

Appendices

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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

Increased Minimum (§131.1a)

Code	Description
IM	Increased Minimum (New Employee)
EQ	Increased Minimum (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

Code	Description
4R 01	Reclassification, Existing Title
4R 02	Reclassification, New Title
4R 03	Reallocation
4R 04	Title Structure Change, Existing Title at same grade
4R 05	Title Structure Change, New Title at same grade
4R 06	Title Structure Change, Existing Title, Reallocation
4R 07	Title Structure Change, New Title, Reallocation
4R 41	Reclassification, Existing Title, Line Change
4R 42	Reclassification, New Title, Line Change

Salary Differentials §130 (applied to groups of positions)

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

Request Status

The Request Status defines the stage of approval for a transaction. 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
Agency Approved	This only applies to Agencies: 07950 – Housing Finance Agency, 11340 – Teachers Retirement, 55020 – Bridge Authority, 55090 – Thruway Authority, 55095 – Canal Corporation, 00640 – Insurance Fund (and others as approved by DOB), who do not require DOB approval for certain transactions. When one of these Agencies submits a BD-98 or 2A-74, it automatically changes to Agency Approved.
Agency Initiated	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 change field values on the request page, and can attach or delete documents. An Agency can save the transaction, and if they do not Submit, can leave the record and return at any time to make changes. The transaction will never be in this status again after it has been submitted. If Request should remain at a status = Agency Initiated for more that 60 days, then the status of the request changes to Sunset.
Agency Submitted	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 appears 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 Work Load Tracking; however, all fields are grayed and documents may no longer be deleted or attached. The agency may view any document attached. The agency may also view the funding and comments pages. They may not view the determination page during this status.

Request Status	Description
Pending DOB Determination	When C&C approves a transaction, the status changes to Pending DOB Determination. The status will read as 'Pending DOB Approval' so that agencies do not mistakenly think the approval is final. If the transaction has been streamlined, the status will change to DOB Approved. The request page is gray to all role users. Agencies can access using the menus, can view documents they are allowed to view, and may view the determination, funding and comments pages. An Agency may not attach or delete documents. They cannot make comments during this status. C&C also only views pages 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.
C&C Supplemental Info requested	When C&C returns a transaction to the Agency for additional information the status becomes C&C Supplemental Info Required. The request page is gray to the Agency, but they may attach documents. The determination page is hidden from the Agency. The Agency may view comments and funding pages. The transaction will appear on the Agency worklist during this status. DOB may view the request, documents, funding and comments page, but may not view the determination page during this status.
C&C Initiated	When C&C initiates a transaction on behalf of an Agency or enters a statewide transaction. Only C&C may view pages when a transaction is in this status.
C&C Disapproved	When C&C denies a transaction, the status becomes C&C Disapproved. All pages 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.
C&C Submitted	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, which are 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.
C&C Withdrawn	C&C withdraws the transaction and it appears on the Agency worklist. The request page 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.
DOB Approved	The transaction has received final approval from DOB and all pages are grayed to all users. Only C&C can add a document when the status is DOB Approved.

Request Status	Description
DOB Initiated	Applies only to BD-98 and 2A-74 when DOB initiates these transactions.
DOB Disapproved	When DOB denies a transaction. All pages are grayed and only C&C can add documents.
DOB Withdrawn	When DOB withdraws a transaction. All pages are grayed but C&C can modify the determination page. 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.
Discard	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.
Sunset after Agency Initiated	If a transaction is Agency Initiated for more than 60 days, it goes to this status and all pages are grayed.
Sunset after C&C Withdrawn	If a transaction is C&C Withdrawn for more than 60 days, it goes to this status and all pages are grayed.
Sunset after C&C Approved	If a transaction is C&C Approved for more than 180 days, it goes to this status and all pages are grayed.
Sunset after DOB Withdrawn	If a transaction is DOB Withdrawn for more than 60 days, it goes to this status and all pages are grayed.
Converted Sunset records	Transactions that sunset before conversion to the redesigned TPM system will be in this status.

Agency System Required Documents for Long Form Transaction Processing

Field Descriptions

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



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.



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.

Agency System Required Documents for Short Form Transaction Processing

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



NOTE: The NYSTEP system does not require 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.

C&C System Required Documents for Determination Action Processing

Determination Action	Usual Documents
Approve As Requested	Analysis & Recommend*
Approve As Requested w/ Ltr	Analysis & Recommend* & C&C Approval As Is w/ Letter
Approve With Change	Analysis & Recommend* & C&C Approval w/ Change Letter
Deny	Analysis & Recommend* & Denial Letter
Withdraw	Withdrawal Notification
Return for Additional Info	Additional Info Letter

*Although C&C documents are optional, internal procedures for documentation and notification to agencies should be followed. Short Forms rarely require Analysis and Recommend Document (CANAL). Notification to agency of actions such as 'Withdrawn' may be posted in Comments.

Document Type Values

Document Type Value	Description
ACL	Agency Justification
ACSCA	Agency CSC Appeal Letter
ADD	Duties Description
AJC	Agency JC Letter
ANU	NU Justification
AMQ	Min Quals
ASJ	Salary Justification (Graded)
AOC	Organizational Chart
ASPEC	Spec or Standard
ARCLT	Agency Reconsideration Letter
ASUPP	Agency Support Documents (1-99)
CDENY	Denial Letter
CWITH	Withdraw Notification
CAPPC	C&C Approval with Change Letter
CAI	Additional Info Letter
CAMEM	C&C Appeal Memo
CANAL	Analysis & Recommendation
CAPPR	C&C Approval As Is w/Letter
CJC	C&C JC Memo
CSUPP	C&C Internal Support Documents (1-99)
DPMJC	DPM JC Letter
DSUPP	DOB Support Documents (1-99)
SSJCM	Staffing Services JC Memo
OPJCA	Commission JC Acknowledge Letter
OPJCD	Commission JC Determination
OPAAL	Commission Appeal Acknowledgement Letter
OPAD	Commission Appeal Determination

Position Summary Codes

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

DOB Waiver Codes

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



NOTE: When a 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.