

Topic No.615: Personnel Forms for Appointment

Topic description:	This topic explains the paperwork needed for employees who are starting work for the Department.
Topic owner:	Personnel Bureau
Audience:	All staff
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Changes in this revision:	Removed booklets “NYS Worker’s Compensation Program/ARS Card”. This card is no longer used. .
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There are forms that need to be completed for all employees who are hired, or reinstated after resignation or layoff. These forms are referred to as entrance papers.

Scope

This topic explains what forms need to be completed and filed with Personnel. It discusses how to complete and file the needed paperwork. These forms must be filed with the Personnel Office so that the employee is placed on the payroll when she/he begins working for the Department.

Policy Statement:

All employees must complete and submit Personnel forms when they are appointed to a position with the Department. An appointment occurs when an employee is hired or is reinstated to a position after a break in service of more than one day. Entrance papers should be prepared as soon as possible after the person is appointed. No person may be employed until the requirements in Sections III and IV of GA Manual item 0612, Employee Recruitment and Selection have been met.

Personnel Forms for Appointment:

The following forms must be filed with the Personnel Bureau.

1. [Form GA 70](#) - Employment Application/Information Record
2. [Form DOS 1690-f-1](#) - Oath of Office Card - Code of Ethics
 - a. All employees (except in the Labor Class) are required to read the Code of Ethics found on page 32 of the Public Officers Law Booklet and complete form DOS-1691. This form must be filled out no later than the employee’s first working day.
3. [Form W 4](#) - Employee Withholding Allowance Certificate (Federal).

- a. This form must be completed and signed by each employee who is new, has been reinstated, or who has transferred to the Labor Department.
 - b. If an employee claims no liability for Federal Income Tax for the current, or preceding year, the W-4 is used for claiming this exemption along with the IT 3124E, Withholding Certificate of Exemption.
4. **Social Security Card** - (SS card applications - www.socialsecurity.gov/online/ss-5.pdf)
 - a. All employees are required to submit their Social Security Card so a **copy of both sides** may be made to insure that the form W-4 contains the exact name and Social Security number as it appears on the card.
 - b. If the employee does not have their Social Security Card, a receipt of application from the Social Security Administration may be accepted until she/he gets a new Social Security Card.
 - c. If the employee has no Social Security Card, or receipt of application for a new card, she/he must complete form [GA 72](#), Verification of Social Security Card, and apply for a new card immediately. When the new card is received, the employee must show it to their supervisor. The supervisor will send a copy of both sides of the card to the Personnel Office for further processing.
5. **Form IT 2104 or IT 2104.1**- Employee Withholding Allowance Certificate (NYS, City of NY, and City of Yonkers)
 - a. The withholding amount is computed using 100% of the employee's earnings. This is done using the tax rate schedule for non-residents if the relevant form is not submitted.
6. **Form I-9** - Employment Eligibility Verification
 - a. An employee cannot be placed on the payroll until this form, and the required ID (i.e. both sides of the driver license, passport, social security card), are provided to Personnel.
7. **Form RS 5420-I** - Article 15 Membership Registration for the New York State Employee Retirement System.
 - a. This form must be completed for all new or reinstated employees. Temporary or hourly employees may submit this form at any time during their State service. Permanent part-time employees appointed on or after July 1, 1976, are not required to join the Retirement System until they become full time. This form must be notarized.
8. **Form PT 24** - Acknowledgement of Waiver of Membership for State Employees in NYS Employee's Retirement Program and **Form RS 6357**, The Survivor's Benefit Program Non-Member Employee Designation of Beneficiary.
 - a. Each new employee who does not want to join the Retirement System must complete these forms.
9. **Form PT 159** - Federal/Civil Service Veteran Status Form.

- a. All employees must sign and file this form to determine veteran or non-veteran status.
- 10. **Form S203** - Disposition of Veterans Credits.
 - a. This form should be used for each veteran receiving a permanent appointment or promotion from a Civil Service list. Veteran's credits may only be used once.
- 11. **Form PT 710** - Eligibility for Unemployment Insurance (UI) Benefits, After Hire Letter.
- 12. **Form GA 40 (40.1 or 40.2)** - Rules for Personnel Handling Claims and Serving Customers and Employers.
 - a. **GA 40** is used by all Labor employees as required.
 - b. **GA 40.1** is used by Telephone Claims Center employees.
 - c. **GA 40.2** is used by employees in Accounting Trainee and UI Auditor positions.

Copies of these forms are to be given to the employee.

- 1. **Form DEOD 312 or DEOD 312S** - Equal Opportunity is the Law (English and Spanish versions).
- 2. **GA Manual 1001** - Computer Acceptable Use Procedure and Provisions
 - a. This manual section must be printed and completed by each new employee.
- 3. **Form AC 2772**- Direct Deposit Enrollment
 - a. Employees fill out this form to have their paycheck deposited directly into their personal accounts. Enrollment is not mandatory.
- 4. **Form DAC 100** - Notification of Ethnicity
 - a. This form should be completed and forwarded to the Department of Civil Service.
- 5. **Employee Handbook**
 - a. A copy of the Department of Labor Employee Handbook should be given to all new employees.
 - b. **Working papers** are required for each employee who is under 18 years of age.
 - c. **A letter of appointment** should be sent to a new employee by the Appointing Authority and will to serve as an employee's notice to report to work. A copy should also be submitted to the Personnel Office with the entrance papers.
- 6. Negotiated Union Agreements

- a. Each new employee will receive a copy of their particular union's negotiated agreement (between NYS and PEF, CSEA or NYSCOPBA) directly from their union.
 - b. Employees represented by CSEA must be given a membership application within one workweek of the first date of employment.
7. **Form PT 11** - Emergency Contact Form.
 8. Employees may voluntarily complete this form which will be filed in their Personal History Folder in the Personnel Office.

Miscellaneous Pamphlets/Booklets:

1. **Public Officer's Law Book**
2. **Form VO 1522**, Your Retirement Plan- Coordinated Plan Booklet (Tier 5)
3. **Form VO 1655**, The Survivor's Benefit Program for State employees represented by CSEA, PEF, and NYSCOBBA
4. **Form VO 1660**, The Survivor's Benefit Program for M/C designated State employees
5. **Deferred Compensation Booklet**
6. **Form PS 700** - (for Building 12 staff only)
 - a. This form is given to the Employee Health Services' nurse in Building 12.
7. **NYS Worksite Child Care Centers Flyer** For all new employees.
 - a. This flyer from the Governor's Office of Employee Relations has information on the locations and information on child care centers that are available to employees at various New York State office facilities.

Additional Information**Health Insurance Forms**

Employees may join the NYS Health Insurance Plan (NYSHIP) if:

- they are hired for at least six consecutive pay periods; and
- work at least 37.5 hours each pay period.

Information about NYSHIP is sent to every eligible employee. This information includes several forms to be completed and forwarded to the Health Insurance Unit.

All NYSHIP eligible employees will receive the following forms in the mail:


1. **Form PS-404** - NYS Health Insurance Transaction Form
 - a. **Form PT 167** - Hourly Eligibility Verification
 - i. Supervisors of hourly employees must complete this form and submit it to the Health Insurance Unit along with the PS-404.

There is a waiting period from the date of hire to the date health insurance coverage will begin. Employees should get the applicable forms to the Employee Benefits Unit as soon as possible so that health insurance coverage starts at the end of the waiting

period. If the health insurance paperwork is received after the waiting period, there will be an additional five pay-period delay before coverage begins. The waiting periods are as follows:

- Employees represented by CSEA - 42 Calendar days.
- Employees represented by PEF, NYSCOPBA, or designated M/C - 56 Calendar days.

For additional information regarding Health Insurance Benefits, please contact the Employee Benefits Unit at 518-457-2380.


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Related Topics:

[GA Manual 612](#); Sections III & IV

[GA Manual 1001](#)

[GA Manual 710](#)

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Contact Information

For more information contact Personnel, Bldg 12, Room 561, Albany, N.Y. 12240
518-457-2796.

[GA Manual Home](#) | [Intranet Home](#)

Personnel Forms for Appointment Checklist

Form/Booklet/Packet	Completed
1. GA 70 Employment Application/Employee Information form / Resume on <u>DOL INTRANET</u>	
2. DOS 1690-f-1 Oath of Office Card - www.dos.state.ny.us/forms/corporations/1690.pdf	
3. W-4 Federal Withholding - (Verify SS# and name) on <u>DOL INTRANET</u>	
4. GA 72 Verification of Social Security Card Form - (attach a photocopy of the SS Card) To get a new SS card go to - www.socialsecurity.gov/online/ss-5.pdf on <u>DOLINTRANET</u>	
5. IT 2104 State Withholding or IT 2104.1 Nonresident Employees working in NYC/Yonkers (if applicable) - Both on <u>DOL INTRANET</u>	
6. I-9 Employment Eligibility Verification on the U.S. Citizenship and Immigration Services website	
7. RS 5420 Retirement Membership Application on <u>DOL INTRANET</u>	
8. PT 24 Waiver of Retirement Membership on <u>DOL INTRANET</u> and RS 6357 Survivor's Benefit Beneficiary Form - Form <u>Personnel</u>	
9. PT 159 Federal Veteran Status on <u>DOL INTRANET</u>	
10. S203 Disposition of Veteran Credits (if applicable) on <u>DOL INTRANET</u>	
11. PT 710 Eligibility for Unemployment Insurance Benefits After Hire on <u>DOL INTRANET</u>	
12. GA 40 Rules for Handling of Claims and Serving Customers and Employers/GA 40.1 Rules for Handling of Claim (TCC only)/ GA 40.2 Rules for Accounting Trainees and Employee of UI Tax Auditor Series only. All on <u>DOL INTRANET</u>	
13. DEOD 312 & DEOD 312S on <u>DOL INTRANET</u>	
14. PT112 - DOL Computer Access & Security Certification form on <u>DOL INTRANET</u>	
15. AC 2772 Direct Deposit (Forward this form to Time Records/Payroll office, Room 465, Bldg 12, Albany, NY 12240 separately) on <u>DOL INTRANET</u>	
16. DAC 100 - Master Affirmative Action Data Collection Form <u>Personnel</u>	
17. GA 9 Employee Handbook - on <u>DOL INTRANET</u>	
18. CSEA Application for New Membership/Benefit Fund Enrollment <u>Personnel</u>	
19. PT 11 - Emergency Contact Form on <u>DOL INTRANET</u>	
20. Public Officers Law Booklet order on <u>BAFM</u>	
21. VO 1522 Your Retirement Plan- Coordinated Plan Booklet (Tier 5)	
22. VO 1655 Survivor's Benefit for State Employees	
23. VO 1660 Survivor's Benefit for State Employees - MC ONLY	
24. NYS Deferred Compensation Pamphlet <u>Personnel</u>	
25. PS 700 EHS Health Record - for employees located in <u>Bldg 12 only</u> <u>PERSONNEL</u>	
26. Worksite Child Care Center Flyer For all new employees. <u>Governor's Office of Employee Relations</u>	
Attach a copy of this checklist with the entrance paperwork and forward to: Personnel, Bldg 12, Room 561, Albany NY, 12240.	