

# Appendices

## **Topics**

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## Transaction Description

### Short Forms

#### *New Position/Extension*

Code	Description
1A - 13	Position Extension
1A - 31	New Position, Existing Title

#### *Reclassification*

Code	Description
2A - 71	Reclassification, Existing Title
2A - 72	Reclassification, Existing Title, Line Change
2A - 73	Reclassification, Existing Title, Line/Location/Agency Change Note: requires change in agency code (roll-up only)
2A - 74	Line/Location/Agency Change Note: cannot be used solely to change Pool ID

#### *§131.1a Salary Adjustments*

Code	Description
IM	Increased Minimum (New Employee)
EQ	Salary Equality (Existing Employee with Equivalent Qualifications)

### Long Forms

#### *New Position/Extension*

Code	Description
4N - 11	New Position, Existing Title
4N - 12	New Position, New Title
4N - 13	Position Extension

***Reclassification***

<b>Code</b>	<b>Description</b>
<b>4R - 01</b>	Reclassification, Existing Title
<b>4R - 02</b>	Reclassification, New Title
<b>4R - 03</b>	Reallocation
<b>4R - 04</b>	Title Structure Change, Existing Title at Same Grade
<b>4R - 05</b>	Title Structure Change, New Title at Same Grade
<b>4R - 06</b>	Title Structure Change, Existing Title, Reallocation
<b>4R - 07</b>	Title Structure Change, New Title, Reallocation
<b>4R - 41</b>	Reclassification, Existing Title, Line Change
<b>4R - 42</b>	Reclassification, New Title, Line Change

***§130 Salary Differentials***

<b>Code</b>	<b>Description</b>
<b>§130.4</b>	Increased Hiring Rate (Impracticable to Recruit)
<b>§130.6</b>	Shift Pay Differential
<b>§130.7</b>	Geographic Pay Differential

## Request Status

The Request Status defines where a transaction is in the approval process. Request Status is used for security, workflow, and enforcing business rule edits. A multi-sequence transaction may have each sequence in a different status at any given point in time. The status of a sequence will change as different role users take action on that sequence. Below is a definition of each possible Request Status.

### *Request Status Descriptions*

Request Status	Description
<b>Agency Approved</b>	This only applies to Agencies: 07950 – Housing Finance Agency, 11340 – Teachers Retirement, 55020 – Bridge Authority, 55090 – Thruway Authority, 55095 – Canal Corporation, 00640 – Insurance Fund, who do not require DOB approval for certain transactions. When one of these Agencies submit a BD-98 or 2A-74, it automatically changes to Agency Approved.
<b>Agency Initiated</b>	When an Agency enters a new request, the request has a status of Agency Initiated until it has been submitted. When the transaction is in this status, the Agency can still change values in fields on the request panel and can attach or delete documents. An Agency can save the transaction, and if they do not submit, leave the record and return at any time and still make changes. The transaction will never be in this status again after it has been submitted. If a Request should remain at a status of Agency Initiated for more that 60 days, then the status of the request changes to Sunset.
<b>Agency Submitted</b>	At the time the agency clicks the Submit button, providing all required documents are attached and all edits are passed, the transaction becomes Agency Submitted and will appear on the worklist at C&C (or DOB if the transaction is a 2A -74). The Agency can still view the transaction using the menus through update/display or through workload tracking; however all fields are grayed and documents may no longer be deleted or attached. The agency may view any document they have attached. The agency may also view the funding and comments panels. They may not view the determination panel during this status.

Request Status	Description
<b>Pending DOB Determination</b>	When C&C approves a transaction, the status changes to Pending DOB Determination. The status will read as 'Pending DOB Approval' so that the agencies do not mistakenly think the approval is final. If the transaction has been streamlined, the status will change to DOB Approved. The request panel is gray to all role users. Agencies can access using the menus, can view documents they are allowed to view, may not attach or delete documents, and may view the determination, funding and comments panels. They cannot make comments during this status. C&C can also only view panels during this status. C&C may always attach documents. If the transaction is not streamlined, it will appear on DOB's worklist. If DOB does not make a determination within 180 days, the status of the transaction changes to Sunset.
<b>C&amp;C Supplemental Info requested</b>	When C&C returns a transaction to the Agency for additional information, the status becomes C&C Supplemental Info Required. The request panel is gray to the Agency, but they may attach documents. The determination panel is hidden from the Agency. The Agency may view comments and funding panels. The transaction will appear on the Agency worklist during this status. DOB may view the request, documents, funding and comments panel, but may not view the determination panel during this status.
<b>C&amp;C Initiated</b>	Occurs when C&C initiates a transaction on behalf of an Agency or enters a statewide transaction. Only C&C may view panels when a transaction is in this status.
<b>C&amp;C Disapproved</b>	When C&C denies a transaction, the status becomes C&C Disapproved. All panels are gray and may be viewed by C&C, DOB and Agency. Only C&C may attach documents in this status. The transaction will appear on the Agency worklist to inform them of the denial.
<b>C&amp;C Submitted</b>	When C&C initiates a transaction and routes it internally within C&C, the status is C&C Submitted. C&C may attach and delete documents and they are all restricted from view by all role users other than C&C. The transaction is on the worklist of the C&C person to whom the transaction was routed.
<b>C&amp;C Withdrawn</b>	When C&C withdraws the transaction on behalf of the agency it appears on the Agency worklist. The request panel is open for the Agency to change, attach documents, make comments and return to C&C. After a transaction has been withdrawn for more than 60 days, its status changes to Sunset.
<b>DOB Approved</b>	The transaction has received final approval from DOB and all panels are grayed to all users. Only C&C can add a document when the status is DOB Approved.

Request Status	Description
<b>DOB Initiated</b>	Applies only to BD-98 and 2A - 74 when DOB initiates these transactions.
<b>DOB Disapproved</b>	When DOB denies a transaction. All panels are grayed and only C&C can add documents.
<b>DOB Withdrawn</b>	When DOB withdraws a transaction on behalf of the agency. All panels are grayed; except that C&C can modify the determination panel and only C&C can add documents. The transaction appears on C&C worklist. If it is a 2A-74, it goes back directly to the Agency and the request can be modified and resubmitted.
<b>Discard</b>	When a transaction was entered in error or is no longer needed, it may be reset by the C&C Corrections Unit to this status. This allows the line number(s) to be reused.
<b>Sunset after Agency Initiated</b>	If a transaction is Agency Initiated for more than 60 days, it goes to this status and all panels are grayed.
<b>Sunset after C&amp;C Withdrawn</b>	If a transaction is C&C Withdrawn for more than 60 days, it goes to this status and all panels are grayed.
<b>Sunset after C&amp;C Approved</b>	If a transaction is C&C Approved for more than 180 days, it goes to this status and all panels are grayed.
<b>Sunset after DOB Withdrawn</b>	If a transaction is DOB Withdrawn for more than 60 days, it goes to this status and all panels are grayed.
<b>Converted Sunset records</b>	Transactions that sunset before conversion to the redesigned TPM system will be in this status.

## Agency System Required Documents for Long Form Transaction Processing

Transaction	Required Documents
<b>4N - 11</b>	Agency Justification, Duties Description
<b>4N - 12</b>	Agency Justification, Duties Description or Standard
<b>4N - 13</b>	Agency Justification
<b>4R - 01</b>	Agency Justification, Duties Description
<b>4R - 02</b>	Agency Justification, Duties Description or Standard
<b>4R - 03</b>	Agency Justification
<b>4R - 04</b>	Agency Justification, Duties Description
<b>4R - 05</b>	Agency Justification, Duties Description or Standard
<b>4R - 06</b>	Agency Justification, Duties Description
<b>4R - 07</b>	Agency Justification, Duties Description or Standard
<b>4R - 41</b>	Agency Justification, Duties Description
<b>4R - 42</b>	Agency Justification, Duties Description or Standard
<b>§130</b>	Agency Justification



**NOTE:** The NYSTEP system requires the above attachments and will not forward a transaction lacking the appropriate documentation. However, individual C&C Analysts may require additional documentation. Please continue to follow the current policies set by your agency's Analyst.



**NOTE:** If a Long Form transaction has the Negotiating Unit or Jurisdictional Class check box marked, appropriate supporting documentation must be attached. If the Minimum Qualifications check box is marked, they can be attached as a separate document or incorporated into the Duties Description.

## Agency System Required Documents for Short Form Transaction Processing

Transaction	Required Documents
1A	All Documents Optional
2A	All Documents Optional
§ 131.1a	All Documents Optional



**NOTE:** The NYSTEP system does not require the submission of documentation for Short Form transactions. However, individual C&C Analysts may require additional documentation. Please continue to follow the current policies set by your agency's Analyst.



**Document Type Values**

<b>Document Type Value</b>	<b>Description</b>
<b>ACL</b>	Agency Justification (Cover Letter)
<b>ACSCA</b>	Agency CSC Appeal Letter
<b>ADD</b>	Duties Description
<b>AJC</b>	Agency JC Letter
<b>ANU</b>	NU Justification
<b>AMQ</b>	Min Quals
<b>ASJ</b>	Salary Justification (Graded)
<b>AOC</b>	Organizational Chart
<b>ASPEC</b>	Spec or Standard
<b>ARCLT</b>	Agency Reconsideration Letter
<b>ASUPP</b>	Agency Support Documents (1-99)
<b>CDENY</b>	Denial Letter
<b>CWITH</b>	Withdraw Notification
<b>CAPPC</b>	C&C Approval with Change Letter
<b>CAI</b>	Additional Info Letter
<b>CAPPR</b>	C&C Approval As Is w/Letter
<b>OPJCA</b>	Commission JC Acknowledge Letter
<b>OPJCD</b>	Commission JC Determination
<b>OPAAL</b>	Commission Appeal Acknowledgement Letter
<b>OPAD</b>	Commission Appeal Determination

## Position Summary Codes

Code	Description
<b>ABL</b>	Abolish Position
<b>CSC</b>	Civil Service Commission Action
<b>DOB</b>	Division of Budget Action
<b>EAR</b>	Earmark Action
<b>EXT</b>	Temporary/Season Position Extension
<b>GSI</b>	General Salary Increase
<b>INA</b>	Inactivation (Position Expired)
<b>MOV</b>	Position Move
<b>NEG</b>	Negotiating Unit Change
<b>NEW</b>	New Position
<b>NSA</b>	Non-Statutory Salary Adjustment
<b>PER</b>	Personnel Action
<b>RAL</b>	Reallocation of Grade
<b>RCL</b>	Reclassification of Title
<b>TSC</b>	Title Structure Change

## DOB Waiver Codes

Code	Description
<b>R</b>	Restricted Waiver- Internal hire or transfer. Applies to NS and BDA also.
<b>U</b>	Unrestricted Waiver- External hire where internal hire or transfer unlikely/unavailable. Applies to NS and BDA also.
<b>G</b>	General Waiver- Original waiver has been reapplied with <u>original</u> expiration date. Occurs when incumbent vacates via separation from all state service.
<b>N or Blank</b>	No Waiver exists on the position or the waiver expired after its 121 <sup>st</sup> day.



**NOTE:** When hiring freeze waiver expires because its 120 day life has passed, or is removed, (regardless of type (U or R)), the Action/Reason on Position Summary will always read DOB.

**NYSTEP Exemption Codes**

Code	Description
Y	Yes- The position is still covered by the hiring freeze.
N	No- The position has been exempted from the hiring freeze.