Chapter 14a

Budget Director's Approval Transactions (BDAs)

Chapter Topics

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Introduction

The Budget Director's Approval (BDA) transaction is used to request changes to Non-Statutory (NS) positions that are on **both** the NYSTEP and PayServ systems (shared positions). Request for Budget Director's Approval (BDA) is required for new appointments and salary increases (except for general salary increases and performance-based increases consistent with approved salary plans) for exempt class and non-competitive, Non-Statutory (NS) positions and positions allocated to grade M-8 and grade 38. Recently, BDAs also became required for non-competitive employees whose positions that have been "phi tagged" [1].

The two-part review process by the Governor's Appointments Office (GAO) and Division of the Budget (Division) ensures that salaries are in accordance with approved NS Salary Plans. In the case of new appointments above or below the minimum salary for the position, the salary is reviewed to determine if it is commensurate with the proposed incumbent's experience, qualifications, skills, salary history and other extenuating circumstances. The transaction also requires that the requesting agency provide adequate documentation to support the BDA request.

The electronic BDA is designed to enable review of historic changes to the position's rate information. This transaction is also used to update information on the State's payroll system, PayServ.

Similar to the compensation adjustment transaction, approval of a BDA request by DOB updates the PS Certificate and eliminates the need for almost all State agencies, and DOB, to process PS Certificate amendments as paper documents. Additionally, in most cases, approval of an electronic BDA also removes the need to enter a separate compensation adjustment transaction in NYSTEP; the BDA will serve both purposes.

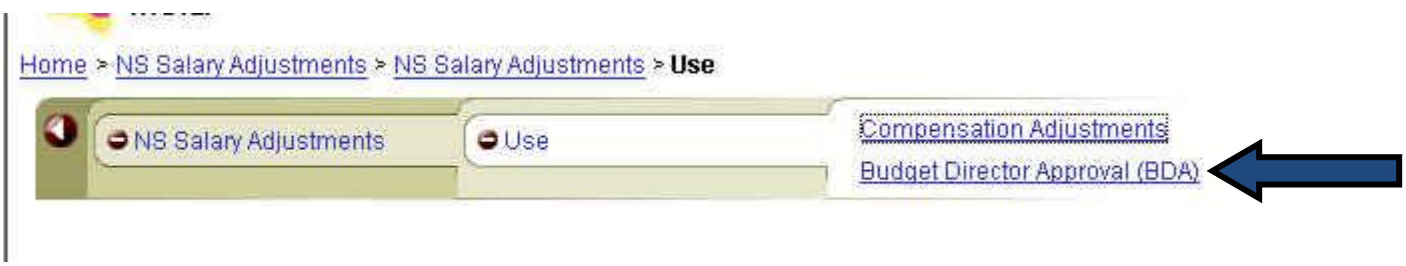
NOTE: There is no mass change for BDA transactions. Each position must have a separate BDA request.

[1] A phi tagged position has been deemed to have special policy making or confidential status. That tag is indicated on Position Summary by a "P" or "C" in the Phi Tag field.

Creating the BDA Request

Initiate the Transaction

1. Click on NS Salary Adjustments; NS Salary Adjustments; Use; **Budget Director Approval (BDA)**.



NOTE:	Your security access to various NYSTEP modules will determine whether you see both “Compensation Adjustments” and “Budget Director Approval (BDA)” on the menu bar. Some individuals may see only one choice – either Compensation Adjustments or BDAs. Based upon which menu items you see, if you feel that your access should be changed, see your agency User ID administrator.

The Search dialog box will display


Budget Director Approval (BDA)

Find an Existing Transaction

Position Number:

Agency:

Line Item Number:

Title Code:

Salary Grade:

Request Status:

SSN:

Appointee Name:

Search Clear Basic Search

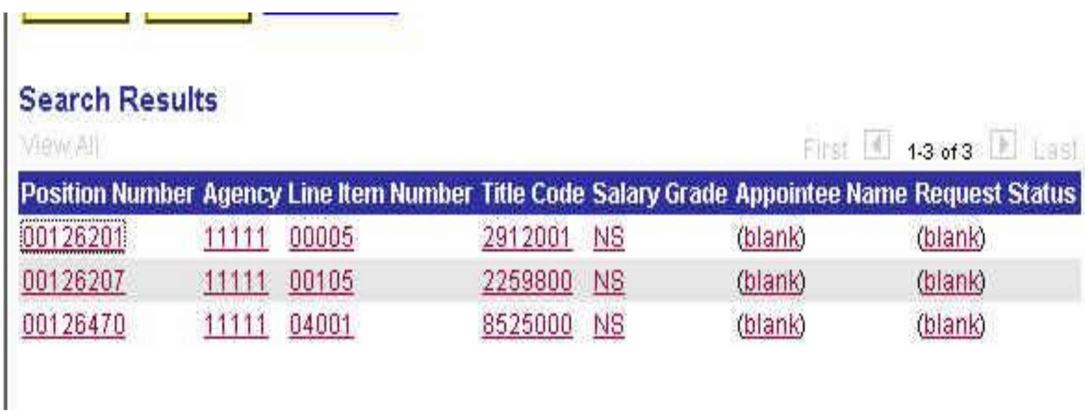
Access the Page

In the **Position Number** field, enter the 8-digit NYSTEP position number. Click **Search**.

If the position number is not known, in the **Agency** field, enter the agency code; and in the **Line Item Number** field, enter the line number. Click **Search**.

Or, to search by **Title Code** or **Salary Grade**, leave the **Line Item Number** field blank and in the appropriate field enter either the Title Code or Salary Grade “NS”. Click **Search**.

Depending on which search criteria are used, either the position on a blank BDA transaction, or a list with the Search Results, will display.



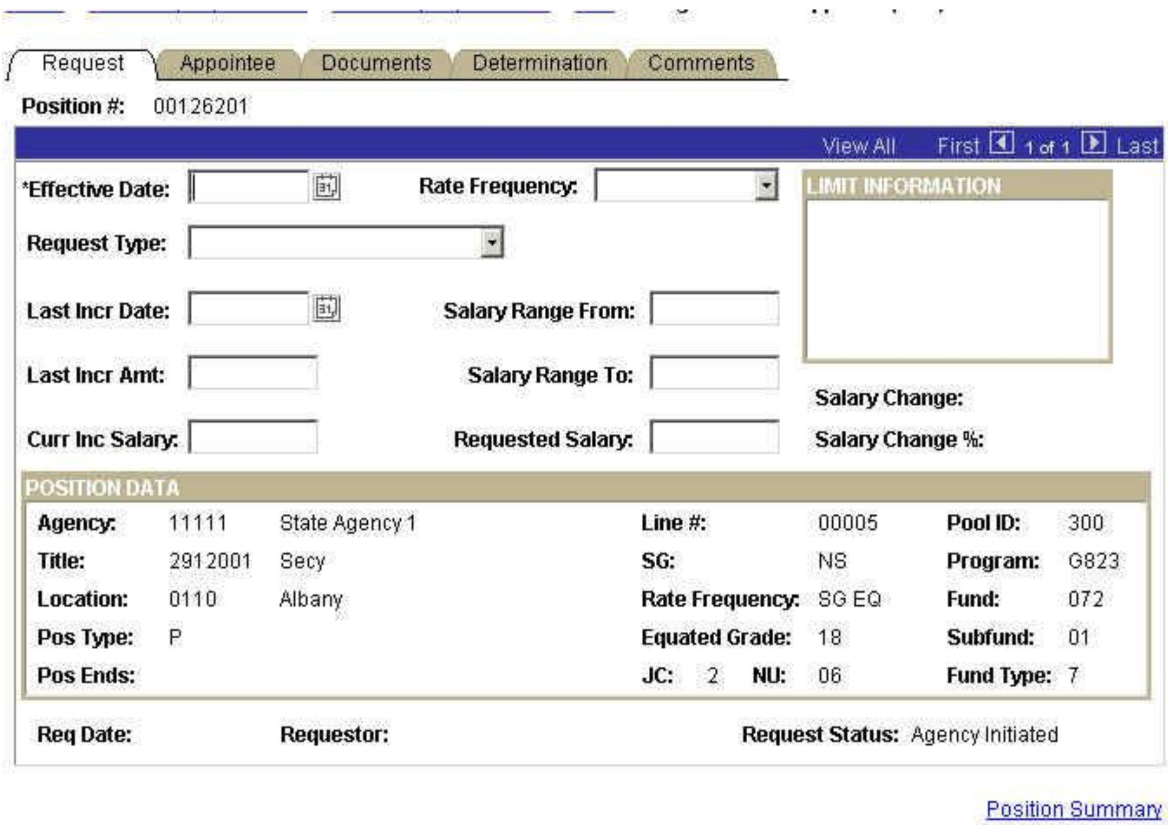
Search Results

View All First 1-3 of 3 Last

Position Number	Agency	Line Item Number	Title Code	Salary Grade	Appointee Name	Request Status
00126201	11111	00005	2912001	NS	(blank)	(blank)
00126207	11111	00105	2259800	NS	(blank)	(blank)
00126470	11111	04001	8525000	NS	(blank)	(blank)

If a list of positions is returned, select the desired position.

The BDA request page will display.


Request | Appointee | Documents | Determination | Comments

Position #: 00126201

View All First 1 of 1 Last

*Effective Date: | Rate Frequency: | LIMIT INFORMATION

Request Type:

Last Incr Date: | Salary Range From:

Last Incr Amt: | Salary Range To: | Salary Change:

Curr Inc Salary: | Requested Salary: | Salary Change %:

POSITION DATA

Agency:	11111	State Agency 1	Line #:	00005	Pool ID:	300
Title:	2912001	Secy	SG:	NS	Program:	G823
Location:	0110	Albany	Rate Frequency:	SG EQ	Fund:	072
Pos Type:	P		Equated Grade:	18	Subfund:	01
Pos Ends:			JC: 2	NU: 06	Fund Type:	7

Req Date: Requestor: Request Status: Agency Initiated

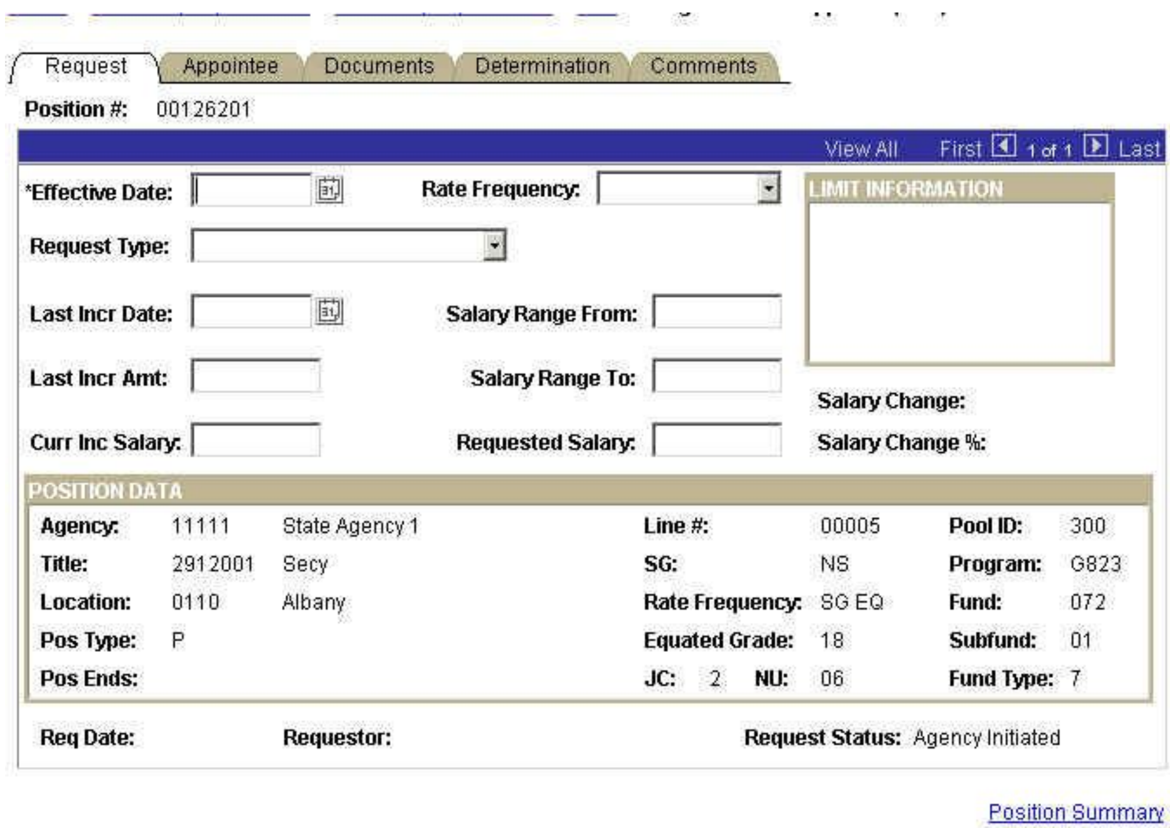
Position Summary

NOTE: Use the **Position Summary** hyperlink on the page to display Position Summary and check the position's history. This will open a new window. To return to the transaction, click the x in the upper right-hand corner on the Position Summary menu bar.

Work with the Page – The REQUEST Tab

NOTE:	BDA transactions are single item/position transactions. There is no mass change for BDA transactions.

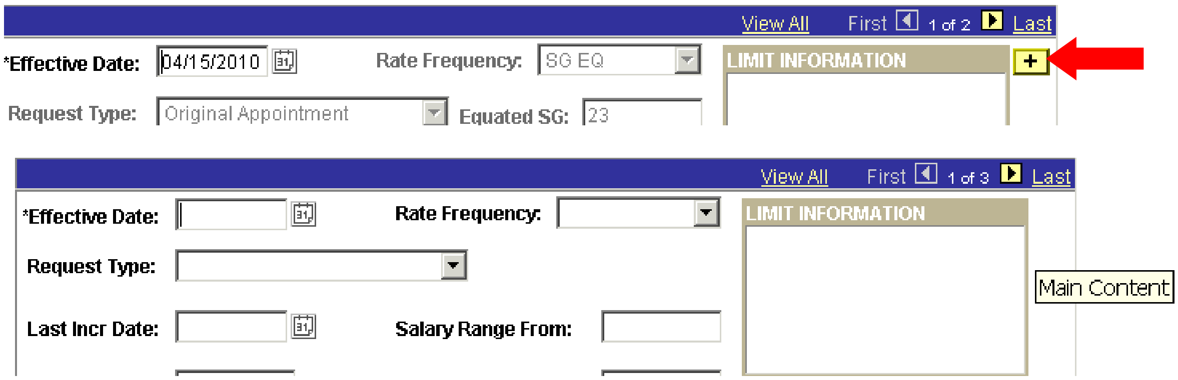
1. In the **Effective Date** field, enter the requested effective date or use the calendar feature next to the field .



The panel will populate with the latest information that NYSTEP has for that position

NOTE:	If there has <u>not</u> been an automated BDA on the position, the effective date field will be blank and the requested effective date should be entered in that field.

If there has previously been an automated BDA on the position, click on the [+] to open a new BDA transaction for a date later than the existing approved transaction. Once clicked, a new, blank BDA transaction will open for updating NYSTEP.



NOTE: Effective dates for BDA requests may be future dated 30 days from the system date. Backdating of a BDA transaction is allowed up to six months from system date. However, backdating to a date prior to an already approved BDA is not allowed. Should DOB *deny* a BDA transaction, a new request can have an effective date the same as or earlier than the date of the denied request, as long as it is not earlier than an approved BDA. (In the event that this becomes necessary, contact your DOB examiner.)

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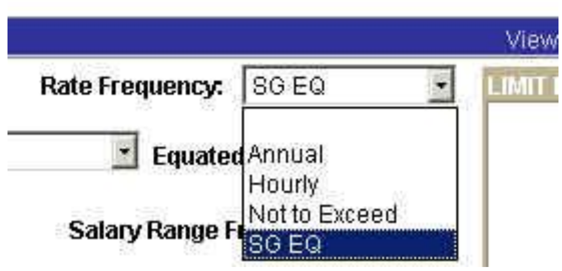
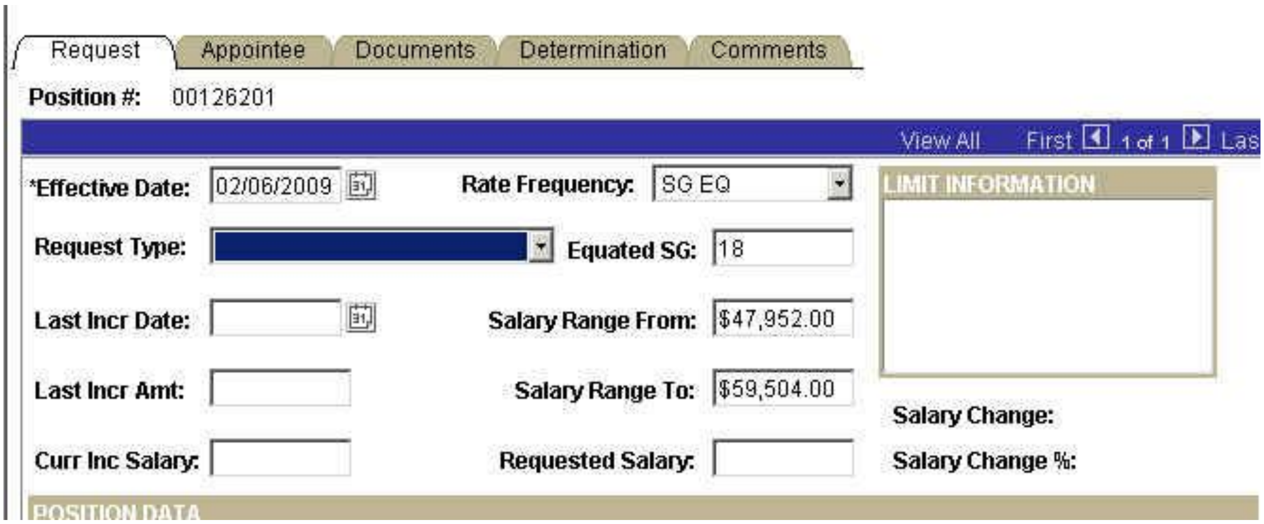
2. To change the other current information, in the **Rate Freq** field, click the [▼] and select the appropriate value.



3. If **Annual or Not to Exceed** is chosen, the salary range for the position may be entered. If either the "From" or "To" fields have an entry, *both* fields must have an entry. If **SG EQ** is chosen, the salary range fields will populate with the salary range for that grade level from the most recent salary schedule and cannot be changed. The salary must be within that range. If **Hourly** is chosen, only the *requested* hourly rate is required.



Hourly rates do not have a salary range.

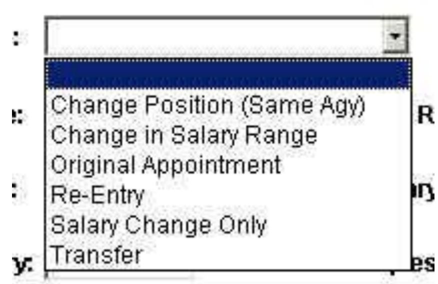
For NS **Hourly** positions, enter the hourly compensation associated with the position. Enter this amount without currency designation or decimals. NYSTEP will only allow BDAs for hourly positions for which the hourly rate is $20 per hour or more. A value of up to $999.99 may be entered here. If the hourly rate requested must be greater than $999.99, enter the actual rate on the **Comments** tab.

For **Not To Exceed** positions, enter the maximum annual rate of compensation for the position (this compensation rate is routinely established by BDA). Enter this amount without currency designation or decimals. A value of up to $999,999.00 may be entered here.

The **Limit Amount** fields are optional and do not update the PayServ database. These are informational fields that are used by some state agencies to monitor spending on certain personal service items. To use these fields, enter the maximum amount that may be expended per Limit Basis. To do this, click on the **Limit Basis** field, enter the basis on which the Limit Amount is to be applied. For example, in the Hourly illustration above, a maximum of $100.00 may be expended at an hourly rate of $15.00, based on per Case, per day, per examination, etc

In the **Limit #** field, enter the maximum number of occurrences of the basis which can be supported by the Limit Amount. For example, if the Limit amount is $100.00, the Limit Basis is per case, and the hourly rate is $15.00, Limit Number is $100.00/$15.00 or roughly 6 ½ hours per case. In the Not To Exceed example, if the Limit Amount of $150.00 were based on a per case base, then the Limit Number could be $55000.00/$150.00 or a maximum number of cases of 366.

In the **Request Type** field, click on the dropdown arrow and choose the type of *appointment* that is being made to the position:



Change in Position *= Appointment to a different item within the same agency.*
Change in Salary Range *= Only the upper and lower salary limits are being changed*.*
Original Appointment *= No record for the Appointee exists in NYSTEP.*
Re-Entry *= There is a previous record in NYSTEP for this appointee.*
Salary Change Only *= Only the salary is being changed.*
Transfer *= The appointee is being transferred from another agency.*

****NOTE****: SG EQ salary ranges cannot be changed. The equated grade level must be changed in order to change the salary range.*

In the **Salary Range From** and **Salary Range To** fields, enter the lower and upper salary limits (unless the position is SG EQ, in which case the ranges will populate).

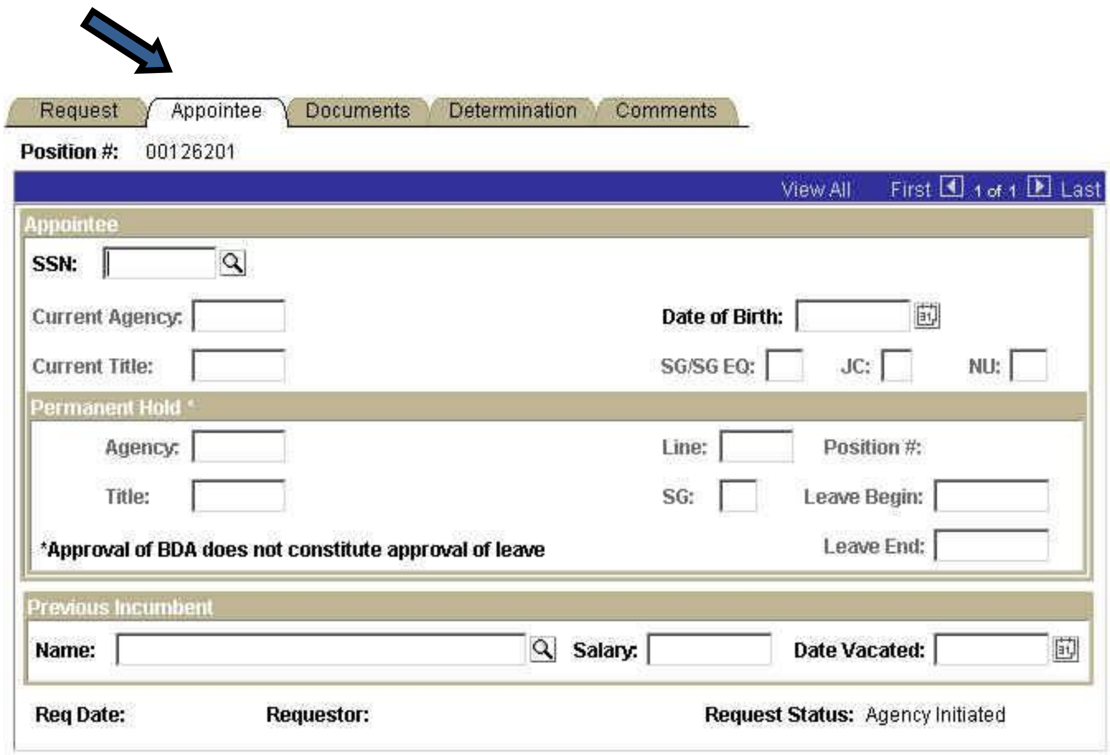
If applicable, enter the date and amount of the last increase to the position in the **Last Incr. Date and Last Incr. Amount** fields.

Enter the salary of the most current employee in the **Curr Inc Salary** field.

Tab to the **Requested Salary** field and enter the amount. If there is a range for the position, the requested salary must be within that range. If the salary is an hourly salary, the hourly rate must be $20.00 or more per hour.

The **Salary Change $** and **Salary Change %** fields will populate.

Click on the "Appointee" tab.

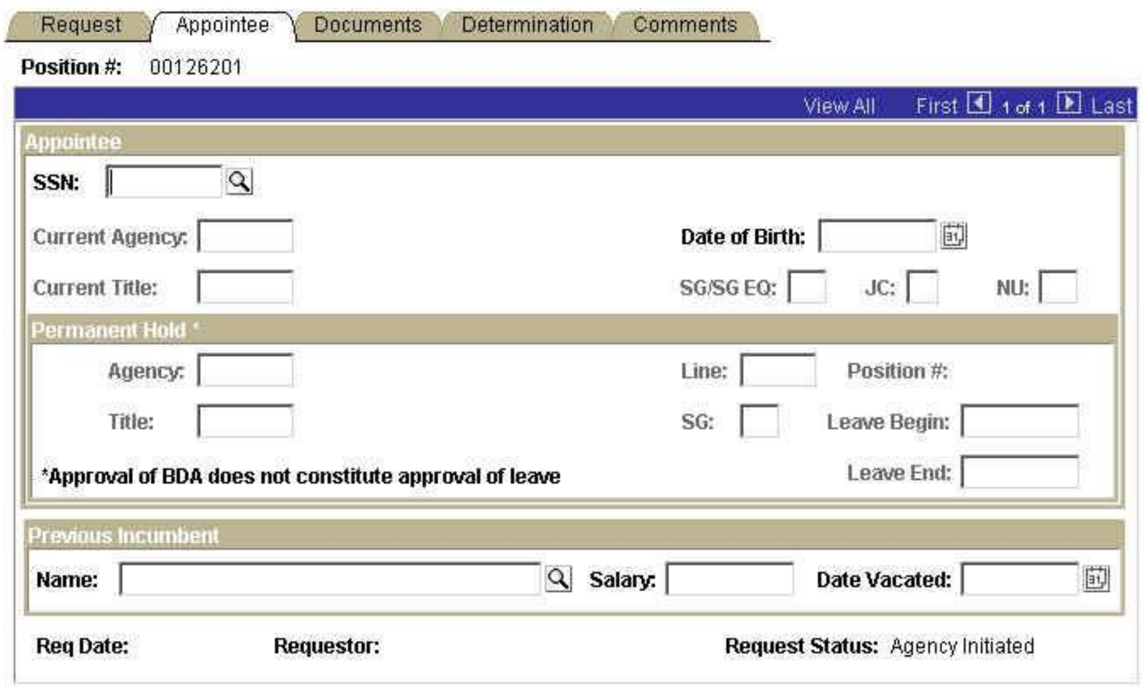


The Appointee page will display.

Work with the Page – The APPOINTEE Tab

The Appointee page will display differently depending on the "request type" entered on the Request tab. In the case of an "original appointment" none of the Appointee fields will populate. For all other types of requests, some or all of the Appointee fields may be populated with information associated with the social security number entered for that individual.

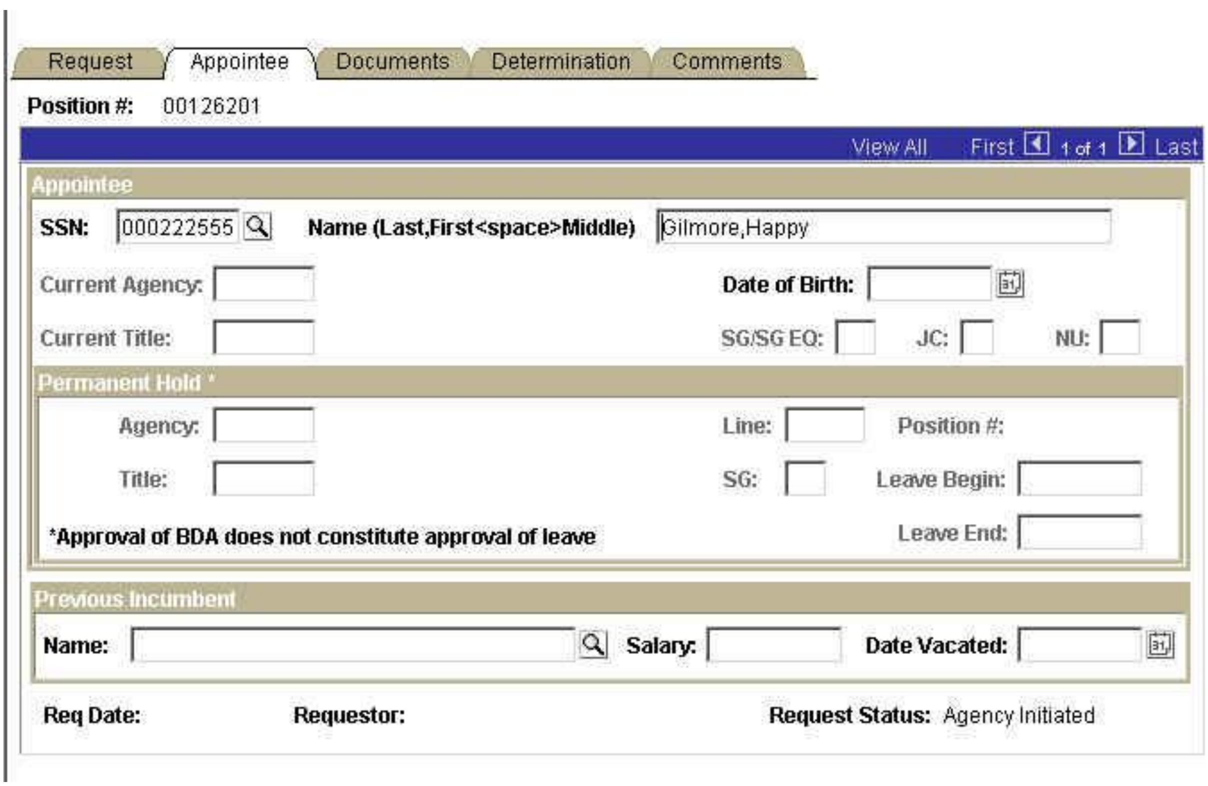
1. If this is an **original appointment**, enter the Social Security number (required field) of the intended appointee and tab out of the field. The Name fields will open for data entry.



The Name Page will display.

2. Enter the values for first, middle and last name as well as any suffix such as "Sr.", etc. Click OK and the Appointee tab will be open once again with the individual's social security number and name filled in.

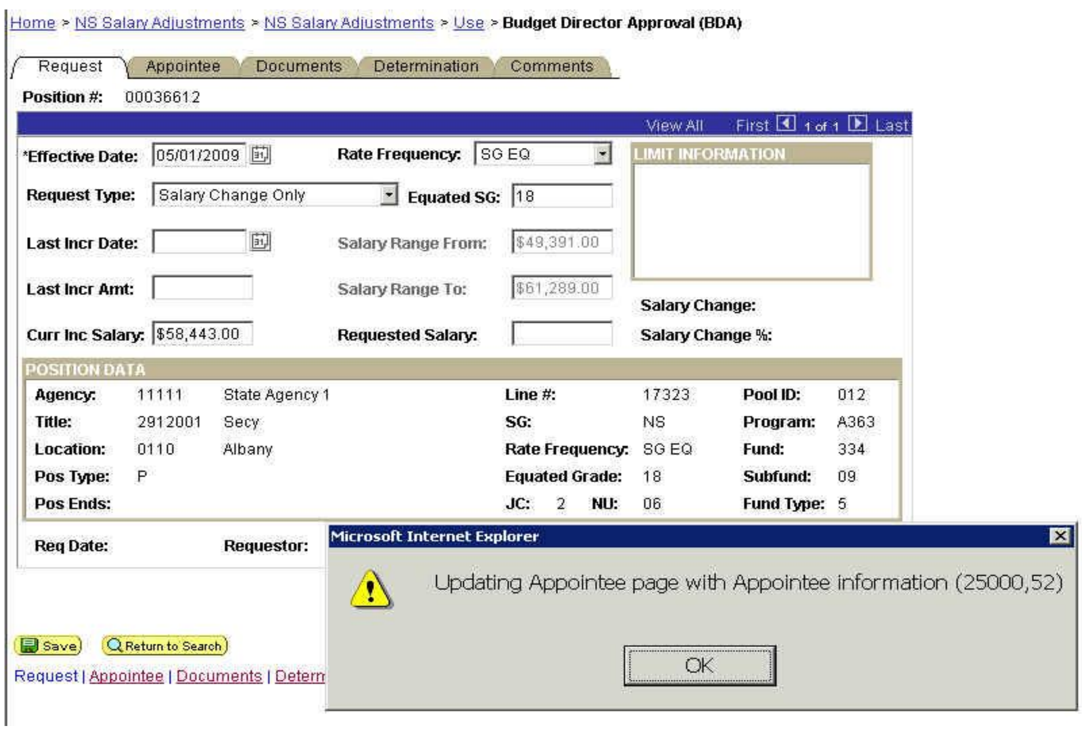
3. Enter the date of birth of the appointee. All of the remaining fields in the Appointee and Permanent Hold sections will grey out because a new state employee would not have a record with another state agency, or a hold item in a state agency.



4. If necessary, add the name of the previous incumbent. You may type it in or choose from a list by clicking the search icon. Choose a name from the list and the system will return you to the Appointee page. Once a previous incumbent's name is entered, the previous salary and date of vacancy fields must also be completed.

5. If the request type is **Re-Entry,** enter the social security number of the appointee and the appointee name and date of birth will display. Permanent hold fields will grey out since the person would not currently have a hold item. Continue with the Previous Incumbent information entry.

6. In the case of **Change in Position (same agency), Change in Salary Range, Salary Change and Transfer**, the appointee page will update with the current incumbent information, displaying the following message:



When you have completed the Appointee information, click on the **Documents** Tab.

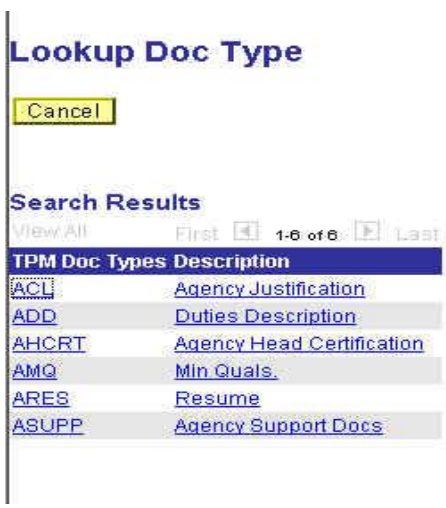
NOTE:	For the BDA transaction, appointee information can only be retrieved back to July, 1998,

Work with the Page – The DOCUMENTS Tab

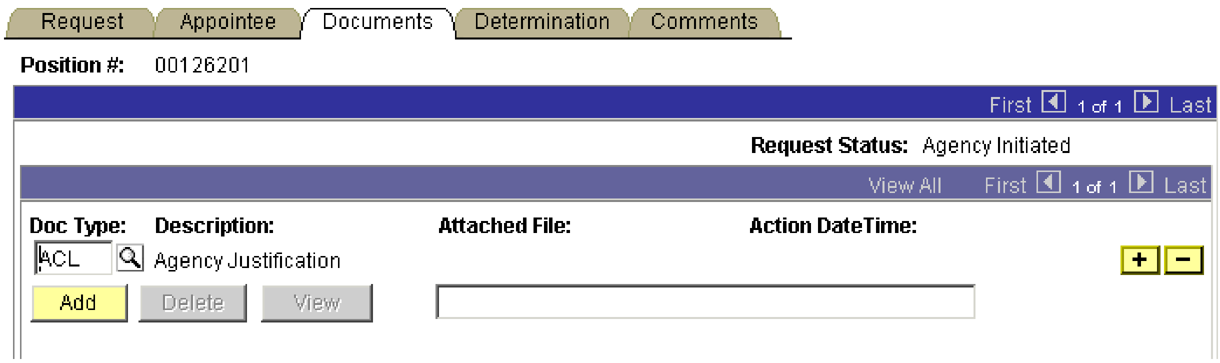
The BDA request, as with most NYSTEP transactions, has certain document attachment requirements. These requirements are described below.

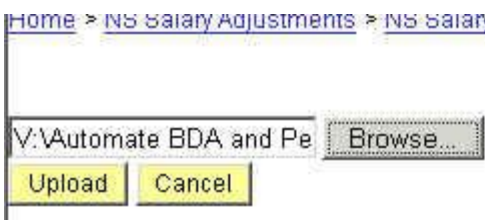
1. Click the **Documents** tab.
   The Document attachment screen will display.

2. Click on the lookup icon. The list of document types will display:



3. Click on the **Agency Justification** document type. Click on **Add**. Click on **Browse** (unless you wish to type in the location of the file).





4. Click on **Upload**. Click **OK** when prompted. The document will be attached to the request.

5. Continue attaching the remaining documents. The **Agency Head** Certification document should be similar to that used for the Agency Hiring Report Certification

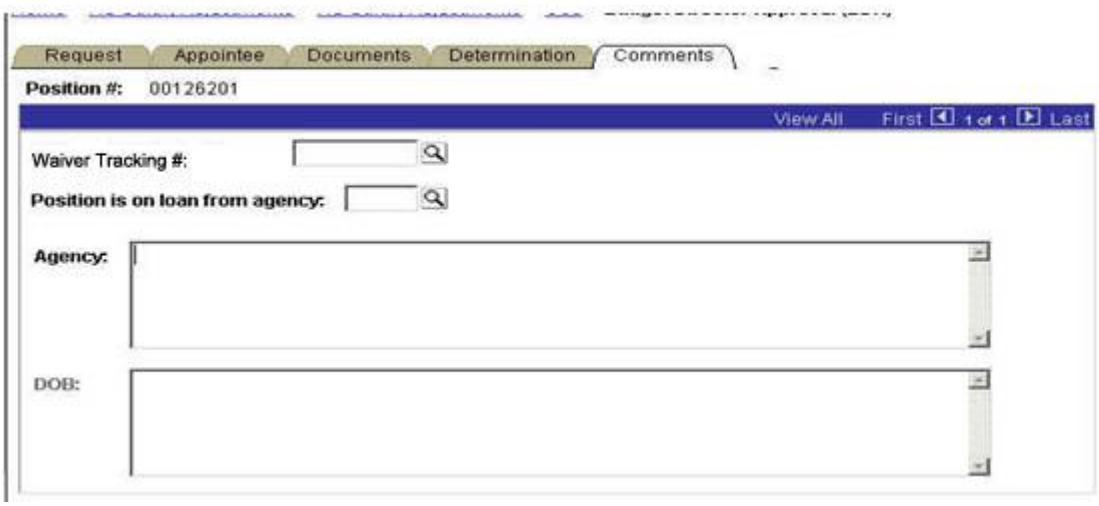
and should be in the name of the individual designated in your agency to approve BDA request submissions.

6. You may attach additional documents using the **ASUPP** document type. Once you have completed document attachment, click on the **Comments** tab.

NOTE: All of the documents are <u>required</u> with the exception of the “ASUPP” attachment. The system will allow attachment of the same *document* as a different *document type*. For example, if the Agency Justification contains information that also fulfills the “Minimum Quals” requirement, that document can be attached twice – once as the Agency Justification and again as the Minimum Quals document.

Work with the Page - The COMMENTS Tab

1. Although documents justifying the request are required, an entry on the **Comments** tab is also advisable.



Enter your comments in the Agency field. Although not required, if a waiver request has already been created, whether at "Agency Requested" or "DOB Approved" status, enter the tracking number for the waiver. The system will create a hyperlink to the waiver transaction.

If the position is on loan from another agency, enter the agency code for the loaner agency in the field. When you have completed these entries and your comments, click on the **Documents** tab and press the **Submit** button. The transaction will be routed to either the Governor's Appointments Office (GAO) or Division of Budget depending on where the agency's BDA requests are reviewed and approved.

NOTE: Similar to compensation adjustments, BDA transactions do not have tracking numbers. The agency and item, or the position number, are used to create and search for BDA transactions.

WARNING: BDA transactions for agencies that are not reviewed by the GAO will route directly to DOB.

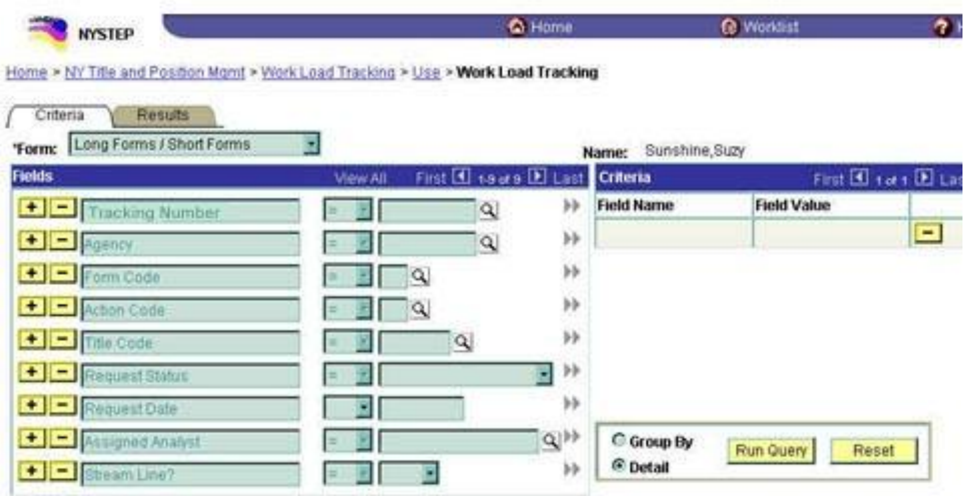
BDAs and Workload Tracking

The status and movement of BDA transactions can be viewed through the Workload Tracking module. Results of a BDA search can also be exported to an Excel spreadsheet for additional sorting and filtering options.

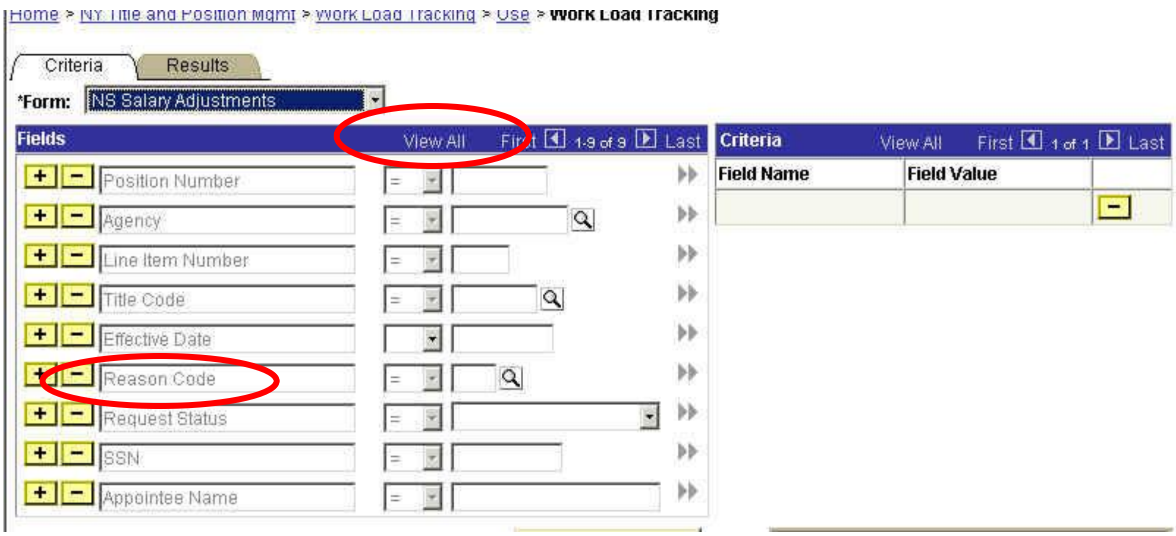
Access the Page

1. Click **NY Title and Position Mgmt**., **Work Load Tracking, Use, Work Load Tracking**.

   A Search Dialog Box will display

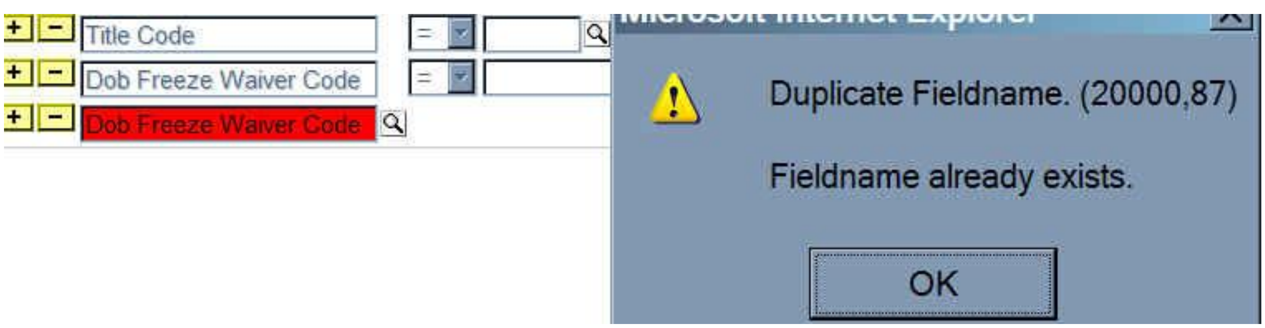


2. Using the dropdown on the **Criteria** tab, next to **Form**, click on **NS Adjustments.**



3. Select the **Field**(s) to search by. In the appropriate field, enter the necessary data or click  and select the BDA reason code(s). Press **Tab**.

4. Before attempting to add a search field to the table, be sure to check the "View All" link to make certain you are seeing all the fields already in your field selection group. If you attempt to add a field that is already there, but is hidden, an error message will display:



NOTE: See Chapter 15, Managing the Workload, for detailed instructions on using both Workload Tracking and Worklist.

Position Summary

Access the Page

WARNING: BDA transactions **do not have tracking numbers.** To view previous compensation or BDA actions on the same position, click Return to Search and in the **Position Number** field, enter the position number and press **Search**. Use the right hand scroll bar to view previously completed actions.

1. For users with TPM only access, click **NY Title and Position Management**, **DOB Exemptions and Waivers, Inquire**, **Position Summary**.
2. For users with PER only access, click **NY Personnel Management, Incumbent Change Request, Inquire, Position Summary/**
3. In the **Position Number** field enter the position number Click **Search**.
   The Position Summary page will display.
4. Look for the row with the action/reason of **BDA.** That row will display the approved change made to the compensation of the position in the same format as all other TPM actions are displayed on **Position Summary**. (If the transaction was not approved or errored for any reason, no row will appear.)

NOTE: An Action Reason of "**GSI** or **NSA**" is also considered an NS Adjustment but represents a change in rate due to a general salary increase or a performance advance for an MC position.

Warning: Position Summary will Only show BDA actions that have an effective date of six months retroactive to system date, or later.

OR

You may use the **Position Summary** hyperlink on the BDAs page to toggle to Position Summary and view the transaction row. To return to the transaction, close the Position Summary window by clicking on the **X** in the upper right hand corner.

Troubleshooting/Help

If there is a problem with the effective date on a BDA transaction that has already been submitted but not yet acted on by the Division of Budget (the status is “Agency Requested”), please contact your *Division of Budget examiner***.** ***The effective date is the only field*** *on a submitted transaction that your examiner can change*; no other information on the request can be altered by your examiner.

In cases where the BDA action has been approved by DOB, but the request status on the page indicates “DOB corrections”, no update to NYSTEP occurred. This is usually because the BDA has an earlier effective date than that of an existing NYSTEP transaction. These transactions are flagged and corrected by DOB staff. No further agency action is required.

In the event that a BDA request requires some other modification, was made in error, has incorrect information other than the effective date, must be “backdated” prior to the date of an already existing adjustment, or has some other defect, please call the Division of Budget Help Desk at 518/486-HELP.

BDA Page Field Descriptions

REQUEST TAB

Field	Description
Position #	The 8-digit NYSTEP position number of the item being affected.
Effective Date	The date the change to the position is to become effective.
Rate Frequency-	The way the compensation for the position is expressed; i.e. Annual, Hourly, Not to Exceed, or Salary Grade Equated (SG EQ).
Action Reason	**BDA** populates
Equated Grade	A rate equivalent to a salary grade in the classified service for an NS position, fixed by the Director of the Budget.
Limit Required **Shared**	Placing an “x” in this box enables the agency to create further detail on how the position will be compensated. This checkbox will be available **only** if the Rate Frequency is ‘Not to Exceed’ or ‘Hourly’.
Limit Amount	**The maximum amount that may be expended per Limit Basis** (see “Limit Basis” below). This information is for agency and Division of Budget information only and does not update either the NYSTEP or PayServ record for the position. The field is intended to track historical changes to the Limits if applied. If Limit Amount is entered, a Limit Basis will be required. Field is hidden until the Limit Required checkbox is marked and Rate Freq. is either Not To Exceed or Hourly.

Field	Description
Limit Basis	**The basis on which the Limit Amount is to be applied** (i.e. Limit Amount is $250.00 and Limit Basis is "per case" indicates that the maximum amount to be expended on a single case is $250.00). This information is for agency and Division of Budget information only and does not update either the NYSTEP or PayServ record for the position. The field is intended to track historical changes to the Limits, if applied. If Limit Basis is entered, a Limit Amount will be required. Field is hidden until the Limit Required checkbox is marked and Rate Freq. is either Not To Exceed or Hourly.
Limit Number	**The maximum number of occurrences of the Limit Basis** (i.e. Limit Basis is per case, and Limit # is "25" indicates that compensation should be made for a maximum of 25 cases This information is for agency and Division of Budget information only and does not update either the NYSTEP or PayServ record for the position. The field is intended to track historical changes to the Limits, if applied. This field is optional. Field is hidden until the Limit Required checkbox is marked and Rate Freq. is either Not To Exceed or Hourly.
Request Type	Choose the type of action being requested from the dropdown.
Last Incr Amount	Optional field for entering the dollar amount of the last increase to that position's rate.
Last Incr Date	Optional field for entering the date of the last rate increase.
Curr Inc Salary	Enter the salary of the individual currently occupying the position.
Salary Range From	For Not to Exceed positions, enter the base salary for the position.
Salary Range To	For Not to Exceed positions, enter the ceiling salary for the position.
Requested Salary	Enter the amount being requested for the position. If the position is an SG EQ position, the salary must be within the salary schedule range. If it is an Annual position, the salary must be the same as the payroll transaction in Payserv. For Hourly rates, enter the maximum (ceiling)

Field	Description
Salary Chge %	The change of the requested salary compared to the current incumbent salary as a percent.
Salary Chge $	The change of the requested salary compared to the current incumbent salary as a dollar value.
Agency	The Agency Code and associated descriptor requesting the transaction.
Line #	The line number of the position affected.
Title	The title code of the position.
SG	The salary grade of the position.
Location	The Location code and geographic description of the position.
Rate Frequency	The way the compensation for the position is expressed.
Duration Cd	Indicates whether the position is **P**ermanent, **T**emporary or **S**easonal.
End Date	If the position is Temporary or Seasonal, the date the position becomes inactive.
SQ EQ	A rate equivalent to a salary grade in the classified service for an NS position, fixed by the Director of the Budget.
Agency User	The agency staff person that last saved or submitted the request.

Field	Description
Request Status	Where the transaction is in the approval process. Associated values are: **AI** Agency Initiated (saved but the Submit button not pressed) **AR** Agency Requested (Submit button has been pressed) **A** Approved **DW** Division of Budget withdrawn **D** Division of Budget denied **DI** Division of Budget initiated (hidden for agency users) **DR** Division of Budget Requested (Submit button pressed) **GAO Approved** Request has been approved at GAO **GAO Denied** Request denied by GAO **GAO Withdrawn** Request returned to agency by GAO

Position Data	The area of the page that shows the latest position information taken from the NYSTEP Position Summary page.

APPOINTEE Tab

Field	Description
SSN	The 9-digit social security number of the individual to be appointed to the position. (Neither the GAO nor DOB will be able to see SSN.)
Name	The first, middle and last name with any suffix of the proposed appointee.
Date of Birth	The month, day and year of birth of the proposed appointee. (This will be viewable by the GAO; not by DOB.)

Field	Description
Curr Agency	For other than Original Appt or Re-entry, the agency in which the appointee is currently serving.
Curr Title	For other than Original Appt or Re-entry, the title in which the appointee is currently serving.
SG/SG EQ	The salary grade or its equivalent of the position.
JC	The jurisdictional class of the position.
NU	The negotiating unit of the position.
Perm hold - Agency	If a current employee, enter the current agency code.
Perm hold - Line	Enter the item number of the permanent hold.
Perm hold - Title	Enter the title code of the permanent hold line.
Perm hold - SG	Enter the salary grade of the permanent hold line.
Leave Begin	Field for entering the beginning date of leave from the hold item.
Leave End	Field for entering the end date of leave from the hold item.
Previous Incumbent – Name	Optional field for entering the name of the previous incumbent.
Previous Incumbent – Salary	If previous incumbent name is entered, required field for salary of previous incumbent.
Previous Incumbent – Date Vacated	Date previous incumbent vacated the position.

DETERMINATION Tab

Field	Description
Rate Frequency	The way the compensation for the position is expressed.
Salary Range From	For Not to Exceed positions, displays the base salary for the position.
Salary Range To	For Not to Exceed positions, displays the ceiling salary for the position.
Requested Salary	Displays the amount being requested for the position. If the position is an SG EQ position, the salary must be within the salary schedule range. If it is an Annual position, the salary must be the same as the payroll transaction in Payserv. For Hourly rates, displays the maximum (ceiling) hourly salary.
GAO Determination - Action	Approve, Deny, Withdraw
Effective Date	Date position action takes effect.
GAO Determination Date	Date of determination
GAO User	GAO individual that last worked the transaction.
DOB Determination-Action	Approve, Deny, Withdraw
Effective Date	Date position action takes effect.
DOB Determination - Date	Date of determination
DOB User	DOB individual that last worked the transaction
Request Status Date	Date the current status (Approved, Denied) occurred.
Requestor	Name of the individual that last accessed the transaction

Request Status	AD Agency Denied AI Agency Initiated AR Agency Requested DA DOB Approved DD DOB Denied DW DOB Withdrawn GA GAO Approved GD GAO Denied GW GAO Withdrawn NOTE: GAO AND DOB cannot see status of “AI” or “AD”
Submit	

COMMENTS Tab

Field	Description
Waiver #	When a waiver has been created or approved, displays the tracking number to create a link to the waiver.
Loan agency	If the position is on loan from another agency, displays the agency code of the loaning agency.
Agency Comments	Agency staff comments regarding the transaction.
GAO Comments	GAO staff comments NOTE: GAO comments are not viewable by other entities
DOB Comments	DOB staff comments

NOTE: All data and examples used in this user guide are fictional and do not reflect any individual’s employment or personal information.