Users' Guide to the Governor's Office of Employee Relations Grievance Tracking System (1984-1990)

Publication FA21

The Governor's Office of Employee Relations (GOER) created the Grievance Tracking System to collect information on employee grievances and grieved disciplinary proceedings from all New York State Executive Branch agencies from 1984 to 1990. The system contains two master files, the Grievance Data File and the Discipline Data File. Personal identifiers have been suppressed in each file type. The fourteen annual files are available in two formats: nine- track magnetic tape in IBM standard label EBCDIC and 3.5 inch floppy discs in ASCII format.

The Users' Guide to the Grievance Tracking System, [Series 17089], describes the data collection method, illustrates the components of the database, and defines each data element utilized by the system. The guide also familiarizes the user with the contractual grievance and disciplinary procedures of New York State Executive Branch agencies.

1. Data Abstract

Series Title:

Grievance Tracking System (GTS), 1984-1990

Creating Agency:

Governor's Office of Employee Relations

Access Restrictions:

There are no access restrictions for the public use copy of the Grievance Tracking System. However, grievants' names have been suppressed in the public use copy to protect personal privacy.

Technical Specifications:

The GTS has two master data files, each having seven rectangular flat files of numeric and character data.

Summary:

The Governor's Office of Employee Relations created the GTS to collect information on employee grievances and grieved disciplinary proceedings from all New York State Executive Branch agencies from 1984 to 1990. The system contains two master files, the Grievance Data

File and the Discipline Data File. Each secondary file within the two master files represents a single year.

File Size:

The Grievance File component of the GTS consists of 35,049 cases captured by 50 variables. There is one record per case, and each case has 212 characters. The total size of the Grievance File is 7.5 megabytes. Similarly, the Discipline File includes 13,079 disciplinary cases captured by 31 variables. There is one record per case, and each case has 159 characters. The total size of the Discipline File is approximately 2.1 megabytes.

Distribution Specifications:

Either or both of the master files in the GTS can be distributed on reel-to-reel or cassette tapes, on diskettes, or via the State Archives' ftp directory (at ftp://ftp.sara.nysed.gov), depending on researcher preference. Reel-to-reel tape copies are in standard-label EBCDIC format at 6250 bpi, and cassette tape copies are on 3480 cartridges, also in standard-label EBCDIC format, at 38,000 bpi. Copies on diskette or in the State Archives' ftp directory are in ASCII format. The State Archives uses the pkzip utility to compress files distributed on diskettes or in the ftp directory. The compressed Grievance File is 806.6 kilobytes, and the compressed version of the Discipline File is 257 kilobytes.

Copies of the GTS on magnetic tape or diskettes, as well as paper copies of all or part of this guide, are available from:

New York State Archives
Cultural Education Center Room 11A42
Albany, NY 12230 Telephone: (518) 474-8955
Fax: (518) 473-9985
E-Mail: archref@mail.nysed.gov

2. How to Use This Manual

This manual is composed of seven parts. Part I narrates access procedures for information in the Archives. Part II briefs users on archival references services. Part III introduces the background, history, and development of the Grievance Tracking System. It describes when and why the system was established, how long it operated, and the products it produced. Part IV familiarizes users with the procedures of contract and disciplinary grievances. Part V describes GTS's data collection methods. A brief discussion on the strengths and limitations of the system is also included. Part VI illustrates in table format the components of the database, displays the major statistics about the system, and discusses how each element should be treated. Finally, appendices containing copies of original GOER documents and the Table of Contents for all collective bargaining agreements from 1982 to 1990 are attached for a better understanding of the operation of the system and the way in which it captured data.

I. Access and Terms of Availability

The State Archives is the final repository for many State government records. One of the State Archives' primary responsibilities is to identify, preserve, and make available for research use the archival records of New York State government. Archival records are those records that have enduring legal, administrative, historical, educational, or other research value. Archival records no longer actively used by their creating agencies are transferred to the State Archives, where their preservation and future accessibility are ensured.

Proper names in the two GTS files are suppressed in public use copies, including those residing in the State Archives' anonymous ftp directory.

II. Reference and Access Services

The State Archives reference staff will assist the researcher with locating the requested information, printed codebooks, and other necessary advice. See research assistance for hours, location, and policies. The State Archives presently provides the following services to allow access to machine readable records.

- Copying of paper documentation and codebooks for use with machine-readable data.
- File copying, including a copy of the data file(s) on magnetic tape(s) or floppy disk(s), and support documentation. (Tape copies are in Standard-label EBCDIC format. Floppy disks are in ASCII format.) Data will be provided to the public on the requested media at the cost of media replacement.
- Making select electronic records available via its ftp directory on the Internet. (Records in the ftp directory are in ASCII format.)

The data is not to be redistributed. Processing and technical queries should be directed to the New York State Archives, Reference Services, (518) 474-8955. The e-mail address is: archref@mail.nysed.gov.

III. Historical Development

The Grievance Tracking System (GTS) was a microcomputer-based system in the Governor's Office of Employee Relations (GOER) which collected information from all executive branch State agencies in New York on all grievances and grieved disciplines. A grievance is an allegation by an employee that agency management has violated a provision or provisions of the collective bargaining agreement between the State and the union. A grieved discipline is an allegation by an employee that a disciplinary action taken against him or her by the employer was improper in some way.

GTS replaced the Grievance and Appeals Management Information System (GAP) in 1984. GAP was a mainframe-based system that was inflexible, not particularly user-friendly, and poorly documented. GTS mainly served as a statistical reporting system throughout its existence. At the

end of the 1990/1991 fiscal year, the statewide components of GTS were discontinued as a cost-saving measure. For more information on the development of GTS, please refer to Appendices A-B.

IV. Contract Grievances and Disciplinary Grievances

Grievance and disciplinary grievance procedures are defined in the various collective bargaining agreements that the State negotiates with the unions representing State employees. However, the procedures for the various unions are similar enough to be described generically (see Appendix C for table of contents and article names of the relevant contracts. The actual contracts are available for study in the Reference Services, Room 11A42, Cultural Education Center). Contract grievances proceed through four steps during which labor and management attempt to resolve the issue. In step 1 the grievance is filed with local facility or office management, who renders an initial decision on the grieved issue. If the decision is unacceptable to the grievant, he or she can file the grievance with the department head or designee, usually the director of employee relations (step 2). The grievant and the union representing him or her can appeal an unsatisfactory step-2 decision to the Governor's Office of Employee Relations (GOER) (step 3). Contract grievances that are not resolved at step 3 are usually settled by an outside arbitrator. In one or two bargaining agreements there is an additional step (step 4) before arbitration. If the grievant and management agree, grievance steps can be skipped. However, a grievance will rarely (if ever) go directly to arbitration. Most grievances are settled at either step 1, 2, or 3. Relatively few cases go all the way to arbitration. A grievant can withdraw a grievance at any point in the process.

The procedure for disciplinary grievances is different than that for contract grievances. An employee is informed of a disciplinary grievance through a formal Notice of Discipline (NOD) outlining the charges, penalty(ies) sought, and his or her rights. If the employee believes the disciplinary action is improper or unfair, he or she can file a disciplinary grievance with the agency head or designee, usually the director of employee relations. The first step in a disciplinary grievance is an informal hearing between the employee and the agency head or designee. After the hearing, management may provide the employee with a written response. Often informal negotiations before or after the hearing will result in a formal or informal agreement settling the grievance and disciplinary action or in management withdrawing the NOD. These formal or informal agreements most often modify the original penalties sought in the NOD. If the disciplinary grievance cannot be settled or otherwise resolved in the agency, it is appealed to an outside arbitrator. Some bargaining agreements establish alternate procedures for certain types of disciplinary actions (e.g., a disciplinary appeals panel for disciplines involving time and attendance). Most disciplinary actions are settled in the agency, and many are settled informally. If the employee and management agree, a disciplinary action can go directly to arbitration.

V. Data Collection and System Overview

GTS collected information from executive branch State agencies. Agencies were required to report to GOER monthly on all new grievances/grieved disciplines and actions in pending

grievance actions previously reported to GOER. Agencies reported grievances/discipline on GOER forms. Each month GOER supplied agencies with a "turn around document" which listed all active agency grievances. The agencies used the forms to report additional actions on the grievances or disciplinary action (see Appendix A and B for copy of forms and procedures).

The system produced quarterly reports on grievance activity and monthly summaries of step-3 grievances for use by GOER. It also had the capability to produce reports in various forms using different criteria. GTS operated on a multi-user microcomputer platform (an Industrial Micro Systems 8000-SX running on a TURBO_DOS operating system). The system used POWERHOUSE software, a database management system, and contains two master data files. One captures data on grievance cases and the other on grieved discipline cases (excluding CSEA time and attendance cases handled by a disciplinary panel).

The State Archives received the data files in delimited ASCII format. The raw data in such a format can be handled by most computer software.

VI. File Structure

Information on file structure is provided for each master file in a table for ease of use. The tables are followed by a list of fields and their explanations. Anything that is not explained in the table will be discussed in the explanation section. Variable names are slightly different in the tables than the list due to space considerations. Users can develop their own naming system in their own analytical process. What is provided here is simply a description of what the variables represent.

1. Grievance File

The Grievance Files consist of 35,049 cases captured by 50 variables. There is one record per case. The data were gathered by means of a Monthly Grievance Report submitted by agencies. The essential information in this file is: **grievant's name, bargaining unit, appropriate step, grievance type, contract article(s) for contract grievances or subject for non-contract grievances, initial file date, appropriate decision and decision data to correspond to each step appealed**. If a grievance step was waived, code 07 was used for decision and the date was given as none. This information was required. No grievance case was closed unless this information was supplied.

A. *Table of Fields and Data Validity*

The table containing the **Layout of Grievance Files** summarizes the basic statistics about the data in this file with information on field position, length, type, total number of cases, missing cases, and invalid cases. Detailed explanation of the fields, including codes, are provided in Section B. The table is not available in this html version; contact the State Archives for a copy.

Layout of Grievance Files

Field	Name	Column	Width	Type	# of Cases that can have valid values	% of cases with invalid values
1	Record (Case) Number	1-8	8	Numeric	35,049	0.00%
2	Agency	9-23	15	Character	35,049	0.00%
3	Agency Case Number	24-38	15	Character	35,049	0.00%
4	Bargaining Unit	39-40	2	Numeric	35,049	0.02%
5	Grievant Name	41-70	30	Character	35,049	0.00%
6	Professional Title	71-90	20	Character	35,049	0.00%
7	Facility/Location	91-105	15	Character	35,049	0.00%
8	Step-1 Action	106	1	Character	32,312[3]	0.01%
9	Step-2 Action	107	1	Character	19,138[4]	0.00%
10	Step-3 Action	108	1	Character	8,518[5]	0.01%
11	Step-4 Action	09	1	Character	54[6]	1.85%
12	Arbitration	110	1	Character	1,548[7]	0.19%
13	Grievance Type	111-113	3	Character	35,049	0.00%
14	Article 1	114-123	10	Character	35,049	0.00%
15	Article 2	124-133	10	Character	35,049	0.00%
16	Article 3	134-143	10	Character	35,049	0.00%
17	Non-Contract Subject	144-158	15	Character	35,049	0.00%
18	Initial Filing Date (Month/Date/Year)	159-164	6	Numeric	35,049	0.10%
19	Initial Filing Date (Month)	159-160	2	Numeric	35,049	0.01%
20	Initial Filing Date (Day)	161-162	2	Numeric	35,049	0.01%
21	Initial Filing Date (Year)	163-164	2	Numeric	35,049	0.01%
22	Step-1 Decision	165-166	2	Numeric	32,312	3.50%
23	Step-2 Decision	167-168	2	Numeric	19,138	0.63%
24	Step-3 Decision	169-170	2	Numeric	8,515	0.61%
25	Step-4 Decision	171-172	2	Numeric	54	0.00%
26	Step-1 Decision Date (Month/Day/Year)	173-178	6	Numeric	32,312	0.00%
27	Step-1 Decision Date (Month)	173-174	2	Numeric	32,312	0.00%
28	Step-1 Decision Date (Day)	175-176	2	Numeric	32,312	0.00%
29	Step-1 Decision Date (Year)	177-178	2	Numeric	32,312	0.00%
30	Step-2 Decision Date (Month/Day/Year)	179-184	6	Numeric	19,138	0.00%
31	Step-2 Decision Date (Month)	179-180	2	Numeric	19,138	0.00%
32	Step-2 Decision Date (Day)	181-182	2	Numeric	19,138	0.00%
33	Step-2 Decision Date (Year)	183-184	2	Numeric	19,138	0.00%
34	Step-3 Decision Date	185-190	6	Numeric	8,518	0.00%

		(Month/Day/Year)					
35	Step-3 Decision Date (Month)	185-186	2	Numeric	8,518	0.00%
36	Step-3 Decision Date (Day)	187-188	2	Numeric	8,518	0.00%
37	Step-3 Decision Date (Year)	189-190	2	Numeric	8,518	0.00%
38	Step-4 Decision Date (Month/Day/Year)	191-196	6	Numeric	54	0.00%
39	Step-4 Decision Date (Month)	191-192	2	Numeric	54	0.00%
40	Step-4 Decision Date (Day)	193-194	2	Numeric	54	0.00%
41	Step-4 Decision Date (Year)	195-196	2	Numeric	54	0.00%
42	Arbitration Decision Date (Month/Day/Year)	197-202	6	Numeric	1,548	0.00%
43	Arbitration Decision Date (Month)	197-198	2	Numeric	1,548	0.00%
44	Arbitration Decision Date (Day)	199-200	2	Numeric	1,548	0.00%
45	Arbitration Decision Date (Year)	201-202	2	Numeric	1,548	0.00%
46	Closed	203	1	Character	35,049	0.02%
47	Step-3 Case Number	204-212	9	Character	8,518	0.07%
48	Step-3 Decision Date (Year)	204-205	2	Character	8,518	0.07%
49	Step-3 Bargaining Unit	206-207	2	Numeric	8,518	0.07%
50	Step-3 File Number	208-212	5	Numeric	8,518	0.07%

B. Explanation of Fields

There are 35,049 cases in the file with no duplicate case numbers and no missing cases. The numbers are in ascending order but in some cases do not immediately follow one another. It appears that when some of the cases were deleted, the corresponding case numbers were deleted as well. However, as this is not a useful research field, some missing case numbers will not affect the overall research value.

Field Number | Explanation

1. Grievance Record (Case) Number: A unique number generated by the computer for each case.

2. Agency: Name of the agency that filed the grievance report.

> Entries for this field are not standardized. Different entries for the same agency are possible. There is no mechanism to check invalid cases for this field. No missing values were found.

3. Agency Case Number: Identifying case/reference numbers unique to the agency. Entries for this field were optional.

4. Bargaining Unit: Specified codes for various bargaining units. Any unlisted codes are invalid.

       01 Security Services
       02 Administrative Services
       03 Operational Services
       04 Institutional Services
       05 Professional, Scientific, and Technical Services
       06 Management/Confidential
       07 State Police Troopers
       08 United University Professions
       17 State Police Officers and Non-Commissioned Officers
       47 Military and Naval Affairs
       61 Security Supervisors Unit
       62 State Police Investigators and Senior Investigators

       Entries are not standardized (e.g., the first code was entered as both 1 and 01).

5. Grievant Name: Last name and first initial of the grievant, separated by a comma.

       There are no missing cases.

6. Grievant's Professional Title: This is an optional field. There are many missing cases.

7. Facility/Location: Location of decentralized agencies.

       Missing values are to be expected in this field because it only applies to decentralized agencies. Entries are not standardized (an agency or agency location was entered by different names).

8.-11. Step-1, Step-2, Step-3, Step-4 Action: An X was marked for the most recent action taken. Step-4 was for State Police and M/C[8] only.

       It is possible that later steps were filled while former steps were left blank. The number of cases that can have valid values is inversely proportional to the number of steps.

12. Arbitration: An X was marked if an arbitration action was taken.

       Again, very few cases (1,548) went to the arbitration stage.

13. Grievance Type: Type of grievances indicated by codes.

       C = Contract
       NC = Non-Contract

OTW = Out-of-Title Work

14.-16. Contract Articles 1 through 3: For type C, most relevant article number(s) up to a maximum of three were listed. For type NC, a brief description of the subject of the grievance (one word where possible) was required. For type OTW, no entry was necessary.

The missing cases for the three fields should be calculated based on each grievance type.

17. Non-Contract Subject: Grievance subject for NC type.

Missing cases for this field need to be measured on NC types of grievances only.

18. Initial Filing Date (Month/Day/Year): Complete date when grievance was initially filed. It was entered when grievance was first reported and was not changed subsequently.

Field 18 is a combination of the next three fields. Entries are generally consistent.

19. Initial Filing Date (Month): Month when grievance was initially filed. It was entered when a grievance was first reported and was not changed subsequently.

This field takes up the first two spaces in field 18. Entries are generally consistent. It can be used to check the validity of entries for months.

20. Initial Filing Date (Day): Day when grievance was initially filed. It was entered when a grievance was first reported and was not changed subsequently.

Field 20 takes up the third and fourth spaces in field 18. Entries are generally consistent. This field can be used to check the validity of entries for days.

21. Initial Filing Date (Year): Year when grievance was initially filed. It was entered when a grievance was first reported and was not changed subsequently.

Field 21 takes up the last two spaces in field 17. Entries are generally consistent. This field can be used to check the validity of entries for years.

22.-25. Step-1 Decision to Step-4 Decision: Decision code(s) for Step-1 to Step-4.

Grievance Sustained
Grievance Denied
Grievance Withdrawn
(Code not in use at this time)
Grievance Partially Granted
Grievance Settled
Step Waived

The missing cases for these fields should be calculated according to each step action taken.

26. Step-1 Decision Date (Month/Day/Year): Complete date when Step-1 decision was made.

Field 26 is a combination of the next three fields. Entries are generally consistent. Missing cases should be calculated against the total number of Step-1 decisions.

27. Step-1 Decision Date (Month): Month when Step-1 decision was made.

This field takes up the first two spaces in field 26. Entries are generally consistent. It can be used to check the validity of entries for months. Missing cases should be calculated against the total number of Step-1 decisions.

28. Step-1 Decision Date (Day): Day when Step-1 decision was made.

Field 28 takes up the third and fourth spaces in field 26. Entries are generally consistent. This field can be used to check the validity of entries for days. Missing cases should be calculated against the total number of Step-1 decisions.

29. Step-1 Decision Date (Year): Year when Step-1 decision was made.

Field 29 takes up the last two spaces in field 26. Entries are generally consistent. This field can be used to check the validity of entries for years. Missing cases should be calculated against the total number of Step-1 decisions.

30. Step-2 Decision Date (Month/Day/Year): Complete date when Step-2 decision was made.

Field 30 is a combination of the next three fields. Entries are generally consistent. Missing cases should be calculated against the total number of Step-2 decisions.

31. Step-2 Decision Date (Month): Month when Step-2 decision was made.

This field takes up the first two spaces in field 30. Entries are generally consistent. It can be used to check the validity of entries for months. Missing cases should be calculated against the total number of Step-2 decisions.

32. Step-2 Decision Date (Day): Day when Step-2 decision was made.

Field 32 takes up the third and fourth spaces in field 30. Entries are generally consistent. This field can be used to check the validity of entries for days. Missing cases should be calculated against the total number of Step-2 decisions.

33. Step-2 Decision Date (Year): Year when Step 2 decision was made.

Field 33 takes up the last two spaces in field 30. Entries are generally consistent. This field can be used to check the validity of entries for years. Missing cases should be calculated against the total number of Step-2 decisions.

34. Step-3 Decision Date (Month/Day/Year): Complete date when Step-3 decision was made.

Field 34 is a combination of the next three fields. Entries are generally consistent. Missing cases should be calculated against the total number of Step-3 decisions.

35. Step-3 Decision Date (Month): Month when Step-3 decision was made.

This field takes up the first two spaces in field 34. Entries are generally consistent. It can be used to check the validity of entries for months. Missing cases should be calculated against the total number of Step-3 decisions.

36. Step-3 Decision Date (Day): Day when Step-3 decision was made.

Field 36 takes up the third and fourth spaces in field 34. Entries are generally consistent. This field can be used to check the validity of entries for days. Missing cases should be calculated against the total number of Step-3 decisions.

37. Step-3 Decision Date (Year): Year when Step-3 decision was made.

Field 37 takes up the last two spaces in field 34. Entries are generally consistent. This field can be used to check the validity of entries for years. Missing cases should be calculated against the total number of Step-3 decisions.

38. Step-4 Decision Date (Month/Day/Year): Complete date when Step-4 decision was made.

Field 38 is a combination of the next three fields. Entries are generally consistent. Missing cases should be calculated against the total number of Step-4 decisions.

39. Step-4 Decision Date (Month): Month when Step-4 decision was made.

This field takes up the first two spaces in field 38. Entries are generally consistent. It can be used to check the validity of entries for months. Missing cases should be calculated against the total number of Step-4 decisions.

40. Step-4 Decision Date (Day): Day when Step-4 decision was made.

Field 40 takes up the third and fourth spaces in field 38. Entries are generally consistent. This field can be used to check the validity of entries for days. Missing cases should be calculated against the total number of Step-4 decisions.

41. Step-4 Decision Date (Year): Year when Step-4 decision was made.

Field 41 takes up the last two spaces in field 38. Entries are generally consistent. This field can be used to check the validity of entries for years. Missing cases should be calculated against the total number of Step-4 decisions.

42. Arbitration Decision Date (Month/Day/Year): Complete date when arbitration decision was made.

Field 42 is a combination of the next three fields. Entries are generally consistent. Missing cases should be calculated against the total number of arbitration decisions.

43. Arbitration Decision Date (Month): Month when arbitration decision was made.

This field takes up the first two spaces in field 42. Entries are generally consistent. It can be used to check the validity of entries for months. Missing cases should be calculated against the total number of arbitration decisions.

44. Arbitration Decision Date (Day): Day when arbitration decision was made.

Field 44 takes up the third and fourth spaces in field 42. Entries are generally consistent. This field can be used to check the validity of entries for dates. Missing cases should be calculated against the total number of arbitration decisions.

45. Arbitration Decision Date (Year): Year when arbitration decision was made.

Field 44 takes up the last two spaces in field 42. Entries are generally consistent. This field can be used to check the validity of entries for years. Missing cases should be calculated against the total number of arbitration decisions.

46. Closed: When cases were closed.

A case is considered closed when all essential information was provided.

47.-50. Step-3 Case Number: This data element consists of the year (two spaces, also field 48) when a Step-3 action was taken, the negotiating unit (two spaces, also field 49) of the grievant, and the case file number (five spaces, also field 50).

For more specific information on how the entries were made, please refer to the appendices attached to this guide. Several examples are given to illustrate the data entry process.

2. Discipline File

This file includes 13,079 cases for grieved disciplinary cases captured by 31 variables displayed in the table below. There is one record per case. The following fields were required by the system: employee's name, bargaining unit, date of notice of discipline, charge 1, charge 2 (if applicable), penalty sought, employee suspended or reassigned, settled, agency decision date,

and agency decision. The next two sections provide a brief statistical summary as well as a detailed explanation for each field.

A. *Table of Fields and Data Validity*

The table containing the Layout for Discipline File summarizes the basic statistics about the data in this file with information on field position, length, type, total number of cases, and invalid cases. Detailed explanation of the fields, including codes, are provided in Section B.

Layout for Discipline File

Field	Name	Column	Width	Type	# of cases that can have valid values	% of cases with invalid values
1	Record (Case) Number	1-6	6	Numeric	13,079	0.00%
2	Agency Name	7-21	15	Character	13,079	0.00%
3	Filing Year	22-23	2	Character	13,079	0.02%
4	Agency Case Number	24-33	10	Character	13,079	0.00%
5	Employee Name	34-63	30	Character	13,079	0.00%
6	Bargaining Unit	64-65	2	Numeric	13,079	0.02%
7	Facility/location	66-80	15	Character	13,079	0.02%
8	NOD Month/Day/Year	81-86	6	Character	13,079	0.01%
9	NOD Month	81-82	2	Numeric	13,079	0.00%
10	NOD Day	83-84	2	Numeric	13,079	0.00%
11	NOD Year	85-86	2	Numeric	13,079	0.01%
12	Charge 1	87-88	2	Numeric	13,079	0.17%
13	Charge 2	89-90	2	Numeric	4,773[9]	0.05%
14	Penalty Sought	91-92	2	Numeric	13,079	0.18%
15	Suspend/Reassign	93	1	Character	13,079	0.12%
16	Settled	94	1	Character	13,079	0.08%
17	Agency Decision Month/Day/Year	95-100	6	Character	13,079	0.00%
18	Agency Decision Month	95-96	2	Numeric	13,079	0.00%
19	Agency Decision Day	97-98	2	Numeric	13,079	0.00%
20	Agency Decision Year	99-100	2	Numeric	13,079	0.00%
21	Agency Decision	101-102	2	Numeric	13,079	0.01%

	1					
22	Agency Decision 2	103-104	2	Numeric	833[10]	0.00%
23	Arbitration Month/Day/Year	105-110	6	Character	790	0.00%
24	Arbitration Month	105-106	2	Numeric	790	0.00%
25	Arbitration Day	107-108	2	Numeric	790	0.00%
26	Arbitration Year	109-110	2	Numeric	790	0.00%
27	Arbitration Outcome	111-112	2	Numeric	791	0.00%
28	Arbitration Modification	113	1	Character	791	0.00%
29	AAA Case Number	114-128	15	Character	788	0.00%
30	Arbitrator's Name	129-158	30	Character	876	0.00%
31	Closed	159	1	Character	13,079	0.01%

B. *Explanation of Fields*

Field Number | Explanation

1. Discipline Records (Case) Number: A unique number generated by the computer for each case.

> There are no duplicate case numbers and no missing cases. Gaps between the numbers indicate that record(s) were deleted. Reasons for the deletions are unknown.

2. Agency Name: Name of the agency that filed the discipline report.

> Entries for this field are not standardized. Different entries for the same agency are possible. There is no mechanism to check invalid cases for this field. No missing cases were found.

3. Filing Year: Year the report was filed.

> This field carries the same value as field 11. It should be treated as a character field because letters are found in the miscodes. Forty percent of the cases are missing. However, field 11 has much fewer missing cases.

4. Agency Case Number: Entries for this field were optional, and the numbers should be unique to the agency.

There is no standard format for the number. It includes numeric as well as string values. Each agency had a different coding mechanism which makes it impossible to check the validity of the data. Some duplications were also found.

5. Employee Name: Last name and first initial, separated by a comma.

This field contains abbreviations and initials as well as proper names. There are no missing cases. However, this field is suppressed from the copy for public use (including those files residing on SARA's anonymous ftp directory).

6. Bargaining Unit: Specified codes for various bargaining units. Any unlisted codes are invalid.

01 Security Services
02 Administrative Services
03 Operational Services
04 Institutional Services
05 Professional, Scientific and Technical Services
06 Management/Confidential
07 State Police Troopers
08 United University Professions
17 State Police Offices and Non-Commissioned Officers
47 Military and Naval Affairs
61 Security Supervisors Unit
62 State Police Investigators and Senior Investigators

Entries are not standardized (e.g., code 01 was entered as 1 or 01). Very few missing cases (less than .06 percent) were found.

7. Facility/Location: Location of decentralized agencies.

Missing values are to be expected in this field, because it applies only to decentralized agencies.

8. NOD Month/Day/Year: Month, day, and year on the Notice of Discipline.

This field is a combination of the next three fields. Because entries in the next two fields are not standardized (see explanation for each field), field 8 is best treated as a character field. Very few missing cases were found.

9. NOD Month: Month on the Notice of Discipline.

This field takes up the first and second spaces in field 8. Entries are not standardized (e.g., January was entered as "1", "01" or "_1" [read as space 1]). When used alone, it is best treated as a numeric field (all three kinds of entries will be read as 1). This field can be used separately to check the validity of the entries for months. Very few missing cases were found.

10. NOD Day: Day on the Notice of Discipline.

This field takes up the third and fourth spaces in field 8. Like field 9, entries are not standardized (e.g., 1 is entered as "1", "01" or "-1" [read as space 1]). While it can be treated as a numeric variable when used alone (all three kinds of entries will be read as 1), when serving as the middle element for field 8, _1 will not be accepted as numerical. Field 8 should therefore be treated as a character field. Very few missing cases were found. This field can also be used to check the validity of the entries for days.

11. NOD Year: Year on the Notice of Discipline

This field takes up the last two spaces in field 8. Entries are standardized. Very few missing cases were found.

12.-13. Charge 1, Charge 2: The first (column 12) and second (column 13, if applicable) most serious charges pending against the employee. The charges are represented by codes. Any unlisted codes are invalid. Field 13 was completed only when necessary.

1 Abuse or neglect of patients/clients
2 Lack of supervision by a supervisor
10 Sexual Harassment
11 Destruction of State property
12 Abuse of co-workers or supervisor
13 Drug or alcohol related
14 Discredit to agency
15 Work rule violation
16 Discredit to agency
17 Failure to report incident
18 Falsification of records
19 Incompetence
20 Sleeping on duty
21 Crime-related charges
22 Theft
23 Failure to cooperate with investigation
24 Acts outside the scope of
25 Off-duty conduct
26 Unauthorized absence
27 Tardiness
28 Excessive absences
29 Attendance (used when NOD cited another charge)
50 Improper association (with inmate - Correction only)

Entries are not standardized for codes 1 and 2 (they can be both 1, 2, or -1, -2). The total case column indicates that less than one-third of the cases had a second charge.

14. Penalty Sought: Penalty sought by the agency. The penalties were also represented by codes. Any unlisted codes are invalid. This item contains non-standardized entries.

    1 Termination
    2 Suspension
    3 Demotion
    4 Reassignment
    5 Probation
    6 Fine
    7 Fine
    8 Reprimand
    9 Restitution
    10 Combination of penalties

15. Suspend/Reassign: Whether the employee was suspended, the employee was reassigned, or no action was taken pending resolution of the case.

    S Suspended
    R Reassigned
    N No action taken

16. Settled: Whether the case was settled by the agency.

    Y Yes
    N No

17. Agency Decision Month/Day/Year: Complete date for those cases which were heard at the agency level. This item should be blank only for cases that went directly to arbitration.

> This field is a combination of the next three fields. Because entries in the next two fields are not standardized (see explanation for each field), field 17 should be treated as a character field.

18. Agency Decision Month: Month for those cases which were heard at the agency level.

> This field takes up the first and second spaces in field 17. Entries are not standardized (e.g., January was entered as "1", "01" or "_1" [read as space 1]). When used alone, it is best treated as a numeric field (all three kinds of entries will read as 1). This field can be used separately to check the validity of the entries for months.

19. Agency Decision Day: Day for those cases which were heard at the agency level.

> This field takes up the third and fourth spaces in field 17. Like field 18, entries are not standardized (e.g., 1 was entered as "1", "01" or "_1" [read as space 1]). While the field can be treated as numeric when used alone (all three kinds of entries will be read as 1), when serving as the middle element for field 17, it will not be accepted as numerical if

entered as "-1". Field 17 should therefore be treated as a character field. This field can also be used to check the validity of the entries for days.

20. Agency Decision Year: Year for those cases which were heard at the agency level.

This field takes up the last two spaces in field 17. Entries are not standardized.

21.-22. Agency Decision 1 and 2: Agency's initial decisions (up to two), represented by specified codes. This item should only be blank for cases that went directly to arbitration.

> 1 Termination
> 2 Suspension
> 3 Demotion
> 4 Reassignment
> 5 Probation
> 6 Fine
> 7 Loss of accruals
> 8 Reprimand
> 9 Restitution
> 10 Not guilty
> 11 NOD not grieved
> 12 NOD withdrawn
> 13 Resignation
> 14 Step waived
> 15 Appeal not completed (used when an employee appealed to arbitration and the arbitration hearing was not held, usually because of the grievant's failure to provide the advance fee).

Codes 1 to 9 were entered inconsistently (e.g., 1 was entered as 1 or 01). Like field 17 to 20, this field should be blank only for cases that went directly to arbitration. Field 22 was filled only when more than one decision was made. Approximately six percent (833) of the cases were filled.

23. Arbitration Month/Day/Year: Complete date when arbitrator's award was made. The field is blank for cases that did not go to arbitration.

This field is a combination of the next three fields. Because entries in the first two fields are not standardized (see explanation for each field), field 23 is best treated as a character field.

24. Arbitration Month: Month when arbitrator's award was made. This field is blank for cases that did not go to arbitration.

This field takes up the first and second spaces in field 23. Entries are not standardized (e.g., January was entered as "1", "01" or "_1" [read as space 1]). When used alone, it is

best treated as a numeric field (all three entries should be read as 1). This field can be used separately to check the validity of the entries for months.

25. Arbitration Day: Day when arbitrator's award was made. This field is blank for cases that did not go to arbitration.

This field takes up the third and fourth spaces in field 23. Like field 18, entries are not standardized (e.g., 1 was entered as "1", "01" or "_1" [read as space 1]). While it can be treated as a numerical variable when used alone (all three kinds of entries should be read as 1), when serving as the middle element for field 23, it will not be accepted as numerical if entered as "_1". Field 23 should therefore be treated as a character field. This field can also be used to check the validity of the entries for days.

26. Arbitration Year: Year when arbitrator's award was made. This field is blank for cases that did not go to arbitration.

This field takes up the last two spaces in field 23. Entries are standardized.

27. Arbitration Outcome: Arbitrator's award, represented by specific codes.

1 Termination
2 Suspension
3 Demotion
4 Reassignment
5 Probation
6 Fine
7 Loss of accruals
8 Reprimand
9 Restitution
10 Not guilty
11 NOD not grieved
12 NOD withdrawn
13 Resignation
14 Step waived
15 Appeal not completed (used when an employee appealed to arbitration and the arbitration hearing was not held, usually because of the grievant's failure to provide the advance fee).

Few cases actually went to the final arbitration stage. This is the reason for the high proportion of missing cases.

28. Arbitration Modification: Whether the agency decision was modified.

Y Yes
N No

29. AAA Case Number: Case number assigned by the American Arbitration Association.

This item was left blank when no arbitration award was given. 788 records were assigned an AAA number.

30. Arbitrator: Last name and first initial of the arbitrator, separated by a comma.

This field was filled only for cases that went to arbitration. Some inconsistency is found in terms of the number of arbitration decisions, AAA case numbers assigned, and the arbitrators' names.

31. Closed: Whether the case was closed.

Y Yes
N No

Cases were closed when a discipline was completed and all necessary information was supplied. Some missing cases were found for this item.

For specific information on how the data were entered, please refer to the appendices attached to this guide, where an example is given to illustrate the data collection process.

Appendices

- Appendix A. Instructional Packet Prepared by the Governor's Office of Employee Relations (GOER)
- Appendix B. History and Background of the Grievance Tracking System Prepared by GOER
- Appendix C. Tables of Contents and Article Title Lists to Union Contracts, 1982-1991

Appendices A-C cannot be downloaded. They are available only in paper copies and must be ordered from the State Archives.

End Notes

3 Some cases were solved before Step-1 action was taken. These cases do not have values for variables that occurred after they were resolved.

4 Many cases were solved at Step-1, leaving a much smaller number of cases at this step. These cases do not have values for variables that occurred after they were resolved.

5 Most of the cases were solved in Step-1 and Step-2 actions, leaving few cases to Step-3. These cases do not have values for variables that occurred after they were resolved.

6 Step-4 action is for State Police and M/C only.

7 Few cases went to arbitration.

8 Employees classified by the Public Employment Federation Board as performing managerial or confidential tasks and were therefore not eligible for union representation. These employees were not covered by a bargaining agreement. Their term and condition of employment, including grievance and discipline procedures, were determined by New York State and codified in Civil Service rules and regulations.

9 Most discipline cases did not include a second charge.

[10] Most discipline cases did not progress past the first agency decision level, and will not have values in subsequent variables.