

Office of Operations
2013 Fall Conference
November 6-7

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The Certification Process and You

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WHAT IS CERTIFICATION?

PAYSERV VS. NYSTEP

- Certification is the process where OSC Audit staff verify that the transactions submitted into the Civil Service, New York State Electronic Personnel (NYSTEP) system for Civil Service certification are the same transactions submitted into the OSC payroll system (PayServ) for OSC approval.
 - Reference: Payroll Bulletin No. 413 - Employee Certification by the Department of Civil Service (DCS)



CERTIFICATION RECONCILIATION PROCESS

- On Friday of each week, the Department of Civil Service (DCS) sends a file with all transactions recently approved in NYSTEP to OSC. Transactions on the DCS file are inserted into the DCS History Record page.
- OSC compares the “Not Certif” transactions on the Emp Job Certification record to the information on the DCS History Record page.



CERTIFICATION RECONCILIATION PROCESS

- If there is a critical data* mismatch or there is no DCS History Record page, OSC will contact the agency to resolve the discrepancy. Once the agency submits the corrected information in PayServ and/or NYSTEP and the NYSTEP transaction is approved by DCS, OSC will update the status on the Emp Job record to “Approved.”

**Critical data includes effective date, position number, title, grade, and percentage of time worked.*



CERTIFICATION RECONCILIATION PROCESS

- If a match occurs, or the only mismatch is a non-critical data* mismatch, the Emp Job Certification record will be updated to “Approved” and the DCS History Record page will be populated with the Eff Seq and Empl Recd# values from the approved Emp Job Certification record.

**Non-critical data includes empl status, line number, jurisdictional class, and the full/part-time indicator.*

Note: The submission days mentioned in this presentation refer to normal cycle processing. Submission days may change due to special processing such as Holidays and Year End.



WHAT TRANSACTIONS REQUIRE CERTIFICATION?

- Hire, Rehire, Concurrent Hire
- Return from Leave, Return from Disability
- PT/Full Change, Work % Change, Transfer
- Position changes, provided one or more of the following critical fields are changing:
 - Department
 - Title
 - Grade
 - Regular Position Number
 - Percentage worked



CERTIFICATION REPORTS

- There are several reports generated by NYSTEP and PayServ that require review by agency payroll staff and/or OSC Audit staff:
 - NYSTEP Report – Agency Action Required
 - Appointment End Date Report
 - PayServ Reports
- Generally, these reports are available for review on Tuesday.
 - NHRP715 – Transactions Not Certified
 - NHRP735 – Unused DCS Transactions
 - NHRP519 – Agency Mismatch Report – Agency Action Required



NYSTEP APPOINTMENT END DATE REPORT

This report identifies all positions that have an end date and are about to expire, and all employees whose Civil Service certification has an end date that is about to expire.



NYSTEP APPOINTMENT END DATE REPORT

Agency Actions:

- Review the NYSTEP Appointment End Date Report and enter the transactions into NYSTEP for those employees or positions that require recertification by Civil Service before the NYSTEP deadline.
- Agencies should be sure the recertification transaction is submitted into NYSTEP prior to the certification end date to avoid an employee's check being held by OSC.



NYSTEP APPOINTMENT END DATE REPORT

OSC Actions:

- OSC will review the NYSTEP Appointment End Date Report for end dates that expire prior to the last day of the payroll period being processed.
- Although the agency should have already received and reviewed this report, OSC will send the agency a notification of employees still requiring recertification.
- Failure to recertify in a timely manner could result in OSC holding an employee's paycheck.



PAYSERV CONTROL-D NHRP519 MISMATCH REPORT

This report identifies all transactions entered and approved in both NYSTEP and PayServ, where there are one or more non-critical fields that are mismatched.

- Non-critical fields are:
 - Line Number
 - Employee Status
 - Appointment Code
 - Jurisdictional Class
 - Full/Part-time Indicator



PAYSERV CONTROL-D NHRP519 MISMATCH REPORT

Agency Actions:

- Review the Control-D NHRP519 Agency Mismatch Report to resolve the non-critical field mismatches by entering the correct follow-up transaction into NYSTEP and/or PayServ by the next payroll period.
- Agencies can refer to Bulletin 413 for more information.



PAYSERV REPORTS

These two reports are used by OSC Audit staff to verify the information in both PayServ and NYSTEP.

- **NHRP715 - Transactions Not Certified Report**
- **NHRP735 - Unused DCS Transaction Report**



NHRP715

TRANSACTIONS NOT CERTIFIED REPORT

This report has two purposes:

- **No Corresponding NYSTEP Transaction:** It identifies those certifiable transactions entered into PayServ that do not have a corresponding transaction entered and approved in NYSTEP.
 - If entered into NYSTEP and not approved, agency must contact Civil Service to inquire about approval.
 - If not entered into NYSTEP, agency must contact Civil Service to ask for permission to enter and to request immediate approval.



NHRP715

TRANSACTIONS NOT CERTIFIED REPORT

- **Critical Fields Mismatched:** It also identifies transactions certified in the NYSTEP and entered into PayServ with critical fields that do not match.
 - Agency must contact either Civil Service or OSC to correct the discrepancy



NHRP735

UNUSED DCS TRANSACTIONS REPORT

This report provides OSC with a listing of transactions that are approved in NYSTEP and do not have a corresponding PayServ transaction, such as:

- Future dated transactions
- Transactions approved in NYSTEP but not entered in PayServ (Leaves, Percentage Changes, and other removals)
- NYSTEP transactions that are not needed in PayServ



NHRP735

UNUSED DCS TRANSACTIONS REPORT

OSC Actions:

- OSC will review this report and notify agencies of transactions effective dated in the current pay period where NYSTEP has an employee terminated, on leave of absence, or half pay, and the employee's status in PayServ does not match.
- OSC will notify agencies if an employee's work percentage is higher in NYSTEP than in PayServ.



CERTIFICATION RECONCILIATION PROCESS

- When discrepancies are found, OSC Audit staff will notify the agency by email.

NYSTEP/PayServ Certification Reconciliation Form

To: Agency Payroll Officer
 From: OSC Payroll Audit
 Check Date: 2/20/08

The OSC Payroll Audit Unit compared transactions entered into PayServ for the above check date against information contained in NYSTEP to determine the employee has been appropriately certified by DCS. As a result of this review, the employee(s) identified below requires the appropriate follow-up action by the agency and/or DCS before the employee's paycheck will be released. If an employee is on direct deposit, the direct deposit will be disabled if the employee is not appropriately certified by noon on Wednesday. If by Thursday at 10:00 a.m., the employee is still not certified, a Check Hold form will be forwarded to the Division of Treasury and the employee's check will be held. After the check is held, OSC will continue to verify the employee's certification status once each day until the issue is resolved and the check can be released. In order to avoid discrepancies in the future and the disablement of direct deposit and the withholding of paychecks, the agency should confirm all transactions are entered into the PayServ and NYSTEP systems by the established submission deadlines and that the information entered into both systems is exactly the same. **The agency should not contact OSC after resolving the certification issue in PayServ and/or NYSTEP since, as stated above, OSC will be performing an additional PayServ/NYSTEP record review for each employee identified below before disabling direct deposit or submitting a check hold notice to the Division of Treasury to ensure the appropriate action was taken in PayServ and/or NYSTEP. However, if the agency has a question pertaining to a certification issue, the agency should contact the auditor.**

EMPL ID	LAST NAME	REC #	PAYSERV INFO	NYSTP INFO	DD

PROBLEM RESOLUTION, OR *HOW TO AVOID HAVING AN EMPLOYEE'S PAYCHECK HELD*

- Agencies must enter **all** transactions that require any certification by the respective NYSTEP and PayServ cutoff dates.
 - Reference: Payroll Bulletin No. 1242 - Schedule for Agency Payroll Submission and Availability of Reports and Files (this Bulletin is published each Fiscal Year).



PROBLEM RESOLUTION, OR *HOW TO AVOID HAVING AN EMPLOYEE'S PAYCHECK HELD*

- For transactions entered into PayServ but the same transaction was not properly entered into NYSTEP, the agency must enter the correct transactions into NYSTEP for DCS review and approval.
- For transactions entered in NYSTEP but there is a critical data mismatch in PayServ, the agency must enter the correct transactions in PayServ.



PROBLEM RESOLUTION, OR *HOW TO AVOID HAVING AN EMPLOYEE'S PAYCHECK HELD*

- If the agency fails to take the appropriate action in a timely manner and/or the employee is not certified by DCS, OSC will disable the employee's direct deposit on Wednesday and/or hold the employee's paycheck on Thursday until the employee is appropriately certified.
- Agencies **must** notify employees whose direct deposit is disabled and/or paycheck is withheld.

