

State of New York
Unified Court System
Financial Planning & Control Manual

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4.000 Schedule of Positions (UCS-3001) Staffing Categories, Case Type Designation Updates, and Family Court Title IV-D Categories

The Budget Development facility includes an application for categorization of all UCS line items reflected on the authorized Schedule of Positions (SOP). This facility is to be used by district/administrative office staff for entry of the appropriate staffing category and case type designation applicable to each position within its jurisdiction. The Family Court Title IV-D category is updated centrally by the Division of Financial Management annually, based on positions identified by the respective district/administrative offices. The information keyed into this facility is reflected on the bi-weekly UCS-3001 Schedule of Positions report, a key tool for management of UCS staffing resources. A sample page from the UCS-3001 appears on the final page of this section.

A complete update of positions is conducted each year at the commencement of the annual budget process, but maintenance of the staffing information contained in this application should be an ongoing process throughout the fiscal year. Whenever a position is added to the SOP, reclassified, transferred, or reassigned to other functions, the staffing category and case type designation should be evaluated, and edited if necessary.

Sections 4.000.1 and 4.000.2 describe the determination of staffing category and case type designations. Family Court IV-D designations are addressed in Section 4.000.3; and data entry instructions in Section 4.000.4.

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4.000.1 Staffing Category Designations

Each position within a specific jurisdiction should be reviewed for staffing and case type information, as listed on the appropriate bi-weekly UCS-3001 report. Based upon this review, any necessary changes should be entered into the Schedule of Positions application.

Review the current staffing category designations, displayed as digits 1-7 under the '**Job Cat**' heading on the UCS-3001 report. Definitions for each position category are as follows:

Staffing Categories:

1. Judges: All judicial positions are assigned to this category except Housing Court judges which are Category 3.
2. Chambers: In this category are those secretarial positions which work directly for a judge and legal positions which serve as the personal appointee of a judge or justice. Family Court Support Magistrates are also included in this category.
3. Law Department: This category includes those legal positions which perform legal research functions either in a "pool arrangement" and are therefore, not specifically assigned to an individual judge or justice. Included in this category are court attorney and stenographic support staff. New York City Housing Court Judges are also included in this category.
4. Court Reporting: All positions which perform court reporting or court stenographic services, regardless of title, are placed in this category.
5. Court Support: This category includes positions which are responsible for supervising nonjudicial positions and managing administrative functions including budget preparation, payroll, accounting, personnel and purchasing. It includes court positions as well as administrative positions in appellate auxiliary agencies and the Office of Court Administration. Within this category an additional breakdown should be provided to indicate which of the following administrative categories the position services a majority of the time:

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- 5A. [Case Resolution](#) - Examples include chief clerks, deputy chief clerks and their secretarial support in the trial courts. Please note, that for those courts where the chief clerk or deputy chief clerk spends more than 50% of their time providing in part or case processing services, the positions should be reflected in staffing category 6A or 6B.
- 5B. [Information and Records Management](#) - Includes positions in the PC Analyst and LAN Administrator series as well as staff in the Division of Technology.
- 5C. [Jury Operations](#) - Includes local jury operations as well as OCA staff.
- 5D. [Financing and Controls](#) - Includes trial and appellate court positions which are primarily involved in budget and accounting functions, as well as staff in OCA Divisions of Financial Management, Office of Internal Affairs and Payroll.
- 5E. [Human Resource Management](#) - Includes court positions handling personnel functions as well as OCA Human Resource Services offices of Education and Training, Employee Relations, Personnel, Employee Benefits, Workforce Diversity, Career Services and the Court Officers Academy.
- 5F. [Communications](#) - Includes positions in the OCA Office of Public Affairs and others whose chief responsibility concerns public information activities.
- 5G. [Administrative/Clerical](#) - Includes positions in administrative functions which do not primarily relate to categories 5A through 5F. Examples would be positions in appellate auxiliary operations and OCA offices such as Executive Direction and Administrative Services.
- 5H. [Legal](#) - Positions whose primary function involves litigation, legal research or counsel activities in a non-court setting.
- 5I. [Investigatory](#) - Includes some positions in the Court Analyst title series in the Attorney Discipline program.

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- 5J. [Social Work](#) - Positions performing social work functions, such as Mental Health Information Officer titles and some positions in MHLS. In the trial courts, this includes Family Counseling Case Analysts and positions in the Court Analyst title series who serve as case managers in specialty courts (Drug Treatment Courts, Domestic Violence Courts, Mental Health Courts).
- 5K. [Law Reporting](#) - Law reporting functions, which currently exist only in the Court of Appeals.
- 5L. [Law Library](#) - Positions in the Law Librarian and Law Library Clerk title series and all titles in the Law Library program in the trial courts.
- 5M. [Building Maintenance](#) - Positions supporting building maintenance, which currently exist only in the Court of Appeals.
- 6A. [Court Operations - In Part](#) - All persons assigned to handle case administration functions in the part, including Court Assistants and Court Clerks in the trial courts.
- 6B. [Court Operations - Back-Office](#) - All positions involved in the receipt of case papers and processing cases in the back-office appear in this category.
- 7. [Security](#) - All positions that directly provide security services or whose primary duties support the provision of security services in court operations, training or administration. Within this category an additional breakdown should be provided to indicate where the position serves a majority of the time:
 - 7A. [Peace Officer/Operations](#) - All peace officers assigned to courtrooms, entryways, building patrol or similarly related courthouse locations.
 - 7B. [Non-Peace Officer/Operations](#) - All non-peace officers, including attendants, that are assigned to courtrooms, jury deliberation rooms or similarly related courthouse locations.

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- 7C. [Peace Officer/Administration](#) - All peace officers who perform administrative functions including personnel duties, security operations and planning. These individuals generally work in administrative or OCA offices.
- 7D. [Non-Peace Officer/Administration](#) - All non-peace officers who perform administrative functions including personnel duties, security operations and planning. These individuals generally work in administrative or OCA offices.
- 7E. [Peace Officer/Training](#) - All peace officers whose primary function is to design and present in-service training programs to court system security personnel.

Please note that court operations positions should be designated as 6A (In Part) or 6B (Back-Office). For positions which are split between categories, assign the category number in which the positions operates the majority of the time, since only one category can be selected. This is especially important in smaller courts, where Chief Clerks and Deputy Chief Clerks do not devote more than 50% of their time to administrative functions (Category 5). For such positions, Category 6A (In Part), or 6B (Back-Office) should be used.

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4.000.2 Case Type Categories

In addition to the staffing category breakdown, each position should be broken down by the percentage (%) of time devoted to each of several case type or activity categories. Effective May 1, 1994 case type designations have been expanded and made uniform across all programs. By making all case types available to all programs, workload of FTE's, assigned outside of their scheduled program, can be captured. In addition, the case types have been arranged in programmatic order to facilitate data entry and avoid confusion between supreme and city civil and criminal case types. The list of case types and their screen and 3001 abbreviations are listed below. Please note, the "Other" category should be used only for time spent in administration, law library work or in those cases where no other case type category applies.

Case Type Categories:

SCV	Supreme Civil	SCR	Supreme Criminal
FAM	Family	SUR	Surrogate
CCV	City Civil	SCL	Small Claims
ARB	Arbitration	HSE	Housing
CCR	City Criminal	TRF	Traffic
PRK	Parking	JRY	Jury
OTH	Other		

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4.000.3 Family Court Title IV-D Designations

***Note: Data entry of changes to IV-D designations is completed centrally by DFM staff only.**

The categorization of Family Court positions, Multi-Bench positions or Public Safety positions devoted 100 percent of the time to Family Court matters is the basis for expense claims submitted for Title IV-D Federal reimbursement. It is vitally important that all positions be reviewed and categorized carefully, as this process is critical to any subsequent audit of the IV-D expenses claim process conducted by the Federal Government. Positions should be categorized based on their principal duties as follows:

- Category 1 Positions working solely on Uniform Support of Dependents Law (USDL) matters.
- Category 2 Positions involved exclusively with Support Magistrate parts, including back-office staff if such back-office position is 100 percent dedicated to the Support Magistrate part.
- Category 3 Positions performing general back-office duties associated with all Family Court matters.
- Category 4 All other positions (regardless of program designation) including judges's secretary, court attorney's, court officers and other positions assigned to work in judicial parts providing direct judicial support. (Not eligible for Federal reimbursement.)

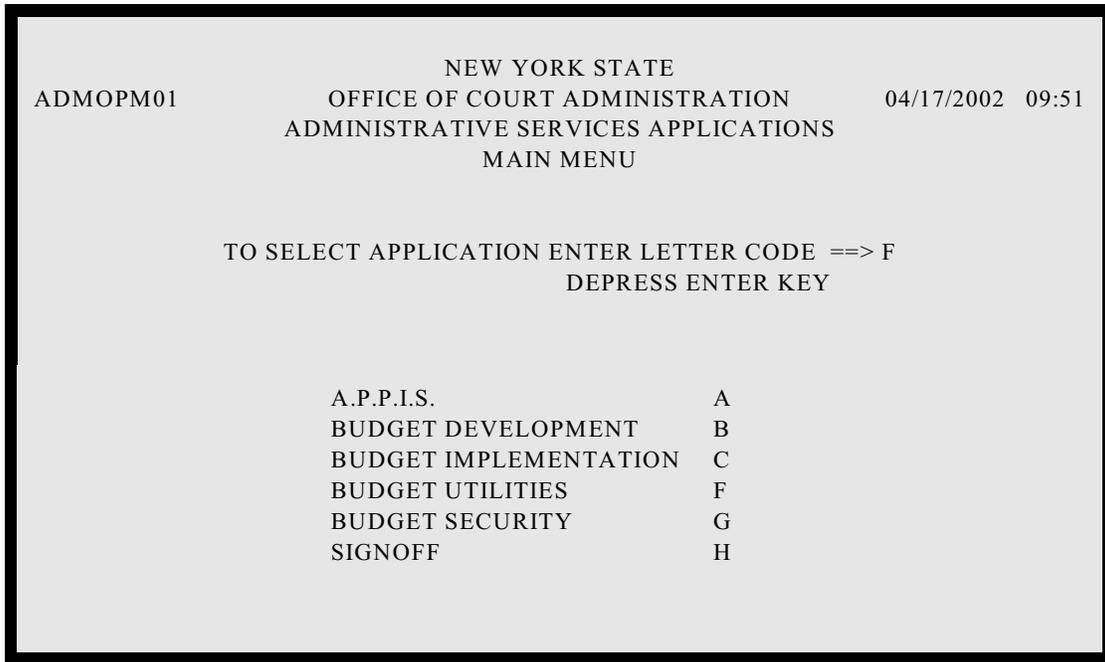
Note: Category 0 retired as of 4/1/2007

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4.000.4 Data Entry Instructions: Update Procedures for Staffing Category, and Case Type

1. From the ADMN Main Menu, type “**F**” in the selection field, and press '**Enter**', to access the Budget Utilities applications.



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2. Type “C” and press ‘Enter’ to access the Schedule of Positions application:

```

ADMOPM05          NEW YORK STATE
                   OFFICE OF COURT ADMINISTRATION      04/17/2002  09:56
                   BUDGET OFFICE UTILITY MENU          CMD   ___
                   MAIN MENU

TO SELECT APPLICATION ENTER LETTER CODE ==> C_
DEPRESS ENTER KEY

BUDGET IMPLEMENTATION MENU  A   OBJECT FILE           E
BUDGET DEVELOPMENT MENU    B   COST CENTER FILE      F
SCHEDULE OF POSITIONS      C   TITLE FILE           G
RANGE FILE                 D   ORIGINATING AGENCY FILE  H

                   REPORT SUMMARY           SU
                   TERMINAL CONTROL         TC
                   MESSAGE SYSTEM          MS
                   REMOTE REPORTS          RR

                   EXIT TO MAIN MENU        XX
  
```

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2. From this screen, you may select a line, or range of lines, for review and/or edit purposes. Selection 'E' indicates a request for Job Category update. Complete the fields by providing the payroll agency code, and the first or beginning line number for the series of positions for which designations are to be entered or revised.

```

ADMOPSOP                OFFICE OF COURT ADMINISTRATION
                        SCHEDULE OF POSITIONS                04/17/2002  11:46

                        FISCAL YEAR:      2002
ENTER SELECTION:      E
                        AGENCY:         05537
                        LINE:           07605
                        TO LINE:        _____

                        INQUIRY =====> A

                        JOG CATEGORY =====> E
PRINT SCHEDULE OF POSITIONS =====> F
PRINT SCHEDULE (TEMPORARY) =====> T

EXIT - PF3 OR PF12 OR =====> X
  
```


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4. Type the job category and case type percentage applicable to each position. Use the cursor to move between positions. Please Note: When entering case type percentages make sure they total 100%. If no percentages are entered, the system will default to 100% "Other". If less than 100% is entered, the system will enter shortage in "Other". If percentages are in excess of 100%, the error message "PERCENTAGES ADD UP TO MORE THAN 100%" will appear at the bottom of the screen and the system will advise the total percent entered on the line in error.

5. When all the data entry changes are complete, press the **'Enter'** key to update the records. If not all line numbers within the requested series have been displayed, another page of positions will be displayed. When the series is complete, the system will flag "END" OF PGM" in the lower right corner of the screen. This flag will also appear if the original "line to line" selection can fit on one screen. Once changes have been "Entered", the user may enter an "X" in the 'CMD' field to return to the menu. If the "line to line" selection is more than one screen length, the user may move forward by pressing the "F8" or "enter" key. The use of the "F8" key will also save any changes made by the user. The use of the "F7" key to scroll backward is not an option in this application.

6. At any time, the user may enter an "X" in the 'CMD' field (upper-right corner) to exit the Staffing Category application, but the user must press the 'Enter' key to update records.

7. No report is issued upon completion of these changes. You may print your data entry screens to track your changes. Verify your changes on the subsequent UCS-3001 issued.

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SAMPLE UCS-3001

3001

UCS - 3001
PERIOD: 05/19/98-04

PAGE: 241
FISCAL YEAR: 02-03

COST CENTER: 999999/ - SAMPLE COURT

DEPT: 05 OBJECT: 41100

ACCUM CODE:

LINE	EFFECTIVE DATE	TITLE CODE	GR	SALARY	PBC	JOB													
						CAT	SCV	SCR	FAM	SUR	CCV	SCL	ARB	HSE	CCR	TRF	PRK	JRY	OTH
AGENCY CODE: 09920																			
4010	03/25/93	40337 CHF CLK VI	32	\$81,929	A	5A	100	0	0	0	0	0	0	0	0	0	0		
4015	03/25/93	00410 DEP CHF CLK IV	28	\$67,253	A	5	50	50	0	0	0	0	0	0	0	0	0		
4020	03/25/93	43379 PRIN CT ATTORNEY	31	\$80,489	A	3	0	30	0	10	0	20	40	0	0	0	0		
4022	03/25/93	43277 PRIN LW CLK JGE	31	\$73,430	A	2	0	0	100	0	0	0	0	0	0	0	0		
4025	03/25/93	43381 CT ATTORNEY-REFEREE	31	\$77,188	A	3	0	0	0	0	0	0	0	0	0	100	0		
4026	03/25/93	43378 ASC CT ATTORNEY	30	\$59,131	A	3	0	0	0	0	100	0	0	0	0	0	0		
4030	03/25/93	41135 PRIN SUR CT CLK	26	\$62,785	A	6B	0	0	0	0	0	0	100	0	0	0	0		
4031	03/25/93	41135 PRIN SUR CT CLK	26	\$60,386	A	6B	0	0	50	0	50	0	0	0	0	0	0		
4032	03/25/93	41135 PRIN SUR CT CLK	26	\$62,785	A	6B	0	100	0	0	0	0	0	0	0	0	0		
4040	03/25/93	41501 CT REPTR	24	\$42,719	A	4	0	0	0	0	0	0	0	0	00	0	0		
4045	03/25/93	41137 ASC SUR CT CLK	23	\$53,943	A	6B	0	0	0	0	100	0	0	0	00	0	0		
4050	03/25/93	41103 SR CT CLK	21	\$48,744	A	6B	0	0	0	0	0	0	0	0	0	100	0		
4051	03/25/93	41160 SR SURR CT CLK	21	\$48,744	A	6B	0	0	0	0	0	0	0	100	0	0	0		
4052	03/25/93	41160 SR SURR CT CLK	21	\$47,186	A	6B	0	0	100	0	0	0	0	0	0	0	0		
4053	03/25/93	44315 SR SECY JGE	17	\$39,647	A	3	0	0	0	0	100	0	0	0	0	0	0		

E