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BUDGET BULLETIN	D-1106	October 2, 2001
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To: ALL DEPARTMENT AND AGENCY HEADS

From: Carole E. Stone *CS*

Subject: Automation of Personal Service Certificates

This Bulletin provides guidelines, schedules and training information necessary for the implementation of a new, automated Personal Service ("PS") Certificate system.

Overview

Under current procedures most State agencies provide the Division of the Budget with a "hard-copy" or paper listing of their approved positions indicating the item number, title and grade level, etc., of each position. These "paper" PS Certificates are amended whenever creation of a new position is approved or when existing positions are modified or abolished. PS Certificates are typically amended when the Division of the Budget (DOB) approves changes to maximum levels of compensation ("Not To Exceed" values or "Salary Grade Equations") for Non-Statutory (NS) positions. Copies of approved PS Certificates are retained by DOB, and are also sent to the originating agency, the Department of Civil Service (DCS), the Office of the State Comptroller (OSC) and the legislative fiscal committees.

The State's successful implementation of automated payroll and position management systems has rendered this traditional process obsolete, redundant and inefficient. The New York State Electronic Personnel System ("NYSTEP"), developed by the Department of Civil Service, enables agencies to propose modifications to their position structures electronically and also provides the DCS and DOB with the capacity to review and approve those requests on-line. Information on approved NYSTEP position modifications is subsequently provided to the State's automated payroll system ("PaySR", which is operated by OSC) and used to maintain the accuracy of that system's position records. These existing systems now provide the framework for the new, automated PS Certificate process. The key elements of the new process are:

- **DOB's approval (via NYSTEP) of changes to an agency's position structure will also constitute Division approval of an amendment to the agency's PS Certificate.** Budget examiners will therefore only review a change to an agency's position structure once, i.e., as a NYSTEP transaction. For NS positions, changes to "Not-To-Exceed" levels and "Salary Grade Equations",

which were formerly handled as PS Certificate amendments, will be processed using NYSTEP's new "Compensation Adjustment" ("NSA" or "Non-Statutory Adjustment") transaction.

- **The new, automated PS Certificates will be on-line reports derived from information contained in the State Comptroller's PaySR payroll system.** PS Certificates will no longer be paper documents which are produced by State agencies from internal records or databases and subsequently approved by DOB. Instead, PS Certificates will be on-line documents that are available to State agency staff, DOB, DCS and OSC personnel via PaySR's Reveal reporting module. To comply with the requirements of Section 49 of the State Finance Law, the legislative fiscal committees will also be able to access these reports on-line from PaySR. The new, automated PS Certificate reports provide the same information on individual positions (title, item number, salary grade, Not-To-Exceed value, etc.) which was formerly provided on the paper version of PS Certificates. In addition, the new on-line PS Certificate reports also indicate each item's position number.
- **Each pay period, summaries of changes to agency position structures will be available from PaySR as on-line, "Change-To-Date" reports.** These reports identify positions that were created, modified or abolished/inactivated during the pay period and, where applicable, indicate the NYSTEP transaction(s) which caused those actions to occur. The report also shows which positions experienced a modification to the accounting structure (fund/account/program/cost center/position pool identification number) used to finance the costs of the position.

Implementation Schedule

Pilot Agencies

Eleven State agencies have tested these new procedures since July 2001 and will move to full, automated processing of PS Certificates on October 1, 2001. These "pilot" agencies are:

Department of Civil Service
Office of the State Comptroller
Division of the Budget
Department of Environmental Conservation
Department of Health
Department of Correctional Services
Department of Public Service
Office of General Services
Department of Agriculture and Markets
Office of Mental Health
Office of Mental Retardation and Developmental Disabilities

As of October 1, 2001 the PS Certificate reports generated by PaySR for these agencies are approved by DOB unless the Division conveys written objections to the content of a PS Certificate report to the Office of the State Comptroller and to the

legislative fiscal committees. OSC will continue to exercise its traditional payroll processing and auditing functions. Changes necessary to make the new PS Certificate reports available to the Legislature electronically are in process. Until such time as the necessary connections can be established, pilot agency staff will be responsible for printing and transmitting paper copies of the electronic reports to the majority and minority staff of the legislative fiscal committees.

Other State Agencies

Except as noted below, all other State agencies for which PS Certificates are required are scheduled to move to the automated PS Certificate process by December 17, 2001. Important dates for implementing this transition are as follows:

- October 9th -
October 19th, 2001** Non-pilot State agencies receive “hands-on” training at Bldg. 1, State Campus, in the use of NYSTEP’s new Compensation Adjustment transaction.
- October 22nd –
December 14th, 2001** Other agencies use NYSTEP to submit proposed Compensation Adjustment transactions to DOB for approval. Approved transactions update the PS Certificate reports found on PaySR. Agencies also submit paper PS Certificates for DOB approval.
- December 17, 2001** Full implementation of Automated PS Certificate process. No processing of paper PS Certificates (see below)

On and after December 17, 2001 Division of the Budget examination units will no longer accept paper based PS Certificates from agencies which use NYSTEP for Title and Position Management (i.e., Classification and Compensation) actions. **The only agencies which will continue to process PS Certificates as paper documents after this date are those agencies which do not use NYSTEP for position management/classification functions.** These agencies will continue to process their PS Certificates as paper documents, and submit them for DOB approval, for the foreseeable future.

Agencies must determine which of their employees will be involved in the creation of Compensation Adjustment transactions via NYSTEP. Due to the similarity of the Compensation Adjustment panels to other TPM transactions, agencies are encouraged to rely upon employees who are already familiar with the NYSTEP system for actual data entry of these requests. If, however, an agency determines that expansion or modification of its complement of authorized NYSTEP users is warranted, the agency should contact the NYSTEP Help Desk (518-457-5406) at the Department of Civil Service. Please note that DOB staff cannot make corrections to Compensation Adjustment transactions which have been submitted by State agencies; requested transactions which contain errors will have to be disapproved by DOB and agencies will have to submit new, corrected requests to replace such disapproved actions.

Exceptions

The automated PS Certificate process is limited to agencies that currently use both PaySR (for payroll processing) and the Title and Position Management (TPM) functions of NYSTEP. Accordingly, any State agency which does not use both of these systems, and for which PS Certificates are required, will continue to use the traditional, paper-based, PS Certificate approval process.

Additionally, certain positions (e.g., Extra Service positions) can only be established in PaySR: NYSTEP does not have the capacity to assign position numbers to these positions. Accordingly, all requests for the creation of new Extra Service and similar positions will be processed using existing, paper PS Certificate approval procedures. However, once such positions are established, their Not-To-Exceed limits and Salary Grade Equations can be subsequently modified using NYSTEP's new Compensation Adjustment transaction.

Budget Director's Approval forms (BDAs) will continue to be processed as paper documents. However, once a BDA is approved, State agencies utilizing the automated PS Certificate process will be **required** to submit a corresponding NYSTEP Compensation Adjustment transaction for DOB approval. This transaction is necessary to record BDA approved SG Equation or Not-To-Exceed amounts in both PaySR and NYSTEP.

Training

A number of training opportunities have been scheduled to prepare State agency staff for this new procedure.

Hands-On Training: Using NYSTEP's New Compensation Adjustment Transaction

Purpose: To instruct agency personnel in how to use Compensation Adjustment transactions to establish "Not-To-Exceed" limits and Salary Grade Equations.

Audience: State agency human resource and fiscal/budget staff who use NYSTEP's Title and Position Management (TPM) functionality and/or who will be responsible for preparing Compensation Adjustment transactions.

When: Two sessions are scheduled each day from October 9th through October 19th. The morning sessions will be held from 9:30 to 11:30 am. The afternoon sessions will be held from 1:00 to 3:00 pm. All sessions will be held in Classroom #5, Building #1, the Department of Civil Service, at the State Office Building Campus in Albany. Individuals should register for one session only.

To register their employees for the orientation and "hands-on" training sessions, agencies should contact Ms. Brenda LaMora via E-Mail at:

bdlamob@budget.state.ny.us.

Any questions regarding this Bulletin should be directed to your budget examiner.