complex process, involving close attention to detail and consistency. The decisions that have to be made involve not only the application of prescribed criteria but also substantive judgments. The reviewer should work closely with staff who write qualifications to have a clear understanding of what is required; feedback identifying problems encountered in the application review process is also important so any necessary changes are made.

The following summary provides an overview of the most common problems to be aware of when reviewing applications and recommended solutions.

Problem: Inconsistent application of minimum qualifications by reviewer(s).

Solution: All reviewers must be interpreting the minimum qualifications consistently. If there is more than one reviewer, this can be achieved by periodically having a meeting of reviewers to discuss the consistency of minimum qualification review. Make notes in the margin of each application of what experience and/or education were accepted as qualifying.

Problem: Misunderstanding the minimum qualifications.

Solution: If the reviewer does not understand the qualifications, it is impossible to determine if the applicants have met them. If the qualifications are unclear to the reviewer, the public is at a far greater level of confusion. The reviewer may be able to obtain information from the classifier who wrote the minimum qualifications or from the classification file. Any notes about the qualifications placed in the classification file or prior examination file should be reviewed. If the qualifications include technical jargon, the appointing authority may be consulted to explain the technical terms. If necessary, the reviewer should seek the assistance of an impartial subject-matter expert or the Municipal Service Division. If the Municipal Service Division is asked to review an application, we may ask to see all the related applications to ensure a consistency of review across all applications.

Problem: Incomplete or vague applications.

Solution: It is inappropriate to make assumptions when reviewing applications for any reason. If an application is vague or incomplete, the reviewer should follow the agency's policy on what to do with the application. Such actions may include

disqualifying the applicant and allowing submission of additional information on appeal, or requesting additional information from the applicant.

Problem: Accepting a resume in lieu of application.

Solution: Some applicants would rather submit a resume rather than complete an application. The problem with a resume is that it does not provide the level of detail necessary to make a decision. Information such as legal residence, exact dates of employment, hours per week worked, and detailed information about education are generally lacking. Always require a completed application. If a resume is submitted, the applicant should either be disqualified or required to complete and sign an application before a determination is made. Agency policy should govern in this situation.

Problem: A provisional has been appointed who does not meet the minimum qualifications.

Solution: A provisional must meet the minimum qualifications at the time of appointment. Section 65 of the Civil Service Law requires a non-competitive examination and qualification before appointment. A provisional appointed without meeting the qualifications is serving in violation of Civil Service Law. The provisional's application must be reviewed and approved prior to appointment. All appointing authorities under the jurisdiction of the municipal civil service agency should be informed of this requirement.

Problem: Crediting illegally gained experience to meet the minimum qualifications.

Solution: Illegally gained experience cannot be credited toward meeting the minimum qualifications. Be careful not to credit out-of-title work, which is a violation of Section 61.2 of the Civil Service Law. Check the roster records of current employees and specifications, if necessary, before making a determination.

Problem: Crediting part-time experience as full-time.

Solution: The reviewer must carefully check the information on hours per week worked and apply consistent standards for prorating part-time work in those cases where the qualifications provide for its acceptance. If the information is not provided by the applicant, the reviewer should not make assumptions, but should follow agency policy with regard to incomplete applications.

Problem: Basing application review decisions on the use or absence of "buzz words."

Solution: Often applicants will use the same or similar language that is used in the announcement to describe their qualifications. The experience claimed should be reviewed carefully to determine exactly what duties were performed. The reviewer should not focus on these "buzz words" to make determinations. Advisory assistance

should be sought if the reviewer is not sufficiently familiar with the work described to make an informed judgment.

Problem: Accepting education claims without thorough evaluation and verification.

Solution: Check the accreditation of the institution, dates of education and degree claims. Do not make assumptions regarding education. Review transcripts and check to be sure that courses have been passed and are in appropriate areas. Be sure to check the major carefully, as applicants are not always clear or accurate on their applications.

Also, the civil service commission/personnel officer should have a written policy in place that clearly explains who is responsible for verification of claimed qualifications. Municipal civil service agencies may do verification of some claims (e.g., residence) at time of application and others before a list is established. Alternatively, the appointing authority may be given responsibility for verification.

Problem: Accepting experience claims at face value.

Solution: Applicants try to put their experience in the best light to satisfy a particular set of qualifications. The reviewer should look to see if the title and salary and the title of the supervisor make sense in relation to the job description. Applicants will often selectively omit any mention of many responsibilities and describe only those tasks performed, which would be qualifying, even if they constituted only a small percentage of their job. Also, applicants with lengthy service with the same employer (including the armed services) tend to show only their last title and duties, giving the impression that this was the job performed for the duration of the employment; this rarely is the case. If the reviewer identifies employment descriptions, which may be incomplete, vague or ambiguous, agency policy in such situations should be followed; additional information may be requested or the applicant disqualified.

Problem: Approving applications by using the equivalency statement as a catchall.

Solution: The qualifications determine the lowest and highest limits of acceptable education and experience. Equivalency statements provide a mechanism to admit those applicants with combinations of education and experience in-between the upper and lower limits of the qualifications, thereby giving equally qualified applicants the opportunity to qualify. An equivalency statement does not allow for the approval of applicants with education or experience different from that announced. If applicants are identified who appear to have an appropriate background to be able to perform the job, but do not meet the qualifications, the matter should promptly be reviewed by those responsible for establishing the qualifications to determine if a revision is in order. If the qualifications are changed and an examination already announced, an amendment to the announcement would have to be issued.

Problem: Not advising applicants why they were disqualified.

Solution: Disqualified applicants must be told specifically why they are disqualified and what their rights are in a written statement. Such applicants must be afforded an opportunity to submit facts in opposition to the disqualification. Section 50.4 of the Civil Service Law sets forth the basis for disqualification of applicants and also provides for due process. Applicants who thought they were qualified when they filed will need to know their specific shortcoming in order to be able to submit facts in opposition to the decision to disqualify.

Problem: A significant percentage of applicants are disqualified.

Solution: There may be a problem with the way the qualifications are written so that they are misunderstood. It is also possible that there was a significant omission so that persons working in similar jobs were ineligible, but did not believe that was meant on the announcement. The applications of disqualified applicants should be carefully reviewed to identify any problems. Any recommended changes in the qualifications should be implemented as soon as possible. If clarifying explanations of acceptable education and/or experience on the announcement are needed, notes with the recommendations should be placed in the examination folder.

Problem: A large percentage of the applicants failed the examination.

Solution: The announcement is a contract with the public, and the announced qualifications are controlling. The applications of failed applicants should be reviewed to try to identify a cause for the poor outcome. Meeting the qualifications is part of the examination, so it is important to be sure that those persons who met the qualifications were approved. Other parts of the examination should not be used to sort out who is qualified/unqualified. Letting unqualified applicants compete, only to fail, does not create a positive outcome. Also, keep in mind some people are good test takers and may pass a test even though they are not fully qualified to do the job. Civil service must be able to say no when necessary.

The reviewer may have liberally reviewed applications because he or she was not clear as to the meaning of the minimum qualifications or how to interpret the information on the applications. The reviewer needs a clear understanding of the qualifications before making decisions and should seek assistance when not sure about an applicant's education or experience. Another frequent problem is that the qualifications were so broad that applicants had to be approved who really did not have the knowledge, skills, abilities and personal characteristics needed at time of hire. In this case, clarification of the wording of the qualifications is necessary to better define the parameters of what education and experience is qualifying.

APPENDIX A: BIBLIOGRAPHY

NOTE: This bibliography is intended to provide a guide to some of the sources of information that may be helpful in application review. Agencies should use this as a *starting point to develop their own resource list*.

Education-Related Sources of Information

There are two oversight organizations that govern **accreditation**; they are:

- Council for Higher Education Accreditation
<http://www.chea.org/default.asp>
- US Department of Education Office of Post Secondary Education Accreditation
<http://ope.ed.gov/accreditation/Search.asp>

The following **six regional accrediting associations** have been approved by both of the above accrediting organizations:

- New England Association of Schools and Colleges
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont)
<http://www.neasc.org>
- Middle States Commission on Higher Education
(Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico and the Virgin Islands)
<http://www.msche.org/>
- North Central Association of Colleges and Schools
(Arizona, Arkansas, Colorado, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, New Mexico, North Dakota, Ohio, Oklahoma, South Dakota, West Virginia, Wisconsin, and Wyoming)
<http://www.ncacihe.org/index.html>
- Northwest Association of Schools and Colleges
(Alaska, Idaho, Montana, Nevada, Oregon, Utah, and Washington)
<http://www.opi.state.mt.us/nascu/>
- Southern Association of Colleges and Schools
(Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Texas, and Virginia)

<http://www.sacs.org/>

- Western Association of Schools and Colleges (California, Guam and Hawaii)
<http://www.wascweb.org/>

There can also be **specialized accreditation** for programs at accredited institutions such as: American Library Association at:
<http://www.ala.org/Template.cfm?Section=accreditation>

New York State Department of Education Office of College and University Evaluation <http://www.highered.nysed.gov/ocue/> In New York State, on behalf of the Board of Regents, the Education Department must register (accredit) every curriculum creditable toward a degree at any degree granting institution in the state (public, independent or proprietary) before the institution may offer that program. The US Secretary of Education recognizes the Board of Regents as a Nationally Recognized Accrediting Agency for **the 24 degree granting institutions in New York State that have chosen voluntarily to use the Regents as their accreditor.**

Colleges and Universities in New York State: *Information and Analysis New York State Education Department Office of Higher Education:*
<http://www.highered.nysed.gov/oris/home.html>

Companies providing **Evaluations of Foreign Education:**
<http://www.cs.state.ny.us/announ/mainpages/degrees.htm>

- US Department of Education - National Committee on Foreign Medical Education and Accreditation (NCFMEA)
<http://www.ed.gov/about/bdscomm/list/ncfmea.html>
- US Department of Education - Accreditation in the United States website contains information on the **regional accrediting associations as well as specialized accrediting associations** for a wide variety of programs:
<http://www.ed.gov/adms/finaid/accred/index.html>

Information on **distance learning** and accreditation can be found at: <http://www.detc.org/>

Apprenticeship information can be found on the following US Department of Labor website: http://www.doleta.gov/atels_bat/

Experience (Job)-Related Sources of Information

Information regarding **requirements for social workers** in New York State can be found at the following Council on Social Work Education web site: <http://www.cswe.org/>

O*Net Online <http://online.onetcenter.org/>

The Occupational Information Network - O*NET™ database takes the place of the Dictionary of Occupational Titles (DOT) as the nation's primary source of occupational information. The O*NET database and related products will help millions of employers, workers, educators, and students make informed decisions about education, training, career choices, and work. The O*NET Project is administered and sponsored by the US Department of Labor's Employment and Training Administration

Occupational Outlook Handbook, 2004-05 Edition <http://stats.bls.gov/oco/>

The index of this handbook lists many occupations found in local government. Under each listing are categories such as the nature of the work, training and qualifications, and related occupations. Links to sources of additional information are included.

US Department of Labor, Bureau of Labor Statistics' *Standards for Occupational Classification* http://www.bls.gov/soc/soc_majo.htm

Licenses and Certification Information Sources

The New York State Department of Education, Office of the Professions, web site allows you to **check on the status of licensure or certification** claimed by candidates in professions, such as Physical Therapy, Psychology, and Nursing:
<http://www.op.nysed.gov/proflist.htm>

The New York State Department of State web site allows you to verify licensure registration for a variety of professions, such as security guard:

http://appsext5.dos.state.ny.us/lcns_public/chk_load

APPENDIX B: LEXICON

Account Clerical - under close supervision, performs routine, repetitive tasks of a fiscal nature in accordance with prescribed procedures. Account clerks make entries in a book of account or other record. Posting to accounts may be manual or computerized. In general, an account clerical position does not differ significantly from a bookkeeper in that both do double-entry bookkeeping. Positions that primarily involve checking invoices or performing calculations are not considered account clerical.

Note: If account clerical/bookkeeping experience is considered qualifying, it should be clearly stated in the qualifications.

Accounting – professional level position which involves the art of recording, classifying, verifying and reporting financial data and presenting an analysis or interpretation of their significance. Its function is to provide quantitative information, primarily financial in nature, about economic entities that is intended to be useful in making economic decisions and in making reasoned choices among alternate courses of action. It includes the preparation of financial statements and schedules.

Typical work activities performed by persons in accounting positions include:

1. Prepares financial statements from accounting records. This may involve maintenance of a varied and complex set of accounting records, posting entries to these books from supporting records, and making adjustment entries.
2. Verifies codes and classifies financial transactions following established and accepted accounting methods and procedures.
3. Conducts detailed accounting system surveys to determine the adequacy of current systems and recommends any needed changes.
4. Under the supervision of a higher level accountant, or independently, revises or develops new accounting systems and procedures in order to provide a clear audit trail of financial transactions.
5. Prepares a variety of tax, financial and statistical reports and analyses to comply with State and Federal requirements and to provide pertinent information for decision making.

6. Reviews internal control accounting systems to ensure that adequate safeguards exist for the proper monitoring of accounts.
7. Reviews existing accounting procedures to determine compliance with pertinent laws and regulations, as well as generally accepted accounting principles.

Administration - responsible direction and control of an identifiable organizational unit or program; in addition to the supervision of work groups, an administrator is involved in planning, resource allocation, program evaluation and policy formulation. Experience performing specialized functions or “staff activities” such as budgeting, finance, administrative analysis or personnel, which do not involve the aforementioned responsibilities, are not considered administration experience. (If experience performing “staff” functions is acceptable, such experience should be specified on the minimum qualifications. See the discussion of staff administrative experience on page 18.)

Apprenticeship - a prescribed period of time during which a person receives both classroom and on-the-job training to prepare for a trade. The New York State Department of Labor recognizes certain apprenticeship occupations and prescribes specific training requirements.

Auditing - the art of confirming financial statements for the purpose of expressing an opinion that these statements fairly represent the financial condition of the enterprise and its operating results, and further that these statements are presented to conform with generally accepted accounting standards in a consistent manner. Auditing is the art of documenting the veracity of financial data; it includes a critical review of internal controls, a systemic examination and verification of financial records and documents, and an appraisal of fiscal procedures and operations.

Behavioral Sciences - coursework or experience in psychology, sociology and anthropology, counseling, criminal justice, gerontology, human behavior, social work/social welfare and vocational rehabilitation. A subset of social science, behavioral sciences are characterized by observation of the behavior of living organisms and focused on human social behavior.

Biological Sciences - courses may include biology, microbiology, botany, zoology and other related courses containing the study of living organisms.

Bookkeeping - classifying and recording financial data in books of account in a routine, repetitive fashion in accordance with an accounting system devised and developed by an accountant or an auditor. Bookkeeping is a higher level than an account/audit clerical position in that bookkeeping involves double entry. Double entry means that for every action that is recorded, two accounts are changed, e.g., the business buys equipment: debit cash (or accounts payable), credit equipment inventory. A bookkeeper records transactions in a specific manner (journalizing), transfers amounts from a journal to a ledger or book of accounts (posting) and takes trial balances. A

bookkeeper usually works the accounts through the trial balance and possibly the profit and loss statement (P&L). Only keeping accounts receivable and/or accounts payable is not double-entry bookkeeping.

Building Cleaning - activities primarily involve a variety of inside and outside building cleaning activities including, but not limited to, washing walls and windows, polishing floors, cleaning restrooms, disposing of refuse.

Building Construction - general construction work involves building, repairing and/or modernizing buildings, houses, and other structures and their surroundings. This is work that is generally done by a skilled person. A general contractor often does not do all the work above and frequently “contracts out” work installing the mechanical elements: plumbing, electrical, heating, ventilating and air conditioning work, etc. A general contractor bids on jobs and supervises an entire project, which may be the construction of a building from clearing the site to finishing the interior. Performance of only one specialized trade, such as an electrician, carpenter, or plumber, would not constitute qualifying experience for general contracting.

Building Trades - activities primarily involve the performance of a variety of skilled construction and/or maintenance tasks in areas including, but not limited to, carpentry, plumbing, electrical, or air conditioning and heating systems. Frequently a distinction is made in the basic or structural building trades from the specialty trades which include the finished and the mechanical trades. The former category includes all those trades which contribute to the erection of a building (not concerned with architectural aspects) i.e., the shell without the contents. Structural trades then include masons and bricklayers, rough carpenters, iron workers, millwrights and pile drivers, as well as heavy equipment and crane operators. Specialty trades in the finished trades area include finishing carpenters, glaziers, marble and tile workers, painters and plasterers, roofers and sheet metal workers. Specialty trades in the mechanical trades area include plumbers and steam fitters, and heating, ventilating and air conditioning installers.

Due to these distinctions between trades, it is important to be specific when writing minimum qualifications and/or reviewing applications. In some instances only a few of the building trades may be appropriate to the position, not all the building trades.

Business Administration - work experience (usually paid) that involves responsibility for the coordination and direction of human, physical and financial resources. This experience involves identifying problems, obtaining and analyzing relevant information and determining and implementing solutions. Such experience involves decision-making with significant consequences in a combination of areas such as organizing priorities, evaluating and acting on financial records, financial and managerial accounting, organizational behavior, etc. Experience limited to a single discipline such as accounting or record retention would not be qualifying.

Casework – see Social Casework.

Clerical - activities involve the performance of routine office tasks, such as keeping of records and accounts, correspondence, recording/entering (keying) and retrieving data and/or information, in accordance with prescribed procedures.

Clinical Laboratory (or Blood Bank) – a facility for the examination of materials derived from the human body for the purpose of obtaining information for the diagnosis, prevention or treatment of disease or the assessment of medical condition. The New York State Commissioner of Health issues permits that authorize a facility to perform particular types of tests. Categories of tests that can be performed are designated according to the following procedures or specialties:

- (1) one or more of the following subspecialties of microbiology: bacteriology, virology, mycology, parasitology and mycobacteriology;
- (2) hematology;
- (3) blood services—diagnostic immunohematology collection and/or transfusion;
- (4) one or more of the following subspecialties of clinical biochemistry: clinical chemistry, blood pH and gases, endocrinology and therapeutic substance monitoring/quantitative toxicology;
- (5) histopathology or one more of the following subspecialties: dermatopathology and oral pathology;
- (6) cytopathology;
- (7) urinalysis;
- (8) one or more of the following subspecialties of toxicology: drug analysis-qualitative, blood lead and erythrocyte protoporphyrin, forensic toxicology, and chlorinated hydrocarbons;
- (9) cytogenetics;
- (10) human immunodeficiency virus (HIV) testing;
- (11) histocompatibility;
- (12) diagnostic immunology;
- (13) cellular immunology;
- (14) oncofetal antigens.

Clinical Psychology – consists of direct patient treatment (as opposed to counseling) or therapy provided in a mental health setting. A school psychologist would not usually be credited with experience in clinical psychology; as such experience is generally counseling, guidance and/or testing in a school setting.

Community Action Programs - these are programs in which urban or rural communities mobilize their resources to combat a problem, typically poverty. A vital

feature is that residents of the areas served and members of the group to be served are significantly involved in the planning, policy-making and operation of the program. Established ongoing governmental agencies are rarely CAP's but may be part of the resources a CAP would use.

Community Organization - an accepted field of social work practice which involves a change agent (the community organizer) and a social system (a community). The community organizer actively facilitates the identification of needs, the establishment of priorities, the location of the appropriate resources, and the taking of action by the community with respect to the particular constellation of needs, resources, and priorities.

Community Relations - informal, direct personal contact with other agencies and community groups for needs assessment, policy explanation, and interpretation of community attitudes and goals. It is essentially community organization or outreach oriented. Community relations work may include aspects of public relations, such as informing the public of the work an agency does and the programs it has available through speeches, newspaper articles, press releases and radio and television announcements; seeing that the public understands the agency's point of view on issues; evaluating community attitudes; and establishing outlets to publicize the agency's work.

Computer Laboratory Technician - provides assistance to students using microcomputers in a school or learning center computer laboratory, renders advice and technical assistance to students and staff using the computers, may oversee scheduling of the laboratory, performs maintenance and repairs to equipment, previews new software and/or hardware and learns how to use them, and keeps records of hardware, software and other supplies.

Computer Operator - operates a mainframe or personal computer (PC) system and associated peripheral equipment in a computer center. Computer operators do such jobs as aligning printed forms on line printers or mounting magnetic tape reels (or cartridges) on tape drives. They may also exercise control over the sequence in which jobs are executed, respond to messages from the computer operating system, and ensure accuracy of output. Entry-level computer operators are sometimes called peripheral equipment operators, and senior-level computer operators are sometimes called console operators. (Performance of data entry or word processing is not considered computer operation.)

Computer Programmers - there are two main types of programmers:

- (1) **Applications Programmer** - writes, tests, modifies, and maintains programs, which are sets of instructions, to solve specific business or organizational problems. Applications programmers work from developed specifications of the problem(s) to be solved or the report(s) to be produced. The specifications may be provided by the systems analyst or developed by

the programmers working with a program area. Typical application programs are for payroll and personnel systems.

- (2) **Systems Programmer** – develops, installs, modifies and maintains systems software. Systems software are programs used to control the computer and to develop and run applications programs. Systems software includes operating systems, TP monitors, network operating systems, and data base managers, etc.

Continuing Education – formal coursework, in-service education, professional convocations, seminars, etc.) designed to help maintain skills and keep abreast of the field of work.

Counseling – involves interviewing individuals and/or families, discussing and evaluating their problems (e.g., drug and alcohol abuse, family conflicts, disabilities) and developing and carrying out plans to resolve problems. Those who perform counseling duties work directly with individuals and/or families on an ongoing basis in order to assist them and monitor and evaluate their progress.

Data Base Administrator – responsible for all activities associated with the design, development, installation and performance of an organization's data bases. Data Base Administrators define the form and content of data bases; determine the most efficient way of organizing the data; set up standard definitions and names for the various records and fields; and oversee the security system for the data base. The Data Base Administrator is responsible for controlling what data elements are placed in the data base, who can have access to it, how it is structured and interrelated, and what items are deleted.

Data Communications Specialist - performs data communications network design, analysis, capacity planning, installation, monitoring, performance evaluation, tuning and maintenance. The network(s) include all data communications hardware, software and communication facilities required to receive and transmit data on an inter and intra-agency basis. This equipment includes modems, diagnostic equipment, hubs, bridges, routers, multiplexors, data switches, front-end processors, gateways, servers, minicomputers, personal computers, printers, etc.

Data Communications Systems – computer systems that transmit data over communication lines such as telephone lines or coaxial cables.

Data Control Clerk - logs in work received at a computer center, seeing that it reaches each work station on schedule, and assuring that completed work and reports are distributed to the proper persons.

Data Entry Machine Operator - involves transcribing data into a form suitable for computer processing. The operator uses a keyboard to transfer data from source documents to magnetic tape or disk. Production oriented positions primarily involve the

entry of large amounts of alphanumeric data from batches of source documents; successful job performance requires a high level of speed and accuracy. Non-production positions are most often referred to as data base clerical jobs. Incumbents perform a variety of tasks including, but not limited to, searching a data base for information, updating existing records and entering new records, and doing so with single records or small groups of records. When data entry is done, accuracy is more important than speed.

Data Processing - a generic term that is broad enough to include a wide variety of clerical and professional computer activities including, but not limited to, computer operations, computer programming, office automation, data entry and data control. The term also encompasses a wide range of computer and computer-related equipment.

If experience is desired in a specific area of data processing or in operating a particular type of equipment, it should be specified. Also, if experience operating specific equipment or performing another activity (e.g., programming) is necessary, this should also be stated.

It is important to note that a degree with a major in Data Processing may not always be equivalent to a degree in Computer Science. The former tends to emphasize the practical applications of data processing to office automation and information processing. The latter may emphasize the theoretical aspects of data processing and may be geared toward computer programming and systems analysis. If specific computer science courses are required for a particular class, each data processing course description must be evaluated on a course-by-course basis.

Education Degree – a course of study that prepares persons to teach a curriculum to students. The phrase “Education Degree” may be interpreted differently by various persons and the degree can include a wide variety of curricula. The use of the term “Education Degree” should be carefully considered when structuring minimum qualifications. If teaching knowledge/skills/abilities are desired, then "certification as a classroom teacher" may be required. If educational supervision/administration skills are needed, then a “degree in educational supervision/administration or a closely related field” or “certification as a school instructional supervisor/administrator” should be specified. If specialized skills (e.g., School Guidance, Library-Media Specialist, Psychologist, etc.) are needed, then the appropriate degree or certificate should be specified. (See College Blue Book-Degrees Offered by College and Subject for degrees offered.)

Education degrees are not considered social science degrees.

Engineer, Professional – the State Education Law sets forth rules for the practice of engineering; a license and current registration as a Professional Engineer in New York State is required to practice engineering, which is defined in law as performing professional service such as consultation, investigation, evaluation, planning, design or supervision of construction or operation in connection with any utilities, structures,

buildings, machines, equipment, processes, works or projects wherein the safeguarding of life, health and property is concerned, when such service or work requires the application of engineering principles and data.

Engineering Experience (Paraprofessional Level) - involves carrying out routine, sub-professional engineering related tasks by the application of specified procedures and formulas, usually working under the supervision of an engineer. If qualifying experience is required to be in a particular specialty such as civil engineering, that needs to be stated in the qualifications. Persons working at this level are most often called Engineering Technicians. Examples of work typically performed include:

- (1) Collection of field data on traffic, soil and water conditions and material characteristics;
- (2) Preparation of engineering drawings, drafting and tracing plans;
- (3) Preparation of data summaries and engineering computations and analysis;
- (4) Routine aspects of land and construction surveys;
- (5) Monitoring of engineering processes and application of adjustment rules.

Engineering Experience (Professional Level) - that experience which requires the intensive application of engineering principles in the practical solution of engineering problems. This work shall predicate a knowledge of engineering mathematics, physical and applied sciences, properties of materials and the fundamental principles of engineering design. Professional level engineering work may include consultation, investigation, evaluation, planning, design or responsible supervision of construction or operation, in connection with any public or private utilities, structures, buildings, machines, equipment, processes, works, or projects. Experience in materials testing, drafting, land surveying and engineering technician duties would not be considered professional engineering. There are numerous disciplines in Engineering as reflected in degrees and work experience. Consideration should be given as to what disciplines/types of experience will be appropriate training/experience for a class, or if all disciplines will be qualifying.

The following is an overview of a sample of engineering disciplines:

- A. Agricultural Engineering - Engineers are involved in every phase of agriculture from production of plants and animals, to the final processing of food feed, and fiber products.
- B. Biomedical Engineering - Biomedical Engineers are members of health and research teams who apply the principles of engineering, physics, and technology to understanding, defining, and solving problems in biology and medicine. These Engineers develop concepts and convert the ideas of physicians, rehabilitation therapists, and biologists into usable devices for improving the quality of life.

C. Chemical Engineering - Chemical Engineering is, in a broad sense, a professional endeavor that bridges the gap between scientific knowledge and manufactured products. Chemical Engineers concern themselves with the application of chemical, physical, and engineering principles in the production of such materials as plastics, synthetics, and pharmaceuticals, which undergo chemical change during processing.

D. Civil Engineering - Civil Engineering involves the planning, design, construction and maintenance of structures and facilities such as tunnels for vehicular traffic, bridges, buildings, dams, airports, docks and works for water purification.

Civil Engineers are engaged in coping with the complexities of public health, sanitation, traffic flow in urbanized areas and city planning. They plan and design bridges, highways, and other means of transportation required to satisfy identified needs. Civil Engineers also harness, control and utilize water resources for irrigation, power production and human consumption.

E. Computer Engineering - Computer Engineering has a professional relationship to Electrical Engineering. Computer Engineers operate sophisticated software and may design, produce and maintain the equipment. Computer Engineers deal with the design, construction and utilization of electronic computers.

F. Electrical Engineering – The Electrical Engineering profession has evolved from its early beginning in electrical power generation and distribution through the development of radio to television and computers. Electrical Engineering deals with electricity. The field is concerned with electrons, magnetic fields and electric fields--in invisible phenomena. It is a broad field with two major stems--Electrical and Electronics Engineering. Some Electrical Engineers work on efficient generation and reliable distribution of electrical power, others specialize in the design of circuits and systems for communications and computers, and still others apply their knowledge in the collection and interpretation of biomedical information.

G. Environmental and Sanitation Engineering - Environmental and Sanitary Engineers have as their first concern the protection of the environment and safeguarding of public health.

Both of these disciplines evolved as branches and specializations of Civil Engineering. They are involved in the construction and maintenance of sanitary sewer systems, and the construction, maintenance, and operation of water pollution control or sewage treatment plants and facilities. With more stringent federal requirements, higher levels of treatment necessitate more complex plants and modern testing methods.

- H. Industrial Engineering - The basic objectives of the field relate to productivity – that is, what is the most effective use of each dollar spent for materials, equipment, manpower, etc. The uniqueness of the Industrial Engineer's training is brought about by the combination of topics related directly or indirectly to productivity, balanced with engineering science, physical science and mathematics.
- I. Nuclear Engineering - Nuclear Engineering is the branch of the engineering profession concerned with the practical applications of nuclear energy--that is, the energy emanating from the atomic nucleus. This may involve development of nuclear power for ships; application of radiation sources in the diagnosis and treatment of diseases; application of nuclear explosives to underground utilization of natural resources; potential use of radiation processing for production and preservation of food supplies; use of nuclear energy systems to reduce environmental pollution; development of nuclear power plants which operate with the dual purpose of producing power and desalting water; and development of power plants for space exploration.
- J. Traffic Engineering - It involves the planning, design, and operation of road/highway transportation systems. Attention is focused upon safety and capacity characteristics.

Engineering Technology - this course of study places less emphasis on theory than a traditional engineering curriculum. Coursework emphasizes the application of traditional technologies within engineering fields. For example, construction techniques and equipment, surveying, hydraulics, soil mechanics/analysis, and environmental controls/treatment may be within a civil engineering technology program. An engineering technology major may be in a specific discipline, such as mechanical, electrical or civil. The degree is most often awarded at the associate's level, but there are some bachelor's degree programs.

Environmental Laboratory – any facility that examines, or is available for the examination of, samples or specimens, including, but not limited to: air, stack emissions, water, wastewater, surface water, ground water, recreational waters, swimming pools, leachate, land runoff, solid waste, hazardous waste, soil, sediments and vegetation, as well as any substance that could contribute to the pollution of or that could be contaminated by material contained in such samples or specimens. The examinations are limited to qualitative or quantitative determinations of the biological, chemical, radiochemical or physical characteristics of the samples or specimens for the purposes of public health or personal health protection, or the protection of the environment or natural resources. Environmental laboratories may be mobile, but do not include facilities or entities that perform non-laboratory chemical testing associated with residential water softeners and residential swimming pools. Note: Environmental laboratories were formerly called Public Health Laboratories in the Health Code, Section 55-2.1.

Human Resource Management - focuses on the effective utilization of people at work. Human Resource Management is an extension of personnel and labor relations, but also includes the traditional areas of recruitment, selection, placement, classification, compensation, and training. The ultimate goal of a Human Resource Manager is to provide an organization with the people who will be most effective in its jobs.

Human Services – a term that can describe education or experience. In an education context, it is coursework or a major designed to prepare individuals to enhance and increase the well-being of our society and the individuals it comprises. The course of study must clearly focus upon giving the student the knowledge and capacity to deal with people in need of support services. It includes the “helping professions” such as social work, psychology, gerontology and vocational and/or psychological counseling, as well as therapeutic modalities such as occupational therapy, physical therapy, and therapeutic recreation. For purposes of definition, helping professions include those involved in social work; childcare; mental health; mental retardation; early childhood education; working with the elderly or terminally ill or individuals having learning disabilities.

Since some colleges offer majors in Human Services, the qualifications should make clear if the degree may be in any human service field or if it is the major that is required. Programs designed to prepare nurses and elementary and secondary school teachers as well as teachers in higher education are generally not considered human services; if it is the intent to accept education in any of these areas, the qualifications should specifically provide for it. In some occupations, there are federal and/or state guidelines that govern the use of the term "human services." Because of the variations in the use of the term "human services," special care should be taken when using this term in the minimum qualifications, whether for education or experience.

The same criteria that describe the parameters for human services in an education context should be applied in an experience context.

Human Services Major – a curriculum, most often offered at the associate’s degree level, with a special orientation to the helping professions. A “Human Services” major usually has a concentration in early childhood development, mental health, developmental disabilities, social services or gerontology. The goal is to prepare students for entry-level career positions in a variety of human services occupations such as mental health aides, group residence workers, neighborhood outreach workers, casework assistants, geriatric counselors, day care workers, or rehabilitation of the disabled.

Information Systems Manager (MIS) - manages all of an organization’s information resources. A management information system is usually designed as a computer-based system that is used to provide accurate information to managers to help in decision making.

Investigative Experience (Field) - this entails work in the field as well as office duties. The primary work activities include receiving complaints or reports of irregularities and conducting research into the background of the case and/or involved individual(s). Some of the facts and information checked might be: character, employment, educational, financial, or general background of the individual(s). Complaints or case files involving a company or individual would also be checked.

The field work involves traveling to an office, home, place of business or other location deemed important to the investigation. The investigator tries to obtain the cooperation of the individuals believed to be involved in or possessing information about an investigation. Appointments are set up to interview persons such as complainants, witnesses and people under investigation. Data and evidence are gathered from these field visits, and statements and/or affidavits may be obtained from involved individuals and witnesses. The investigator may be required to testify in court or formal hearings.

The investigator will be required to write a detailed narrative report covering every aspect of the investigation, as well as making a recommendation concerning the disposition of the complaint or case. Finally, the investigator must keep neat, legible notes and files on each investigation so they may be used to aid future investigations. Work as a police officer performing patrol functions is not considered field investigation.

Medical Social Work - experience performing social work in an inpatient or community program for patients with primarily medical--as opposed to mental health--problems. Programs included in this definition cover a fairly wide range including hospitals, nursing homes, community health programs, rehabilitation programs and others which focus on health problems of individuals and their families.

Mental Health Social Work – social work experience in a residential or community-based program for individuals with mental illness, mental retardation, developmental disabilities, or alcohol or substance abuse problems. The following types of experience are NOT considered mental health social work: correctional counseling, parole or probation work, casework in a social services setting, school social work and/or youth outreach work. Work in a hospital or other health facility would not be considered mental health social work unless the work assignment dealt primarily with mental health problems. (For example, work in an alcohol detoxification unit or psychiatric section of a hospital would be considered mental health social work.)

Microcomputer – a broad term that describes a variety of desktop digital computers, all of which operate with a microprocessor (chip). A microcomputer includes storage and input/output capabilities; it has the ability to “process” information itself. The two most common types are PC’s (personal computers) and Macintosh. The term PC refers to any IBM compatible stand-alone (or networked) desktop computer. If experience with only one of these classes of desktop computers is acceptable, it should be clearly stated in the qualifications.

Microcomputer Technician/Specialist - provides a variety of technical support services, such as: installing, maintaining and repairing computers; analyzing needs for computer applications for new or expanded needs; instructing users in the operation of computer hardware and software or arranges for such training; providing technical assistance for selecting, adapting, modifying, upgrading and purchasing computer hardware and software; coordinating microcomputer activities, services and functions in a department or among departments. Jobs performing these duties have many different titles.

Natural Sciences (Physical and Biological) – these are broad fields of science which contain more specific subfields. The following is a brief list of examples of subfields contained in the broader fields. College catalogs should be consulted for descriptions of courses and specific programs.

BIOLOGY

General Biology
Microbiology
Genetics
Entomology
Parasitology
Marine Biology

EARTH SCIENCE

Geology
Hydrology
Meteorology
Astronomy
Marine Geology

BOTANY

General Botany
Physiology
Morphology
Pathology
Taxonomy

PHYSICS

General Physics
Solid State Physics
Astrophysics

CHEMISTRY

General Inorganic Chemistry
Qualitative Analysis
Organic Chemistry
Biochemistry
Quantitative Analysis
Physical Chemistry

ZOOLOGY

General Zoology
Comparative Anatomy
Physiology
Taxonomy
Invertebrate Zoology

Network Specialist/LAN Technician - administers a computer network(s); installs, operates and troubleshoots and repairs communications equipment such as microcomputers, terminals, printers and modems; acquires and installs equipment and software, sets up work stations, establishes security and backup procedures and monitors the network. Typical titles include Local Area Network Specialist, Network Administrator, Distributed Processing Technician, etc.

Office Manager - supervises and directs clerical employees; may hire and discharge subordinates. Coordinates the work of the office with other departments.

Paraprofessional - work activities involve the performance of routine duties in a supportive role to a professional, usually requiring less training and/or experience than normally required for professional status. Experience at this level does not have the breadth and depth of final job responsibility found in professional positions (such as in social work, planning, engineering, accounting, etc.) nor does it require the intensity or broad scope of job-related knowledge. Since there are significant differences in the nature of paraprofessional and professional experience, qualifications should clearly identify the level required for experience to be qualifying.

Personnel Administration - includes activities in areas such as classification and salary administration, recruitment, selection, placement of staff, and labor relations.

Note: Experience limited primarily to health insurance related activities is generally excluded.

Physical Sciences – a subset of natural science which includes a wide range of fields of study in inorganic and organic chemistry, qualitative and quantitative analyses, biochemistry, astronomy, meteorology, geology, earth science and physics.

Planning Experience (Paraprofessional Level) – “paraprofessional” level involves carrying out straightforward tasks associated with the planning process, applying specific rules and regulations; incumbents usually work under the supervision of a planner. Titles most frequently used to describe work at this level are Planning Aide, Planning Assistant, and Planning Technician. Examples of work typically performed by a person working in the planning field at a paraprofessional level include:

- (1) Collection of field data on land use, historical resources, traffic, housing or building conditions;
- (2) Compilation of population, employment, housing or other socioeconomic data from secondary sources;
- (3) Preparation of summaries, analyses and data projections;
- (4) Preparation of maps and charts, graphs and tables;
- (5) Processing and reviewing applications to determine conformance with zoning and planning regulations.

Planning Experience (Professional Level) - “Professional” planning experience, whether acquired through practice, a degree, teaching or research, must address all four of the following criteria:

- A. Employing an appropriately comprehensive point of view. Appropriate comprehensiveness requires:
 - (1) looking at the consequences, e.g., physical/environmental, social, economic/financial governmental, etc.
 - (2) conforming a proposed decision to the larger context in which it will occur.

- B. Applying a planning process appropriate to the situation. The process must be appropriate to its place and situation in:
 - (1) the number and order of its steps, e.g., problem/opportunity definition, goal setting, generating alternate strategies, strategy choice, implementation, change, and to resource constraints;
 - (2) its orientation to the future, to value change, and to resource constraints;
 - (3) its quality of research and analysis;
 - (4) its format of policy, program, or plan proposal.

- C. Involving a professional level of authority, responsibility and resourcefulness. This includes initiative, judgment, substantial involvement and personal accountability for defining and preparing substantive elements of planning activities.

Planning experience usually involves influencing public decision-making in the public interest. This would involve recommending specific actions or choices to elected/appointed officials, private sector representatives, or others regarding public decisions concerned with social, economic, or physical change in the public interest.

Professional – experience which requires specialized and theoretical knowledge usually acquired through college education or through that experience and other training which provides comparable knowledge. “Professional” experience in general involves independence of action and personal responsibility for actions. In many fields, experience cannot be credited as professional if performed prior to obtaining the required degrees, licenses, certification, etc.; for example, Librarians, Nurses, and Attorneys. If it is determined that qualifying experience in a field needs to be at a professional level, it should be specified in the qualifications.

Program - an organized group of activities which are performed in order to accomplish a specific goal or carry out policy which is aimed at improving or changing existing conditions, practices or procedures, e.g. comprehensive training programs, pre-school programs or mental health programs.

Programming Librarian - works with a programming team and does much of the clerical jobs, such as keeping layout forms for files and records, compiling programs, creates and keeps job control procedures, and maintains documentation.

Public Administration - relates to the formulation and implementation of governmental policies and programs. A degree in public administration is not training for specific tasks and positions. It is oriented toward the environment of public administration - law, the political process, the economy, and the major components of the administrative process, such as program planning and evaluation, policy analysis, financial management, personnel management, organizational development and executive leadership.

Public Health - the science and the art of preventing disease, prolonging life, and promoting physical and mental health through organized community efforts for the sanitation of the environment, the control of community infections, the education of the individual in principles of personal hygiene, the organization of medical and nursing service for the early diagnosis and preventive treatment of disease.

Public Health has three main areas of concern:

- (1) Health services (includes home health services)
- (2) Behavior modification and health education
- (3) Environmental hazards

Public Health Social Work – social work experience in a private or public community health program addressing individuals' health-related problems and concerns. Experience in an inpatient setting will not usually be considered acceptable under this definition.

Public Relations – to be public relations experience, a position should include liaison activities with public officials, corporations, other agencies, news media, and the public. Duties may include planning, preparing and distributing written material designed to promote understanding or general knowledge about activities, services, policies or objectives.

Public Sector - that part of the economy which is owned and operated by a government. This includes authorities and non-profit organizations.

Records Management – the establishment and maintenance of records in accordance with laws, rules, regulations, agency policy or other established standards. Experience may include record organization, review, storage, retrieval, disposition and/or similar activities. Filing is not record management.

Recreation Administration - involves responsible direction and control of an organization or major organizational unit involving recreation activities. In addition to supervision of work groups, typical critical duties in recreation administration include: developing, planning, and evaluating recreation activities to ensure maximum efficiency; training and evaluating subordinate staff; preparing and presenting the budget, as well as overall responsibility for resource allocation; planning and coordinating capital projects and improvement programs; and preparing and distributing publicity materials, as well as working with interested community organizations to promote recreation activities.

Recreation Workers - Recreation Workers plan, organize, and direct activities that help people enjoy and benefit from leisure hours. General recreation education/experience should not be confused with recreational therapists, who help individuals recover or adjust to illness, disability, or specific social problems.

Responsibility for a Program – making decisions with significant and broad consequences and being accountable for the program's procedures and work products or services resulting from such program. Responsibility should include one or more of the following: developing procedures and program goals; ensuring compliance with administrative guidelines and regulations governing the program; evaluating program effectiveness. These activities are distinctly different from those that typify individuals involved primarily in the delivery of service. Responsibility for a program does not mean responsibility for doing one's own job nor does it mean responsibility for any single task associated with the development and/or implementation of a program.

Skilled Trades - work activities in this group primarily involve applying basic knowledge to the performance of a variety of manual tasks, often involving hand and power tools in building, constructing or repair of structures, and/or motorized equipment according to standardized practices of a trade under general or close supervision of higher level skilled personnel. Journey-level experience in a skilled trade generally requires completion of an apprenticeship.

Social Casework - social casework (sometimes referred to as casework) includes those activities that are directed toward enhancing a client's abilities to cope with and to solve problems, and referral of clients to supporting resources and services. Functions include client assessment, problem identification, development, monitoring and revision of a plan for services, motivational support, counseling, crisis intervention, referral to social and support services, and coordination of services.

For the purposes of minimum qualifications considerations for standards involving positions with municipal social services departments, social casework experience necessarily requires an understanding of the multiplicity of services within the community that are available to the client and should not be so specifically limited to one or two service functions so that a broad range of potential needs of the client cannot be addressed within the social casework interaction.

Social casework differs from social work in that social work is usually professional post-MSW experience, while social casework is a broader area not requiring an MSW.

Social casework does not include experience which is custodial in nature and/or which involves providing direct personal care to clients, such as nursing, nurse's aides or home health aides. It also does not include experience gained in positions such as Probation Assistant, Community Service Worker, or doing benefits determination, e.g. Social Welfare Examiner.

Social Science (Major or Coursework) - those areas of study concerned with humans living in relation to other humans in a social environment including the following areas: anthropology, criminal justice, economics, geography, history, political science, psychology and sociology. Under this definition majors such as social psychology and in such areas as "Afro-American studies," "Judaic studies," "women's studies," "Asian studies," and "African studies" would be accepted. When evaluating coursework to determine if an applicant meets a requirement for a specific number of credit hours in the social sciences, the content of courses must be evaluated on a case-by-case basis rather than accepting all courses offered by a particular department. Given the wide variety of areas of study encompassed by the term "social sciences," only some majors/courses may be appropriate preparation for a class; some areas may be clearly inappropriate preparation. Any such areas identified should be clearly stated in the qualifications as required or not acceptable.

Social Work - experience as a professional Social Worker normally includes such job activities as client intake, screening, psycho-social assessment, developing treatment plans, implementing treatment strategies, and coordinating client referrals to other agencies in a variety of human service settings.

Both the National Association of Social Workers (NASW) and the New York State Education Department recognize the Master's Degree in Social Work as the primary educational requirement for certification for professional practice. Therefore, the term "professional social work" is most often interpreted to mean post-MSW counseling, casework and referral services.

Some Social Workers may specialize with a specific group or in a specific setting. The most common specialties include mental health social work, medical social work, public health social work and school social work.

- A. Social Work Experience (Professional) - In most cases, only post-MSW social work experience will be considered professional social work experience for the purpose of meeting minimum qualifications. In most cases, to be qualifying experience, it should cover a complete range of professional activities such as interviewing, assessment, planning, implementing and evaluating treatment, coordination of services and aftercare.

- B. **Social Work Supervision** - In order to be considered professional social work supervision experience, candidates must have supervised one or more professional MSW-level social workers or equally qualified clinical staff. Professional social work supervision will normally include such activities as clinical oversight of professional social work staff, staff training, and performance evaluation. Supervision of students in MSW or BSW programs, paraprofessionals, assistants, or clerical workers will NOT be considered professional social work supervision.

Staff Administrative Experience - is to be distinguished from Administration experience. Incumbents perform functions in a support role to higher level administrators. This could involve office management; participation in budget preparation and monitoring; personnel; administrative analysis, including involvement in the development and/or review of department-wide practices and procedures; evaluating departmental operations; participation in planning, management activities; purchasing; public relations; and other similar functions. In contrast, "line" functions involve the delivery of services, or the day-to-day operations of a department.

Statistics - the science dealing with the collection, analysis, interpretation and presentation of masses of numerical data.

Supervision - responsible direction and control of subordinate employees. This involves a responsibility for planning for individuals in a work group. Typical duties may include, but are not limited to, assigning and reviewing work, evaluating performance, maintaining work standards, motivating and developing subordinate employees, implementing procedural changes, increasing efficiency and dealing with problems of absenteeism, morale and discipline. The supervision aspects must be an integral part of the job, not incidental or occasional.

True supervision (e.g., first-line supervisors as opposed to "lead workers") is characterized by:

- (1) the close and immediate supervision of permanently assigned employees, on a regular, ongoing basis;
- (2) responsibility for the assignment and review of work, providing work instruction, the evaluation of work performance, maintenance of work standards, handling absenteeism, discipline, etc.;
- (3) accountability for the quantity and quality of subordinate's work and/or the completion of projects and program accomplishments.

Surveying - that branch of the engineering profession that applies mathematics to the measuring and plotting of the dimensions and areas of any portion of the earth, including all naturally placed and man or machine made structures and objects thereon. A Licensed Land Surveyor conducts the survey of areas for their correct determination

and description and for the establishment or reestablishment of land boundaries and the plotting of land and subdivisions thereof.

Systems Analyst - analyzes the needs and problems of computer users, proposes solutions to those needs and problems, develops general and detailed specifications of new or replacement system(s), installs and tests the resulting systems, develops detailed system and user documentation, and monitors/evaluates the performance of the systems.

Telecommunications - the science and technology of sending and receiving information at the desired quality and in the time frame required between selected points.

It begins with the use of the telephone instrument or other terminals and their proper use to select channels as required. It reaches into the scientific research required to invent new devices for amplification, memory, storage and logic devices. It is also concerned with the development of economical devices to meet users switching and transmission needs.

Transportation Planning - application of the principles of traffic engineering and traffic flow theory and simulation to the planning of movement systems; study of existing transportation systems and demand projection of needs, design and simulation of future systems in conjunction with plans for future land use, and programming the construction and administration of these future systems.

Urban Design - use of three-dimensional, physical design techniques from architecture and landscape architecture to create designs for large areas containing open and enclosed space as well as movement systems. Studies of existing and proposed environments in terms of their functional, social, and economic aspects, translation of community planning objectives into design program, and creation of designs for meeting the goals of these programs.

User Support/Help Desk Specialist - assists users who are having problems with existing computer systems, either in person or over the phone, and provides training to users in computer use; refers problems to appropriate technical experts as needed to resolve difficult problems; keeps records of requests for assistance and assistance provided; advises users of status of attempts to outstanding unresolved problems; learns how to use newly acquired and supported products.


Youth Program - organized programs aimed at youth that are typically run by youth bureaus (or subcontracted to other agencies), character building organizations (Boy Scouts, Girls' Clubs, CYO, YMCA, etc.), churches, community organizations and social service agencies (public or private) and similar organizations that are mainly concerned with delinquency prevention or control, personal and social growth and constructive use of leisure time. It does not include typical classroom teaching, but may include remedial

programs. The Office of Children and Family Services (formerly Division for Youth) funds programs to serve persons from birth to 21 years of age.

Note: The age range of 7 – 21 is sometimes used to define the limits of "youth." This age relates to the ages within which the former Division for Youth (now the Office of Children and Family Services) can become involved with a person for rehabilitation purposes. The lower limit is from Section 712 of the Family Court Act and the upper limit is from Section 412 (Youth Commission Section) of the Executive Law.

If experience working with youth in a specific age group is required, that should be stated in the minimum qualifications. Absent such a statement, "youth" would encompass persons from birth to 21.

APPENDIX C: SAMPLE FORMS

	STATE OF NEW YORK DEPARTMENT OF CIVIL SERVICE THE STATE CAMPUS ALBANY, NEW YORK 12239	INVESTIGATIONS SECTION REQUEST FOR ADDITIONAL EMPLOYMENT INFORMATION <small>Form IV-1L (03/05)</small>
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The New York State Department of Civil Service may, by virtue of New York State Civil Service Law Section 50.4, investigate the qualifications and backgrounds of candidates, eligibles, and appointees for positions subject to its jurisdiction. Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) places the burden upon the applicant of establishing his or her qualifications to the satisfaction of the Civil Service Department.

Examination Number(s) and Title(s)

**JOHN J DOE
 123 MAIN ST
 ALBANY, NY 12201**

20-370 KEYBOARD SPECIALIST 1 (AREA 0)

On your application for examination, you answered **YES** to the question(s) below:

- Were you ever dismissed or discharged from any employment for reasons other than lack of work or funds, disability or medical conditions?
- Did you ever resign from any employment rather than face dismissal?

Please list the former employer(s) complete name and address, the dates of employment, position you held, and the reason for your dismissal or resignation. If needed, use the back of this form or attach additional sheets.

If you have questions about completing this form, call (518) 457-5507

PERSONAL PRIVACY PROTECTION LAW NOTIFICATION

This information is being requested pursuant to Section 50.4 of the New York State Civil Service Law and Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) for the purpose of determining whether you possess the requisite qualifications and background for admission to the examination, for certification from the eligible list or appointment to the position sought. This information will be used in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (e), and (f). Failure to provide this information may result in your being disqualified from taking the examination, or after examination, from being certified from the eligible list or appointed to the position sought. This information will be maintained by the Supervisor of Civil Service Investigations, Department of Civil Service, the W. Averell Harriman State Office Building Campus, Albany, NY 12239. For further information relating to the Personal Privacy Protection Law call (518) 457-9375.



STATE OF NEW YORK
 DEPARTMENT OF CIVIL SERVICE
 THE STATE CAMPUS
 ALBANY, NEW YORK 12239

INVESTIGATIONS SECTION
**REQUEST FOR ADDITIONAL MILITARY
 INFORMATION**

Form IV-2L (03/05)

The New York State Department of Civil Service may, by virtue of New York State Civil Service Law Section 50.4, investigate the qualifications and backgrounds of candidates, eligibles, and appointees for positions subject to its jurisdiction. Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) places the burden upon the applicant of establishing his or her qualifications to the satisfaction of the Civil Service Department.

Examination Number(s) and Title(s)

**JOHN J DOE
 123 MAIN ST
 ALBANY, NY 12201**

20-370 KEYBOARD SPECIALIST 1 (AREA 0)

On your application for examination, you answered **YES** to the question:

Did you ever receive a discharge from the Armed Forces of the United States which was other than "Honorable" or which was issued under other than honorable conditions?

Please explain the reasons for your discharge. If needed, use the back of this form or attach additional sheets. A copy of your Armed Forces DD214, Record of Separation, must accompany your explanation.

If you have questions about completing this form, call (518) 457-5507

PERSONAL PRIVACY PROTECTION LAW NOTIFICATION

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STATE OF NEW YORK
DEPARTMENT OF CIVIL SERVICE
THE STATE CAMPUS
ALBANY, NEW YORK 12239

INVESTIGATIONS SECTION
**REQUEST FOR CRIMINAL OFFENSE
INFORMATION**

Form IV-37L (03/05)

The New York State Department of Civil Service may, by virtue of New York State Civil Service Law Section 50.4, investigate the qualifications and backgrounds of candidates, eligibles, and appointees for positions subject to its jurisdiction. Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) places the burden upon the applicant of establishing his or her qualifications to the satisfaction of the Civil Service Department.

The public policy of the State of New York, as expressed in law, is to encourage the employment of persons previously convicted of one or more criminal offenses. Consideration is given to the specific duties and responsibilities necessarily related to the employment sought; the bearing, if any, the criminal offenses(s) will have on fitness or ability to perform one or more such duties or responsibilities; the time which has elapsed since the occurrence of the criminal offenses(s); the age of the person at the time of occurrence; the seriousness of the offenses(s); any information produced by the person, or produced on his/her behalf, in regard to rehabilitation and good conduct; the legitimate interest of the public agency in protecting property, and the safety and welfare of specific individuals or the general public. (Correction Law Sec. 753.1976)

Examination Number(s) and Title(s)

**JOHN J DOE
123 MAIN ST
ALBANY, NY 12201**

20-370 KEYBOARD SPECIALIST 1 (AREA 0)

In your application for examination or employment you reported a criminal conviction or charge.

1. Explain the circumstances regarded the offense(s) charged. Use the back of this form or attach additional sheets if needed.

2. If you were placed on probation or released on parole, you must request the probation or parole office to submit to the New York State Department of Civil Service, Attn: Supervisor of Civil Service Investigations a written statement concerning: (a) the recorded circumstances that led to your conviction, (b) your adjustment and/or rehabilitation while under supervision, (c) previous convictions, (d) employment background, (e) any other relevant information as to your character, habits and work ability.

Indicate the probation or parole office (including address) and the date of your request for written statement.

(Probation/Parole Office) (Date)

3. If you were not placed on probation or released on parole, you must submit an official court transcript of final disposition for each conviction.
4. If you received a Certificate of Relief from Disabilities or a Certificate of Good Conduct, submit a copy.

If you have questions about completing this form, call (518) 457-5507

PERSONAL PRIVACY PROTECTION LAW NOTIFICATION

This information is being requested pursuant to Section 50.4 of the New York State Civil Service Law and Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) for the purpose of determining whether you possess the requisite qualifications and background for admission to the examination, for certification from the eligible list or appointment to the position sought. This information will be used in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (e), and (f). Failure to provide this information may result in your being disqualified from taking the examination, or after examination, from being certified from the eligible list or appointed to the position sought. This information will be maintained by the Supervisor of Civil Service Investigations, Department of Civil Service, the W. Averell Harriman State Office Building Campus, Albany, NY 12239. For further information relating to the Personal Privacy Protection Law call (518) 457-9375.

	<p>STATE OF NEW YORK DEPARTMENT OF CIVIL SERVICE THE STATE CAMPUS ALBANY, NEW YORK 12239</p>	<p>INVESTIGATIONS SECTION AUTHORIZATION FOR RELEASE OF PERSONAL INFORMATION Form IV-100L (03/05)</p>
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<p>IDENTIFYING CANDIDATE INFORMATION</p>	<p>Candidate's Name JOHN J DOE</p> <p>Address 123 MAIN ST ALBANY, NY 12201</p>	<p>Social Security Number 123-45-6789</p> <p>Exam Number & Title 20-670 KEYBOARD SPECIALIST 1 (AREA 0)</p> <p>Other (Specify)</p>
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I, *(type or print)* _____ hereby authorize full disclosure of all records concerning me to the New York State Department of Civil Service, Investigations Section, whether said records are of public, private, or confidential nature. I hereby release all persons, agencies, institutions, their officers and representatives from any and all claims, liabilities, or damages whatsoever whether due to negligence, error, or any other cause which may be incurred as a result of furnishing such information in whole or in part when complying with this request. Additionally, I release the Department of Civil Service from any and all liability which may be incurred as a result of collecting such information.

I have read and fully understand the contents of this Release of Personal Information.

Candidate's Name _____ Telephone Number () _____
please type or print

Candidate's Signature _____ Date _____

Witness's Name _____
please type or print

Witness's Signature _____ Date _____

A photocopy of this release is valid. This authorization will expire six months from the date shown next to the candidate's signature.

For questions about completing this form, call (518) 457-5507

PERSONAL PRIVACY PROTECTION LAW NOTIFICATION

This information is being requested pursuant to Section 50.4 of the New York State Civil Service Law and Section 3.2 of the Rules and Regulations of the Department of Civil Service (4NYCRR 3.2) for the purpose of determining whether you possess the requisite qualifications and background for admission to the examination, for certification from the eligible list or appointment to the position sought. This information will be used in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (c), and (f). Failure to provide this information may result in your being disqualified from taking the examination or, after examination, from being certified from the eligible list or appointed to the position sought. This information will be maintained by the Supervisor of Civil Service Investigations, Department of Civil Service, the W. Averell Harriman State Office Building Campus, Albany, NY 12239. For further information relating to the Personal Privacy Protection Law call (518) 457-9375.

It is the policy of the New York State Department of Civil Service to provide reasonable accommodation to ensure effective communication of information to individuals with disabilities. If you need an auxiliary aid or service to make this information available to you, please contact the New York State Department of Civil Service Public Information Office at (518) 457-9375.



**Department of
Civil Service**

Visit the New York State
Department of Civil Service Website @
www.cs.ny.gov

New York State
Department of Civil Service
Albany, NY 12239

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