Chapter 2

Managing the Workload

Chapter Topics

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Accessing a Request

To give the NYSTEP user the greatest flexibility possible in pulling information from the system, several different approaches that allow the user to access a transaction have been developed – Find an Existing Transaction, Work Load Tracking, Worklist, and Transaction Sumry/Go Seq.

Find an Existing Transaction

Just as a User initiates a request through the menu groups at the left side of the screen, a transaction can be retrieved using the same method. Simply follow the applicable menu items through the appropriate menu groups.

Work Load Tracking

Through **Work Load Tracking**, a user can retrieve information about submitted transactions using many criteria, individually or in combination. The criteria available will depend on the transaction type being searched, but some common fields include: **Job Control Number**, **Agency Code**, **Form Code**, **Action Code**, **Request Status**, **Request Date** or **Assigned Analyst**. Users can also order the way the information displays in the **Order By** fields.
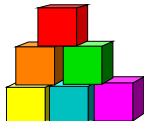
Worklist

Within NYSTEP, transactions are routed automatically to the next level of processing. Depending on the type of transaction being submitted, when an operating agency submits a transaction, it is sent to the Worklist, or electronic "inbox", of the appropriate C&C or DOB staff. In C&C, new requests are usually routed to the appropriate Section Head who then assigns and routes the transaction to staff.

When an operating agency requests that a transaction be withdrawn, it is returned to the Worklist of the individual at the previous level. Any transaction withdrawn by C&C at the Agency's request will return to the Agency. Requests withdrawn by an Agency at the DOB level will return to the C&C Analyst, if applicable. All C&C actions except Approved as Requested are also routed back to the Worklist. No notice is given if the transaction is Approved as Requested.

Transaction Sumry/Go Seq

To expedite the processing of requests, the **Trx Sumry** hyperlink provides the option of viewing or working a transaction at the Job Control as well as the Sequence level. The hyperlink also

gives the user the ability to go directly to a specific Sequence without requiring the use of the navigation bar to move through all the pages of a multi-sequenced request.

Find an Existing Transaction

The simplest and most straightforward way to access a transaction is to go into the request page directly through the menu items and enter the applicable data.

NOTE: While the outline below retrieves a 4N/4R long form transaction, the steps are the same for almost all processes.

Access the Page

1. Click **NY Title and Position Mgmt**, **TPM Long Form Requests, Use**, **4N/4R Transactions**.

   A Search Dialog Box will display

2. Enter as much data as necessary to pull up a transaction. Press **Search**.

   The search can be as broad or as narrow as necessary. Entering the full **Job Control Number** will take the user directly to the requested page. A search can be conducted by entering criteria singly (**Agency**) or in combination (**Agency** and **Action Code**). The more information the tracking system has to define the search, the more focused the results.

   Different fields may appear in the Search dialog box, depending on the type of transaction being retrieved.

Work Load Tracking

NYSTEP includes an easy means by which a user can find the status of any transaction submitted by their agency.

Through **Work Load Tracking**, a user can retrieve information using many criteria, individually or in combination. The criteria available will depend on the transaction type being searched, but some common fields include: **Job Control Number**, **Agency Code**, **Form Code**, **Action Code**, **Request Status**, **Request Date** or **Assigned Analyst**. These data entry fields can also order the way the information displays in the **Order By** fields.

The information is displayed in rows across the page. Clicking the hyperlink on the **Job Control #** at the beginning of the row will call the transaction up in another window.
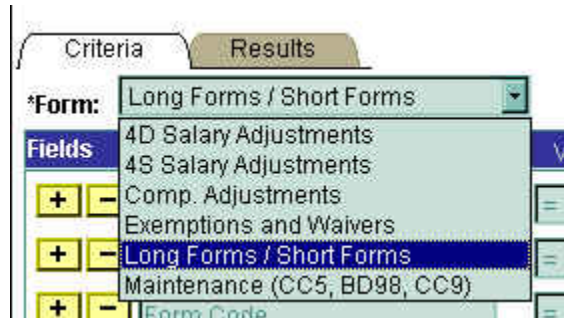
Access the Page

1. Click **NY Title and Position Mgmt**, **Work Load Tracking, Use, Work Load Tracking**.
    A Search Dialog Box will display

NOTE: Field descriptions for this page are found at the end of the Work Load Tracking section.

2. In the **Form** field, click ▼ and select the transaction type.

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

NOTE: The criteria available depends on the transaction type being searched for. The data entry fields can also order the way the information displays in the **Order By** fields.

NOTE: The data search fields can be modified by adding and deleting rows. To add a row, press the ➕ button. Pressing 🔍 will bring up a list of available fields that can be added.

To delete a row, press the ➖ button. A message will appear asking the user to confirm the delete. Press **OK** to delete the row. Despite the message, the row will be deleted immediately upon clicking **OK**.

4. After selecting the data search field(s), click ▶▶ to move that data to the **Criteria** box.

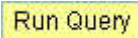**NOTE:** The system has no information with which to search until data fields have been placed in the **Criteria** box. At least one data field must be entered to begin a search.

NOTE: The criteria fields can be modified by adding and deleting rows. To add a row, press the ▶▶ button in the **Fields** box. To modify a field, press the ◀◀ button to remove it from the criteria. It can then be modified in the

Fields box and placed back into the search criteria.

To remove a field completely, press the [−] button. A message will appear asking the user to confirm the delete. Press **OK** to delete the row. Despite the message, the row will be deleted immediately upon clicking **OK**.

5.   To run the report, select how the report should be organized and click the **Run Query** [Run Query] button. The results can be shown in one of two fashions – by **Group** or **Detail**. **Group** will break down transactions by title code and group them together with a count of the number of transactions. **Detail** will break out the transactions by individual request.

NOTE: Detail Reports that contain less than 100 rows of information will appear at the bottom of the **Criteria** page. If there are more than 100 rows of information, a new page will appear under the **Results** tab. Results of the **Group By** sort are on the bottom of the **Criteria** page.

The results of a **Group** search will show rows of information grouped by title code, and will contain the fields **Agency**, **Agency Name**, **Title Code**, **Job Title**, and **Count**.

Results of a **Detail** search also show rows of data, but the fields in that search will vary with the type of transaction. To access the transaction, clicking the **Job Control #** will call the request up on another page.

The results of a **Detail** search can be sorted in a variety of ways by using the **Order By** fields. Press the [🔍] and select the field by which the results should be sorted. The data can be ordered by three different fields. **Field 1** will order first, followed by **Field 2** and then **Field 3**. Click **Sort** and the data will order as specified.

6.   To run another report, click **Reset** and enter the information for another search.

Criteria Page Field Descriptions

Field	Description
Form	The general type of transaction being requested (e.g., Long Form/Short Form, Comp Adjustments etc.).
Name	The name of the individual making the search.
Fields	The area in which to specify the search fields.
[+]	Insert another row of data to search by.

Field	Description
⬜	Delete a row of search data.
(Data Field Name)	Name of the data field.
(Search Qualifier)	Specifies the condition of the data (e.g. equal to, less than, etc.).
(Data)	Specific data to search for (e.g. Form 4R, Agency 08000, etc.).
⏵⏵ OR ⏴⏴	Places or removes the data into the Criteria box for searching.
Criteria	Specifies exact data name(s)/qualifier to search for.
Field Name	Name of the data field being searched.
Field Value	Specific data being searched for and any qualifying conditions.
⬜	Deletes a row of search criterion.
Group By	Sorts search result data by title code.
Detail	Sorts search result by individual Job Control #.
Run Query	Runs the search.
Reset	Clears and resets all data fields to conduct another search.

Results – Group By Field Descriptions

Field	Description
Agency	Numeric code of the agency.
Agency Name	Alpha description of the agency.
Title Code	Title code for which the transaction is requested.
Job Title	Alpha description of the title.
Count	Number of transactions for that particular title code/description.

Results Page Field Descriptions

Field	Description
Form	The general type of transaction being requested (e.g., Long Form/Short Form, Comp Adjustments etc.).
Name	The name of the individual making the search.
Order by	Displays the search outcome as specified.

Field	Description
Field 1	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.).
Field 2	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.). Secondary sort order.
Field 3	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.). Third level sort order.
Sort	When clicked, arranges the search results in the order specified by the **Order By** fields.
Detail Results – (Description)	The area in which the results of a transaction search is shown.
Job Control #	System generated number that designates and identifies an individual transaction request.
(Data Fields)	Important data fields from the transaction request. What is shown varies with each transaction type.

Using the Worklist

Within NYSTEP, transactions are routed automatically to the next level of processing. Depending on the type of transaction being submitted, when an operating agency submits a transaction, it is sent to the Worklist, or electronic "inbox", of the appropriate C&C or DOB staff. Typically the Section Head assigns and routes new requests to their staff.

When an operating agency requests that a transaction be withdrawn, it is returned to the Worklist of the individual at the previous level. Any transaction withdrawn by C&C at the Agency's request will return to the Agency. Requests withdrawn by an Agency at the DOB level will return to the C&C Analyst, if applicable. All C&C actions except Approved as Requested are also routed back to the Worklist. No notice is given if the transaction is Approved as Requested.

Access the Page

1. Access the NYSTEP Home page.

2. Click **Worklist**
    A Worklist page will appear.

NOTE: Field descriptions for this page are found at the end of the Using the Worklist section.

The **Worklist** is made up of transaction request data grouped by the **Business Process** (i.e. Long Form, Short Form, etc.), its **Activity** (i.e. CC Determin Process LF), and the Worklist (i.e. C&C Approve).

3.   Determine the row the request to be worked is in. Click the Detail button. The individual transaction requests will appear in a **Details** box at the bottom of the page.

The results of a **Detail** search can be sorted in a variety of ways. Press the ▼ at the end of the **Field (1/2/3)** data box and select the field by which the results should be sorted. The data can be ordered by three different fields. **Field 1** will order first, followed by **Field 2** and then **Field 3**. Click Sort and the data will order as specified.

4.   To work an individual transaction request, click **Work It**. The Worklist page will be replaced by the **Transaction Summary** page.

To work an individual sequence, click the **Go Seq** hyperlink. This gives access to only that sequence. To work multiple sequences of a request, click the **Work All Seq** hyperlink. This opens the entire transaction to processing.

To work another transaction without returning to the worklist, click the Next in List OR Previous in List buttons, or click on **View All** and scroll to the appropriate sequence. To return to the worklist, click the Worklist button.

Brief explanatory comments, limited to 30 characters, can be made in the worklist regarding a request. In the **WL Comments** data field, enter any applicable notes. To keep these comments, the Save Comments button must be clicked. Once comments are entered, they cannot be deleted, but they may be edited.

Prior to a request being selected from the Worklist, an item will be marked **Available.** After having clicked the **Work It** hyperlink, the transaction will be marked **Selected** when the Worklist is next accessed.

To clear a transaction from the worklist, highlight the row and click ✔. This will immediately remove the request row from the Worklist.

NOTE: If a transaction is inadvertently marked worked and removed from a worklist, it can still be accessed using the menu items and Find an Existing Transaction. Enter the transaction information into the search dialog box.

**NOTE:**   A C&C User may route NYSTEP transactions to him/herself.

NOTE: Withdrawn transactions are returned to the Requestor and placed on the worklist. The transaction is held in the worklist for a period of 60 days, and then purged from the system. The Requestor can remove the transaction prior to the 60-day sunset by marking the item worked. However, DOB Withdrawn to C&C requests retain that status until C&C takes some action on the request; deleting it from one's worklist does not change the status.

Worklist Field Descriptions

Field	Description
Detail	When pressed, calls up all transactions with common workflow characteristics.
Business Process	The form type of the transaction.
Activity	Describes where the transaction is in NYSTEP workflow.
Worklist	Last action taken against the request.
Count	The number of transactions within each row of the worklist.
Field 1	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.).
Field 2	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.). Secondary sort order.
Field 3	Orders the displayed results by the data field chosen (e.g. Action Code, Title Code. etc.). Third level sort order.
Sort	When clicked, arranges the search results in the order specified by **Field (1/2/3)**.
Save Comments	When pressed saves any comments entered into WL Comments.
Mark Worked	Deletes the transaction from the worklist.
(Available/Selected)	Indicates whether or not the request has been accessed.
Work It	Opens the Transaction Summary page for processing.
Job Cntl N	System generated number displayed upon saving or submitting.
Agency	Numeric code of the agency.
Descr	The name of the Agency.
Frm Cd	The code of the type of transaction being requested; i.e. 4N or 4R.
Actn Cd	The action code related to the form code; i.e. 01, 02, 03, etc.

Field	Description
Reqst. Date	Date the request was submitted.
Available	Date the item became available on the worklist.
Sent From	Individual from whom the request was last routed.
WL Comments	Explanatory notes.
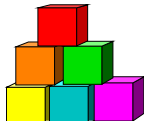
TPM Transaction Summary

To expedite the processing of extensive, multi-sequenced requests, **TPM Transaction Summary** allows a user to go directly to a specific sequence without having to scroll through all the pages of a transaction. The button allows viewing and working of a transaction.

NOTE: While the outline below retrieves an § 130 Salary Adjustment long form transaction, the steps are the same for almost all processes. The dialog box may contain different data for the different types of transactions.

Access the Page

Option 1.

1. Click **NY Title and Position Mgmt**, **TPM Transaction Sumry/Go Seq**, **Use**, **TPM Transaction Summary**.
    A Search Dialog Box will display.

2. Enter the **Job Control Number** or the **Agency** code. Press **Search**. The **Job Control Number** will take the user directly to the **Transaction Summary** page. The **Agency** code will list all the transactions for that agency. Highlight the applicable request and click **OK**. This will take the user to the **Transaction Summary** page.
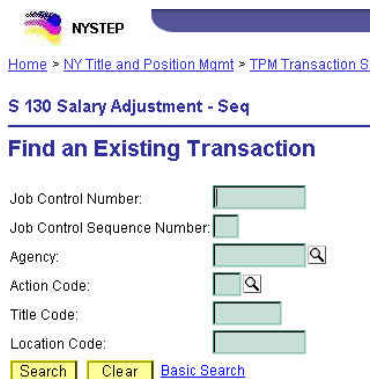
Option 2. Go through **Worklist** to access directly the **Transaction Summary** page.

Option 3.

   1.   Click **NY Title and Position Mgmt**, **TPM Transaction Sumry/Go Seq**. Then click
          Use, S 130 Salary Adjustments – Seq

          A Search Dialog Box will display

   2.   Enter the data necessary to retrieve the transaction request. Press **Search**. Except for
          Job Control Sequence Number, all fields work independently. The **Job Control
          Sequence Number** must be used in conjunction with the **Job Control Number** field.
          The **Agency** and/or the **Action Code** will list all the transactions for that agency.
          Highlight the applicable request and click **OK**. This will take the user to the **Request**
          page.

Option 4.

   1.   Use **Work Load Tracking** to access the specific transaction request. This will take
          the user to the **Request** page.

If an option has been used that does not go directly to the **TPM Transaction Summary** page, click the Trx Sumry button.

The TPM Transaction Summary page appears
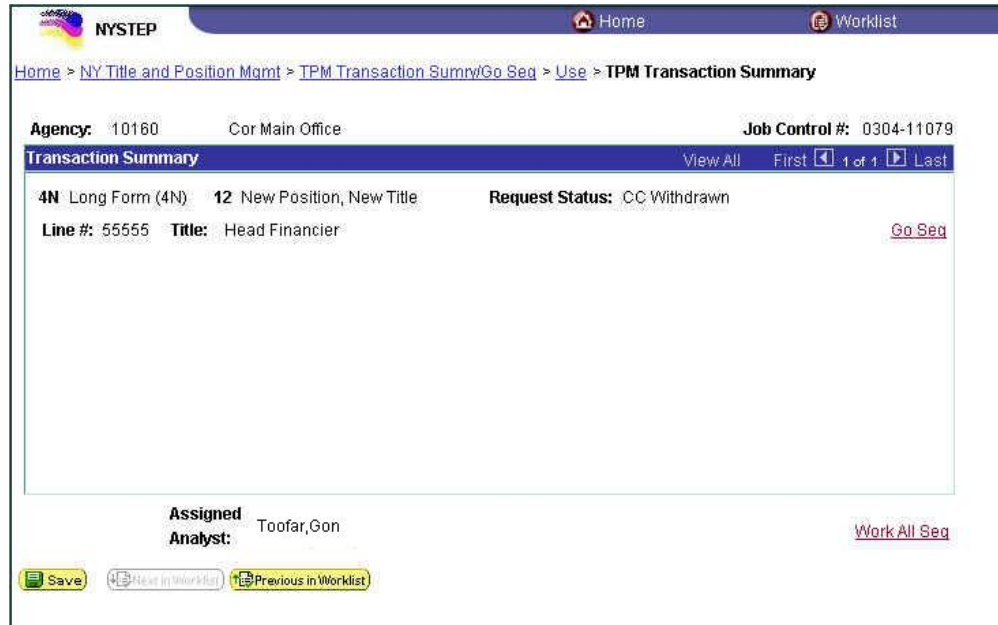
NOTE: Field descriptions for this page are found at the end of the TPM Transaction Summary section.

The **TPM Transaction Summary** page is an information page that is used to transfer the user to the original request page and/or sequence. The user can access all of the sequences within a given request, or go to a specific individual sequence.

The **TPM Transaction Summary** page will display the highlighting data for a specific sequence number within a request. Depending on how the **TPM Transaction Summary** page has been accessed, there may be multiple sequences listed on the page. If there are more than four sequences, the navigation buttons at the top of the Transaction Summary box can be used to access them.

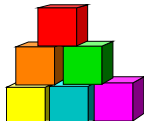If the user would like to work all sequences of a transaction, clicking the Work All Seq hyperlink will open the request and give the User access to all sequence numbers in that request.

To work an individual transaction, click the Go Seq hyperlink on that sequence. This will call up the agency request page for that individual sequence. From there, a user can review the originally submitted request on the **Request** page.

To move on to the next sequence within a transaction, click Trx Sumry to return to the **TPM Transaction Summary** page. Click the Go Seq hyperlink on the desired sequence and continue to work the request.

TPM Transaction Summary Page Field Descriptions

Field	Description
Agency	The Agency Code and name requesting the transaction.
Job Control #	System generated number displayed upon saving or submitting.
Form	The code of the transaction being requested (e.g., 1A, 2A).
Action	The Action Code related to the form code (e.g. 31, 13, etc.).
Request Status	The point the transaction is at in the approval process; i.e. Agency Submitted, C&C Supp. Info Requested, C&C Disapproved, C&C Submitted, C&C Withdrawn, Pending DOB Determination, DOB Approved/C&C Streamlined, DOB Disapproved, DOB Withdrawn, Sunset.
Sequence Number	Indicator of a particular sequence in a transaction request.
Line #	Line number of position or first item in range.
Title	Alphabetic description of the title.
Go Seq	Opens the page for a particular sequence of a transaction.
Work All Seq.	Opens and gives access to all sequences within a request.

Routing a Request

Any user granted security access to the C&C portion of TPM has the ability to route, or re-route, a transaction request. This allows for a Section Head to route a request to the appropriate analyst, an analyst to route to another individual or self for review, or a Unit secretary to route a Short Form transaction request to a Section Head or Analyst.

A member of C&C can route a transaction from any one of three places – the **Request** page, the **CC/DOB Determination** page, or the **Transaction Summary** page.

Route To button

Access the request using any one of the options outlined in the **Transaction Summary** section. The **Route To** Route To button is located at the bottom of the Request, Determination or Transaction Summary pages.

NOTE: Although a transaction can be routed from any one of the three locations, it cannot be submitted until the Section Head or Unit Secretary has assigned an analyst - unless the transaction is C&C Initiated. The C&C determination page can be used for routing only.

Route To button on Determination page

Route To   Submit

Click the **Route To** Route To button. A **Role User** data entry field will appear and the **Route To** button will change to **Route It**.

Appearance of Determination page after clicking Route To

Role User: Route It   Submit
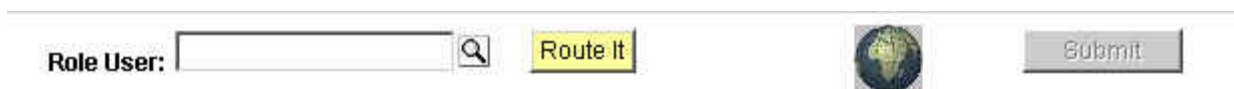
In the **Role User** field, click and choose the name of the individual to whom the request is being routed from the dropdown box. Click the **Route It** Route It button. A message box will

appear asking for confirmation to send the request. Clicking **Yes** will forward the transaction to the individual listed in the **Role User** box.
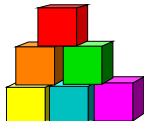
A request cannot be submitted until an analyst has been assigned to it. If the Submit button is clicked prior to assigning one, an error message will appear stating "Assigned Analyst has not been assigned." Clicking **OK** will take the user to the Request page, and the request will have to be routed to the Section Head or Unit Secretary to have an analyst assigned. (See the section on "Assigning an Analyst" in this chapter.)

NOTE: Should the **Assigned Analyst** field have been completed on the request page and subsequently the **Route To** button is used, the name assigned will appear in the **Role User** field as a default. Intended to eliminate data entry, the field can be modified to any value in the drop down box.

Assigning an Analyst

The Assigned Analyst function was designed to provide a means of workload management for C&C.

The **Assigned Analyst** is the individual that has been assigned, as a matter of record, to analyze the request.

The great majority of the time, the **Assigned Analyst** will be the analyst making the final determination. In this case, the **Assigned Analyst** and the Role user will be the same.

At the bottom of the **Request** or **Transaction Summary** page is the **Assigned Analyst** data field.

> *Assigned Analyst field on the Request page*

The name can be inserted by typing it in manually or by using the drop down box. Once the name has been entered, click the **Route To** Route It button.

> *Routing after assigning Analyst and clicking **Route To***

The system will default the **Role User** to the name that is in the **Assigned Analyst** field. This can be changed if necessary. (See the section on "Routing a Request" in this chapter.)

> *Differing **Assigned Analyst** and **Role User***

After clicking the **Route It** ⬚Route It button, a message box will appear asking for confirmation to send the request. Clicking Yes will forward the transaction to the individual listed in the **Role User** box.

Would you like to route this request now?

⬚Yes   ⬚No
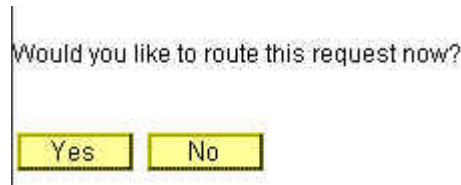
Ideally, the Section Head or Unit Secretary should assign an analyst to the transaction request prior to its being forwarded to the individual who will work the request and make a final decision. A transaction can be routed without an analyst being assigned; however, the transaction cannot be submitted and committed to the system until that assignment has been made.

Agency Submitted Short Form transactions

Agency initiated Short Form transactions are routed to appropriate Unit secretaries within C&C. The Unit Secretary can do a variety of things with the transaction:

- The Unit Secretary can enter a value in this field or can route it to a Section Head without assigning an analyst.

- A Unit Secretary may assign the Analyst, then work it or route it.

- If the Unit Secretary chooses to work the transaction, the Unit Secretary must select the appropriate Section Head as the Assigned Analyst.

- If the Section Head chooses to work the transaction, the Section Head must select himself/herself as the Assigned Analyst.

- The only individuals who can enter a value in this field are the Section Head and Unit Secretary.

- Once the Section Head or Unit Secretary has assigned an analyst and saved, submitted or routed the transaction, this field is grayed and cannot be changed.

- A transaction can never be submitted without this field being populated. If the Unit Secretary (or Section Head) routes a transaction prior to assigning an analyst, the request will have to be routed back to the Section Head to make that assignment prior to submitting the transaction to the system.

Agency Submitted Long Form transactions

Agency initiated Long Form transactions are routed to appropriate Section Heads within C&C. The Section Head can then do a variety of things with the request:

- The Section Head has the option of routing it without assigning an Assigned Analyst.

- A Section Head may assign the Analyst, then work it or route it.

- If the Section Head chooses to work the transaction, the Section Head must select himself/herself as the Assigned Analyst.

- The only individual who can enter a value in this field is the Section Head.

- Once the Section Head has assigned an analyst and saved, submitted or routed the transaction, this field is grayed and cannot be changed.

- A transaction can never be submitted without this field being populated. If the Section Head routes a transaction prior to assigning an analyst, the request will have to be routed back to the Section Head to make that assignment prior to submitting the transaction to the system.

C&C Initiated Transactions

Long Form transactions can be initiated by members of the C&C staff. When requests come through internal channels, the following applies to assigning an analyst:

- The C&C initiator has the option of routing it without assigning an Analyst.

- The C&C initiator may assign the Analyst, then work it or route it.

- A transaction can never be submitted without this field being populated.

- Once a value has been entered and the initiator has saved, submitted or routed the request, this field is grayed and cannot be changed.

- If the initiator has not assigned an analyst, the transaction must first be routed back to the Section Head of the C&C Initiator to assign the analyst before submission.