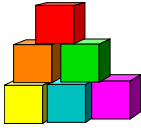


Change an Encumbrance

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Change an Encumbrance

NYSTEP allows agencies to take action directly against a hold item using the **Encumbent Change Request** menu option.



NOTE: These instructions are intended to be used with those Reason Codes found in the *NYSTEP Transaction Reason Code Definitions* section in the *Appendix* that would be valid with Action HLD. To enter other transactions with the Action HLD, see the *Processing an Appoint Leave, Appoint Continue, and the Related Reinstatement* chapter.

1. Click **NY Personnel Management, Encumbent Change Request, Use, Enc Other Transaction Request**

Sample Encumbent Change Request Search Dialog Box

In the search dialog box for an **Encumbent Change Request** enter information for the current hold.

Enter the complete **SSN AND Title Code** for the current hold **AND**



NOTE: If the title code is changing as part of the transaction, the new title code will be entered or displayed on the **Enc Transaction Request 1** page not in the dialog box (i.e. HLD ADV).

Enter either:

- (a) **Position Number** for the current hold

OR

(b) **Agency AND Line Item Number** for the current hold.




NOTE: If the line number is changing as part of the transaction, the new line number is entered on the **Enc Transaction Request 1** page not in the dialog box (i.e. HLD CHO).

Enc Other Transaction Request 1 Page Field Descriptions



NOTE: Not all of these fields will be used with all transactions entered through **Encumbent Change Request**.

Field	Description
Name	The employee's name.
SSN	The employee's Social Security Number.

Field	Description
Empl Rcd#	<p>(Employment Record Number)</p> <p>If an employee is (or was) being paid simultaneously from two or more positions with different titles or status within one agency, OR two positions in different agencies, the record of transactions against each position is retained separately by Empl Rcd# (See the <i>Processing Transactions for Employees with More Than One Employment Record Number</i> section in the <i>Concurrent Appointment Request</i> chapter).</p>
Eff Dt	<p>(Effective Date)</p> <p>NYSTEP defaults Eff Dt to the current system date. This date typically will need to be changed to reflect the date on which the transaction takes/took effect. In NYSTEP, Eff Dt is BOB (beginning of business).</p>
Seq	<p>(Effective Sequence Number)</p> <p>When two or more transactions are submitted for the same employee with the same Eff Dt, each transaction must be assigned an Eff Seq number. This number relays the order in which the transactions take (took) place. The transaction that must take place first is processed as Eff Seq number 0, the second as Eff Seq number 1, and so on. (See the <i>Processing Transactions for Employees with More Than One Employment Record Number</i> section in the <i>Concurrent Appointment Request</i> chapter.)</p>
Action	<p>The action code of the transaction being processed.</p>
Trans Grp	<p>The transaction group code of the transaction being processed.</p>
Reason	<p>The reason code of the transaction being processed.</p>
Agency	<p>(Agency Code)</p> <p>The agency code(s) for which a user may process transactions is linked to user ID and operator class. If an agency is comprised of only one agency code, that agency code and agency name will be supplied on the page and cannot be changed. If an agency group is comprised of more than one agency code, and the user has access to all agency codes within the group, these codes are available on the prompt table and are accessible using the  in the field.</p>
Line #	<p>(Line Item Number)</p> <p>Once the item number has been entered and the user has pressed the Tab key, the position attribute fields are populated: Pos #; Pos Type; Pos End; Loc Cd; Rate (only if H - Hourly); Fund; Loc, TC; JC; SG; NU; and, 55b/55c and Phi Tag indicator if any.</p>

Field	Description
Pos #	The position number assigned to a position at its creation. Does not change throughout the life of the position.
Pos Type	Indicates whether the position is Permanent, Temporary, or Seasonal.
Pos Ends	The date a temporary or seasonal position is to end.
Fund	The fund from which the position is paid: GEN=General Fund Type SRF=Special Revenue, Federal SRO=Special Revenue, Other ENT=Enterprise INT=Internal Service FID=Fiduciary CAP=Capital Service DBT=Debit USP=unspecified
Phi Tag	The field will display P for a noncompetitive position designated as policy influencing or C for a noncompetitive position designated as confidential, or will be blank.
Appt Lvl Change	(Appointment Level Change) This check box is marked to indicate that the position is being filled at a title other than budgeted and a salary grade lower than the budgeted level. If selected, the Appt Lvl Title fields are activated.
Spclty	(Specialty) If active, this field is used to indicate the specialty of a position for which specialties are required such as Teacher, Vocational Instructor and Research Scientist.
Location	The geographic location of the position.
Title	The Title Code and Title of the position. If Appt Lvl Change is not selected, it is also the title code and title of the employee.
JC	The Jurisdictional Class of the position. If Appt Lvl Change is not selected, it is also the JC of the employee.
SG	The Salary Grade of the position. If Appt Lvl Change is not selected, it is also the salary grade of the employee.
NU	The Negotiating Unit of the position. If Appt Lvl Change is not selected, it is also the NU of the employee.

Field	Description
Appt Lvl Title	The Title Code and Title of the employee.
JC	The Jurisdictional Class of the employee.
SG	The Salary Grade of the employee.
NU	The Negotiating Unit of the employee.
Appt Status	(Appointment Status) The values that may display in this field are: Perm for Permanent, Cont for Contingent (Permanent), Temp for Temporary or Prov for Provisional.
FT/PT/VR/HR	(Full-Time/Part-Time/Voluntary Reduction in Work Schedule/Hourly) If this field needs to be changed, use the drop down list to display the values OR type F for Full-Time, P for Part-Time, V for VRWS. When any value other than Full-Time or Hourly is displayed, the % PT/VR/HR data field becomes available. If the position is classified as Hourly and the Rate field is populated with an H , the system automatically completes the FT/PT/VR/HR with Hourly and the field cannot be edited.
PT/VR%	(Percent Part-Time/Voluntary Reduction in Work Schedule) Any number between 1 and 99 can be entered for the part-time percent. A VRWS percent must be entered in increments of five between 70 and 95.
Shift	(Shift) For changes to an encumbrance this field is not used.
Sect 64.1C	(Section 64.1C of NYS Civil Service Law) For changes to an encumbrance this field is not used.
R 5.8	(§5.8 of the Rules for Classified Service) For changes to an encumbrance this field is not used.
Clrnc #	(Clearance Number) For changes to an encumbrance this field is not used.
Appt Lvl Clrnc #	(Appointment Level Clearance Number) For changes to an encumbrance this field is not used.

Field	Description
Appv Ends	(Approved End Date) This field is not available to the user. NYSTEP completes the field with an end date of a temporary service or seasonal position OR with the maximum allowable duration of an appointment, whichever is less. These end dates can be superseded by an end date assigned by DCS.
Prob Min Ends	(Probation Minimum End Date) For changes to an encumbrance this field is not used.
Traineeship Ends	(Traineeship End Date) For changes to an encumbrance this field is not used.
Sep Rsn	(Separation Reason) For changes to an encumbrance this field is not used.
Prob Ends	(Probation End Date) For changes to an encumbrance this field is not used.
Lv Ends	(Leave End Date) For changes to an encumbrance this field will either display a value and be gray or will be blank.

Enc Transaction Request 2 Page Field Descriptions

The top half of the **Transaction Request 2** page displays information captured from **Transaction Request 1**. No data entry is available in this section.

Field	Description
Eligible List	
Type	For changes to an encumbrance this field is not used.
List #	(Eligible List Number) For changes to an encumbrance this field is not used.
Score	(Exam Score) For changes to an encumbrance this field is not used.
Cert #	(Certification Number) For changes to an encumbrance this field is not used.
Vet Credits	For changes to an encumbrance this field is not used.
Source TC	(Source Title Code) For changes to an encumbrance this field is not used.

Field	Description
Submit	<p>(Submit Button)</p> <p>The Submit button subjects the transaction to additional edits and displays any errors or warnings. NYSTEP then transmits the transaction to DCS for review and approval. Once a transaction has been submitted, it can only be viewed. It cannot be changed at the agency level.</p>
Trans Status	<p>(Transaction Status)</p> <p>The information displayed in this field will change as a transaction proceeds through the approval process. The Trans Status values are as follows:</p> <p>Initiated – The agency has begun work on the transaction, OR a transaction has been saved, but not submitted. The status will display as Initiated.</p> <p>Requested – The agency has submitted the transaction to DCS.</p> <p>Approved – The Status Examiner has approved the transaction, but it has been forwarded to the Special Transactions Unit for further processing.</p> <p>Processed – DCS has approved the transaction or the transaction has been virtually approved, and the information has been posted on NYSTEP.</p> <p>Denied – DCS has disapproved the transaction.</p>
Status Dt	<p>(Status Date)</p> <p>The date the displayed Trans Status took place.</p>

Transaction Comments Page Field Descriptions

NYSTEP Home Worklist Reports Help

Home > NY Personnel Management > Incumbent Change Request > Use > Other Transaction Request [New Window](#)

Transaction Request 1 Transaction Request 2 Transaction Comments

Sunshine, Suzy SSN: 222222222 Empl Rcd #: 0

Transaction Data View All First 1 of 2 Last

Agency: 08000 Line: Action: Reason: Eff Dt: 03/24/2004 Seq: 0

Transaction Comments

- Another trans for this emp must be submitted this pp.
- Additional information was sent to on
- Refer transaction to
- Emp obtained license on Emp obtained certification on
- Emp passed performance test on Emp passed phys med on
- Emp has new assignment and new supervisor for 2nd probation.
- Advance based on prior experience to on
- A background check has been completed.
- See certification special transaction number

9. See Transaction for View All First 1 of 1 Last

SSN






Save Return to Search


[<< Back >>](#)

All personnel Transaction Request components have a Transaction Comments page. Agencies can use this page to convey specific information with a transaction. While none of the fields on this page are required, using the Transaction Comments page will decrease the number of telephone, email, or faxed communications between agencies and the Status Examiners and Staffing Services Representatives.

There are nine different numbered comments on this page. The following is a description of when to use the different comments.

Comment	Description
#1	Check this box to alert the Status Examiner that an additional transaction must be submitted for this employee within the pay period. Please note that the Status Examiner won't see this comment until the transaction is opened. If you need to submit a second transaction within a short timeframe, you may also want to telephone your Status Examiner so the first transaction can be given priority.

Comment	Description
#2	If you have faxed or emailed information pertaining to the transaction to a Status Examiner, you indicate so here. The lookup  contains the names of all Civil Service personnel with Status Examiner authority. You can enter the date sent, or use the  .
#3	If you have been dealing with a Staffing Services Representative about a transaction, you can alert the Status Examiner that the transaction should be referred to that Staffing Representative by using this comment. You should only use this field if the Staffing Representative indicates that they need to see the transaction. The lookup  includes the names of Staffing Services Representatives.
#4	If the individual was required to meet one of the listed conditions for appointment, enter the date the condition was met or use the  to select a date.
#5	Check this box to attest that the requirements for a second probationary period have been met.
#6	Some examinations for title series such as Legal Careers, Accountants, and Auditors allow appointments at various levels depending on the eligibles' qualifications. If you are appointing to a title that is not the beginning level in one of these title series, you should submit your transaction appointing the eligible to the beginning level of these series and use this comment to notify the Status Examiner that the individual should be advanced to a higher level. For example, if you are appointing from the Auditor Eligible list and the individual is qualified to be appointed at the Auditor Trainee 2 level, submit the transaction appointing the person as an Auditor Trainee 1 and enter Auditor Trainee 2 and the date the person is eligible to advance in this comment box. You can select a date from the  .
#7	Use this comment to indicate that you have completed a required background check.
#8	If you have discussed the transaction with someone in the Certification Unit and have been issued a certification special transaction number, enter that number here.



Comment	Description
#9	If the transaction is related to another transaction or transactions, you can alert the Status Examiner that there are other transactions that will affect it by using this box. Enter the Social Security Number of the person for whom a related transaction has been submitted. That person's name will display. If you have a series of related transactions, you can enter the Social Security Numbers of all individuals with related transactions by inserting a row (use the insert a row  icon).

Sample HLD/MS/CHO




Work with the Pages

Below are the steps for a **HLD/MS/CHO**. This is used to change the **Line #** of the employee's hold. **FT/PT/VR/HR** and **PT/VR%** can also be changed with this Action Reason. Steps may vary depending on the **Action/Trans Grp/Reason Codes** within the **Enc Other Transaction Request** menu option.

1. If the page is not blank, click the Insert Row  icon to retrieve a blank page on which to enter the appointment information.
2. The **Eff Dt** field defaults to the system date. Press **Tab** to accept this date or highlight and type a new effective date (mmddy) or select a date from the . Press **Tab**.
3. In the **Seq** field, the default value of 0 is displayed. If this value is correct, press **Tab**. If other transaction(s) have been submitted with the same effective date, enter the correct sequence number. Press **Tab**.
4. In the **Action** field, enter *HLD*. Press **Tab**.
5. In the **Trans Grp** field, enter the three-character transaction group code *MSC*. Press **Tab**.
6. In the **Reason** field, enter the three-character reason code *CHO*. Press **Tab**.



NOTE: The three-character codes are displayed in the data entry fields with the Short Description to the right.

7. The agency is displayed and grayed in the **Agency** field, and the cursor will be in the **Line #** field.
8. In the **Line #** field, enter the line number for the position the employee will now hold, or click the  to select one. Press **Tab**.



NOTE: The various attributes for the position are supplied by NYSTEP (**Pos #**, **Pos Type**, **Pos Ends**, **Fund**, **Location**, **JC**, **SG**, **NU**.)

9. **Appt Lvl Chg**

If the employee is serving at the budgeted level, this field will be gray and the cursor will be in the FT/PT/VR/HR field.

OR

If the employee is being appointed to a title other than then budgeted level the **Appt Lvl Chg** field will be checked and gray.

10. The **Spclty** field is gray and displays the current value, or will be blank. Proceed to the next step.
11. If **Appt Lvl Change** is checked, the title code of the employee's current hold and **JC** will display and gray. **SG**, and **NU** must be entered. Press **Tab**.
12. The **Appt Status** field will be gray and display the current value.
13. If **FT/PT/VR/HR** was hourly, and it is no longer hourly, hourly displays and an error message will appear if not changed to FT or PT or VRWS. If it wasn't hourly, and is now hourly, hourly will display and gray and the **%** field will gray and be blank; otherwise, it will display the prior value and can be changed. The **%** field will be 100 and will gray if full. The field will be open for **PT/VR%**.
14. The **Lv Ends** field grays and displays the current leave end date.
15. If necessary, click on the **Transaction Comments** page tab and add any comments.




NOTE: The Eligible List **Type**, **List #**, **Score**, **Cert #**, **Vet Credits**, and **Source TC** fields are gray for this type of transaction.

The transaction is now complete. Review the data on all pages and make any corrections.

16. Click the page tab labeled **Transaction Request 2**.

17. Press the **Submit** button to transmit the request. This Action Reason may be virtually approved.

OR

18. Click  to Save if agency policy calls for additional review or if internal approval is needed.



Remember, transaction requests that have been saved but not submitted cannot be processed by DCS. Refer to **Reviewing, Revising and Deleting Transactions** for further instructions.

Sample HLD/MSC/CPM




Work with the Pages

Below are the steps for a **HLD/MSC/CPM**. This is used to change an employee’s status in their hold from Contingent to Permanent. **Line #** and **FT/PT/VR/HR** and **PT/VR%** can also be changed with this Action Reason. Steps may vary depending on the **Action/Trans Grp/Reason Codes** within the **Enc Other Transaction Request** menu option.

1. If the page is not blank, click the Insert Row  icon to retrieve a blank page on which to enter the appointment information.
2. The **Eff Dt** field defaults to the system date. Press **Tab** to accept this date or highlight and type a new effective date (mmddy) or select a date from the . Press **Tab**.
3. In the **Seq** field, the default value of 0 is displayed. If this value is correct, press **Tab**. If other transaction(s) have been submitted with the same effective date, enter the correct sequence number. Press **Tab**.
4. In the **Action** field, enter *HLD*. Press **Tab**.
5. In the **Trans Grp** field, enter the three-character transaction group code *MSC*. Press **Tab**.
6. In the **Reason** field, enter the three-character reason code *CPM*. Press **Tab**.



NOTE: The three-character codes are displayed in the data entry fields with the Short Description to the right.

7. The agency is displayed and grayed in the **Agency** field, and the cursor will be in the **Line #** field.
8. In the **Line #** field, enter the line number for the position the employee will now hold, or click the  to select one. Press **Tab**.



NOTE: The various attributes for the position are supplied by NYSTEP (**Pos #**, **Pos Type**, **Pos Ends**, **Fund**, **Location**, **JC**, **SG**, **NU**.)

9. **Appt Lvl Chg**

If the employee is serving at the budgeted level, this field will be gray and the cursor will be in the FT/PT/VR/HR field.

OR

If the employee is being appointed to a title other than then budgeted level the **Appt Lvl Chg** field will be checked and gray.

10. The **Spclty** field is gray and displays the current value, or will be blank. Proceed to the next step.
11. If **Appt Lvl Change** is checked, the title code of the employee's current hold and **JC** will display and gray. **SG**, and **NU** must be entered. Press **Tab**.
12. The **Appt Status** field will display **Permanent** and gray. Press **Tab**.
13. If **FT/PT/VR/HR** was hourly, and is no longer hourly, hourly displays and an error message will appear if not changed to FT or PT or VRWS. If it wasn't hourly, and is now hourly, hourly will display and gray and the **%** field will gray and be blank; otherwise, it will display the prior value and can be changed. The **%** field will be 100 and will gray if full. The field will be open for **PT/VR%**.
14. The **Leave Ends** field grays and displays the current leave end date.
15. If necessary, click on the **Transaction Comments** page tab and add any comments.



NOTE: The Eligible List **Type**, **List #**, **Score**, **Cert #**, **Vet Credits**, and **Source TC** fields are gray for this type of transaction.

The transaction is now complete. Review the data on all pages and make any corrections.

16. Click the page tab labeled **Transaction Request 2**.

17. Press the **Submit** button to transmit the request. This Action Reason may be virtually approved.

OR

18. Click  to Save if agency policy calls for additional review or if internal approval is needed.

Remember, transaction requests that have been saved but not submitted cannot be processed by DCS. Refer to **Reviewing, Revising and Deleting Transactions** for further instructions.