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DAVID Y. IGE
GOVERNOR

JAMES K. NISHIMOTO
DIRECTOR

CINDY S. INOUYE
DEPUTY DIRECTOR

STATE OF HAWAII
DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT
235 S. BERETANIA STREET
HONOLULU, HAWAII 96813-2437

TO: THE HONORABLE DAVID Y. IGE
GOVERNOR, STATE OF HAWAII

FROM: JAMES K. NISHIMOTO
DIRECTOR

SUBJECT: REQUESTING APPROVAL OF AN EXPERIMENTAL MODERNIZATION PROJECT

In accordance with §78-3.5, I am requesting your approval of an experimental modernization project to pilot a broadbanding classification system for the Information Technology (IT) Specialist series and IT Managerial classes. The IT broadbanding classification system will be more responsive to the operational needs of departments, simplify the classification of positions, and provide managers with more flexibility to recognize and compensate employees for their professional growth.

An Executive Summary and copy of the proposed pilot project is attached.

☑ APPROVED / DISAPPROVED: ☐

DAVID Y. IGE
GOVERNOR, STATE OF HAWAII

Dec 31, 2015
DATE

EXECUTIVE SUMMARY

The Civil Service Information Technology (IT) Broadbanding Pilot Project will transition the State from a traditional position classification system to a system of "broadbanding". All IT positions will be assigned to a single IT Career Group and in turn to one of four broadband levels: entry/independent worker, journeyworker/subject matter expert, supervisor, or excluded manager.

Broadbanding is intended to be more responsive to the operational needs of line departments, simplify the process for classification of positions, and create a more flexible system that allows for the recognition and compensation of employees for professional growth and development. In addition to the traditional practices of promotion and position reallocation, new compensation tools will be designed to allow for discretionary, employer-initiated compensation adjustments based on employee-focused factors such as job-related professional development, incremental changes in assigned duties and responsibilities, internal alignment, and retention. While broadbanding will provide for employer-initiated, discretionary and employee-focused compensation adjustments, **collective bargaining will continue to provide for en-masse negotiated pay adjustments, step movements and compensation applicable to all IT professionals**.

While the Civil Service IT Broadbanding Pilot Project will be similar to the University of Hawai'i's Broad Band System for Administrative, Professional and Technical personnel, the Civil Service IT Pilot will reflect the negotiated Bargaining Unit 13 salary schedule and step movement plan and incorporate significant revisions identified in the review of the University's System. The Civil Service IT Pilot is an experimental modernization project as provided for in Section 78-3.5, HRS, and premised on Chapter 76-13.5, HRS, that allows for multiple classification systems. DHRD collaborated with the staff of the HGEA in the development of this proposal.

The roll-out of the Pilot is planned for January 2016 on a budget neutral basis, subject to the execution of a memorandum of understanding relating to negotiable topics.

Civil Service Information Technology Broadbanding Pilot Project

January 2016

State of Hawai'i

Department of Human Resources Development (DHRD)

Plan Designers:

Lisa Hodges, Personnel Program Manager, DHRD

Eliza Campos, Personnel Management Specialist, DHRD

Sunah Cheng, Personnel Management Specialist, DHRD

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The roll-out of the Pilot in October 2015 will be on a budget neutral basis.

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SECTION I

INTRODUCTION/BACKGROUND

To fulfill one of Governor David Ige's Administration's Core Values: "Ho'okumu – We continually seek new and innovative ways to accomplish our work and commit to finding creative solutions to the critical issues facing the state," the Department of Human Resources Development (DHRD) is initiating a classification and compensation broadbanding system pilot project for IT Specialists and IT Managers. The new system will be a transition from the traditional position classification system to a system of "broadbanding" that is intended to be more responsive to the operational needs of line departments, simplify the process for classification of positions, and provide managers with more flexibility to recognize and compensate employees for professional growth. October 2015 is the Pilot Project target roll-out date.

The following excerpts from an article entitled, "Reinventing Human Resource Management, HRM02: Reform the General Schedule Classification and Basic Pay System" (see copy in Attachment P) provide some context for this undertaking. The General Schedule (GS) system was established in 1949 and was intended to provide a standard framework for establishing the pay hierarchy for federal employees in white-collar occupations. Fifteen grades were established and described the level of work at each grade for the purpose of establishing a classification system to ensure that equal pay be provided for substantially equal work (by ensuring equal grade for equal work), and that work would be classified based on its difficulty, responsibility, and qualification requirements. In addition, 450 separate job categories called "series," for which classification standards were developed, described the nature of work and set forth criteria or rules for determining the appropriate grade level.

The article identified the following concerns regarding the GS system:

Lack of Mission Focus. The GS classification system was premised on the idea that internal equity would help the government more effectively and efficiently accomplish its various missions by ensuring that employees were compensated based

on the difficulty and responsibility of their work; by addressing employee concerns about pay fairness; by reducing interagency competition for employees based on pay; and by simplifying the pay setting process. Over time, the ideal of internal equity emerged as the supreme goal of the system, instead of being viewed as a means of attaining the larger goals associated with effective government. Consistent with the focus on internal equity, system administrators sought to achieve greater precision, even though the additional precision did not result in -- and perhaps even worked against -- more effective government. Studies concluded that a new and better balance was needed -- a balance that could be achieved by a less precision-oriented classification system that provided for greater agency flexibility and was more supportive of agency missions without undermining the long-term government-wide interests that originally prompted establishment of the system. A report by the National Academy of Public Administration (NAPA) noted, "The degree of precision with which jobs are classified under this [General Schedule classification] system is neither warranted by the methodology nor necessary to support pay equity or to organize work efficiently."

Low Credibility. According to the article, a survey of federal employees conducted by the Office of Personnel Management (OPM) found that only 31 percent of employees agreed that their pay was fair in comparison to other people in their organization. Thus, despite the attempts to build precision into the system through central control and rules, the fairness of the system appeared to be questioned by the vast majority of people whose opinion was perhaps most important. According to James E. Colvard, former Deputy Director of OPM, "The current classification system allows the manager to be precisely wrong. What the manager needs is the opportunity to be roughly right."

Complexity. The GS classification system was described as difficult to understand and to use. The system's complexity promoted excessive paperwork and slow, cumbersome administrative procedures. It also made it difficult to maintain currency. In a report by NAPA it was noted, "In an era of growing pressures for efficiency, productivity, flexibility, customer satisfaction, and goal-directed results, the

[General Schedule] classification system is mired in expensive, time-consuming, rule-driven complexity."

Fragmented Accountability. Accountability for GS classification was noted to be fragmented among OPM, agency personnel offices, and agency program managers. There was a clear need to consolidate accountability for mission and classification in one place. This suggested giving classification authority to line managers while ensuring that they would be accountable for managing budget dollars prudently and paying employees fairly, in accordance with government-wide standards.

Inflexibility. One-size-fits-all rigidity characterized the GS classification and pay system. Agency managers pointed out that agencies have diverse missions, challenges, organizational structures, values and cultures, and that they must respond to ever-changing external conditions. It was felt that the classification system could not be so immutable that it could not respond to new ways of designing work, the changing value of jobs, or changes in the work itself.

Hierarchical Orientation. The GS classification system seemed to facilitate or reinforce hierarchical structures. Part of the reason was the reliance upon specialized, narrow jobs, which resulted in the creation of organizational stovepipes structured by function instead of by mission. More importantly, the classification system more readily provided higher grades for supervisory work than for expert-level nonsupervisory work. It was reported by many different sources that supervisory positions were frequently created as a means of providing employees with higher grades. This suggested that a more flexible classification system designed to encourage more broadly defined jobs and to more readily permit dual career ladders could facilitate the streamlining or delayering of federal organizations.

Conclusions: The article concluded that the interrelated concerns described above pointed to the need for a new mission-driven classification and basic pay system -- a system that achieved a better balance between flexibility and accountability, was simpler to understand and administer, and that could be used proactively as a tool to

help reshape the federal government. To achieve change in the classification and pay area without producing chaos, it was proposed that a flexible system be developed that would allow agencies to take incremental steps based upon their needs and levels of readiness to assume greater responsibilities.

Basis for the Civil Service Information Technology Broadbanding Pilot Project. In the context of the above comments, the Federal government developed a variety of classification and job evaluation systems, e.g., position classification, broad-banding, etc. in an effort to satisfy operating needs while ensuring a systematic way of classifying and compensating employees. These systems were evaluated and have been adapted for use as a basis for the DHRD Civil Service IT Broadbanding Pilot Project. Other public sector classification and compensation systems, e.g., the Commonwealth of Virginia, the State of Florida, and others, were also reviewed, as well as systems from higher education, e.g., the University of Hawai'i, Massachusetts Institute of Technology, and Virginia Commonwealth University.

A Working Committee, comprised of DHRD staff specializing in the areas of classification, compensation, recruitment, and labor relations, was established to develop the Civil Service IT Broadbanding Pilot Project concepts. The Working Committee developed a working draft of the pilot project principles, criteria, policies and procedures. To ensure that the new broadbanding system would be responsive to the needs of users, a Consultant Group comprised of the State's Chief IT Officer, an IT manager, a Departmental Personnel Officer, and a representative of the Hawaii Government Employees Association (HGEA) was established. To provide oversight of the Civil Service IT Broadbanding Pilot Project, a Labor-Management Committee comprised of representatives of management and the HGEA will be responsible for providing strategic planning for the broadbanding pilot project, recommend policy changes, and evaluate the broadbanding pilot project.

The Information Technology Specialist series, Information Technology Manager, Information and Communication Services (ICS) Administrator, and Assistant Administrator ICS classes were selected for the pilot project because of their unique

features, such as focused area of expertise; specialized qualification requirements; continuously evolving knowledge base; high demand in the public and private sector; very competitive wage requirements; and other characteristics that distinguish these classes from other more traditional classes found in civil service. To address these factors, the new broadbanding system was designed to provide new pay practices as well as a new, more flexible approach to the classification of positions.

In contrast to the existing position classification system which emphasizes the classification or evaluation of positions and their assigned duties and responsibilities, the new system focuses on determining compensation of the employee and recognizing the employee's contributions to the organization. **In other words, the new broadbanding system adds for compensation purposes the dimension an employee-focused consideration to the traditional position-focusedconsideration.**

Evaluation of the Pilot Project will be an on-going process. Prior to implementation of the pilot, an assessment will be made to ensure that there is a shared understanding among users (employees, union and managers) of the principles and goals underlying the project. During implementation of the Pilot Project, there will be on-going assessments with modifications implemented as deemed appropriate. After a twelve-month initial implementation period, a comprehensive evaluation of the pilot will be made to determine if the Pilot Project should be continued or discontinued.

SECTION II

STATUTORY FRAMEWORK

DHRD'S development of the Civil Service Civil Service IT Broadbanding Pilot Project is consistent with the statutory mandate that the DHRD Director develop and maintain "classification systems." In accordance with Section 76-13 (7), HRS, the specific duties of the DHRD Director include "Develop and maintain classification systems." Further, Section 76-13.5(a), HRS, states:

> **§76-13.5, Classification.** (a) Each director shall establish, implement, and maintain **one or more classification systems** (emphasis added) covering all civil service positions, not otherwise exempted by rules. The classification systems shall be constructed with the objective of achieving equal pay for equal work as provided in section 76-1. The director shall adopt rules that allow for the administrative review of classification and initial pricing actions.

The Civil Service Civil Service IT Broadbanding Pilot Project is also intended to be an experimental modernization project developed pursuant to applicable statutory authority. Act 253, SLH 2000 sets forth provisions for experimental modernization projects as codified in Section 78-3.5, HRS, to encourage and facilitate improvements in the human resource programs of the several jurisdictions:

> **§78-3.5 Experimental modernization projects.** (a) It is the intent of this section to encourage and facilitate improvements in the human resource programs of the several jurisdictions. With the approval of the chief executive, the director may conduct experimental modernization projects to determine whether specific changes in its human resource program would result in a more desirable program for the jurisdiction.
>
> (b) Prior to the implementation of any experimental modernization project, the director shall:
>
> (1) Develop a plan identifying the purposes of the project, the methodology to be used, the duration of the project, the

criteria for evaluation of the project, and the cost of the project, if any;

(2) Consult with the employees who would be involved in the conduct of the project; and

(3) Negotiate with the exclusive representative if a modification or waiver of any provision in a collective bargaining agreement is necessary to conduct the project.

(c) While the project is in progress, it shall not be limited by state or local personnel laws and rules, but shall be in compliance with all equal employment opportunity laws and laws prohibiting discrimination.

The Civil Service IT Broadbanding Pilot Project will also promote and adhere to the merit principle as set forth in Section 76-1, HRS:

§76-1 Purposes; merit principle. It is the purpose of this chapter to require each jurisdiction to establish and maintain a separately administered civil service system based on the merit principle. The merit principle is the selection of persons based on their fitness and ability for public employment and the retention of employees based on their demonstrated appropriate conduct and productive performance. It is also the purpose of this chapter to build a career service in government, free from coercive political influences, to render impartial service to the public at all times, according to the dictates of ethics and morality and in compliance with all laws.

In order to achieve these purposes, it is the declared policy of the State that the human resource program within each jurisdiction be administered in accordance with the following:

(1) Equal opportunity for all in compliance with all laws prohibiting discrimination. No person shall be discriminated against in examination, appointment, reinstatement, reemployment, promotion, transfer, demotion, or removal, with respect to any position when the work may be efficiently performed by the person

without hazard or danger to the health and safety of the person or others;

(2) Impartial selection of individuals for public service by means of competitive tests which are fair, objective, and practical;

(3) Incentives for competent employees within the service, whether financial or promotional opportunities and other performance based group and individual awards that encourage continuous improvement to achieve superior performance;

(4) Reasonable job security for competent employees and discharge of unnecessary or inefficient employees with the right to grieve and appeal personnel actions through the:

(A) Contractual grievance procedure for employees covered by chapter 89; or

(B) Internal complaint procedures and the merit appeals board for employees excluded from coverage under chapter 89;

(5) Equal pay for equal work shall apply between classes in the same bargaining unit among jurisdictions for those classes determined to be equal through systematic classification of positions based on objective criteria and adequate job evaluation, unless it has been agreed in accordance with chapter 89 to negotiate the repricing of classes; and

(6) Harmonious and cooperative relations between government and its employees, including employee organizations representing them, to develop and maintain a well-trained, efficient, and productive work force that utilizes advanced technology to ensure effective government operations and delivery of public services.

It is in the context of these cited statutory provisions that DHRD is developing and implementing the Civil Service Civil Service IT Broadbanding Pilot Project. It is envisioned that subsequent to implementation of this Pilot Project, the principles of broadbanding will be expanded to other civil service classes.

The Civil Service IT Broadbanding Pilot Project recognizes the statutory requirements to negotiate wage, hours and terms and conditions of employment while excluding certain subjects from negotiations, e.g., classification; reclassification; recruitment; examination; employers right to: direct employees; determine qualifications, standards for work, and the nature and contents of examinations; hire, promote, transfer, assign, and retain employees in positions; maintain efficiency and productivity, including maximizing the use of advanced technology, in government operations; determine methods, means, and personnel by which the employer's operations are to be conducted; etc., as set forth in Section 89-9, Hawai'i Revised Statutes:

> **§89-9 Scope of negotiations; consultation.** (a) The employer and the exclusive representative shall meet at reasonable times, including meetings sufficiently in advance of the February 1 impasse date under section 89-11, and shall negotiate in good faith with respect to wages, hours, the amounts of contributions by the State and respective counties to the Hawaii employer-union health benefits trust fund to the extent allowed in subsection (e), and other terms and conditions of employment which are subject to collective bargaining and which are to be embodied in a written agreement as specified in section 89-10, but such obligation does not compel either party to agree to a proposal or make a concession.
>
> (b) The employer or the exclusive representative desiring to initiate negotiations shall notify the other party in writing, setting forth the time and place of the meeting desired and the nature of the business to be discussed, sufficiently in advance of the meeting.

(c) Except as otherwise provided in this chapter, all matters affecting employee relations, including those that are, or may be, the subject of a rule adopted by the employer or any director, shall be subject to consultation with the exclusive representatives of the employees concerned. The employer shall make every reasonable effort to consult with exclusive representatives and consider their input, along with the input of other affected parties, prior to effecting changes in any major policy affecting employee relations.

(d) Excluded from the subjects of negotiations are matters of classification, reclassification, benefits of but not contributions to the Hawaii employer-union health benefits trust fund, recruitment, examination, initial pricing, and retirement benefits except as provided in section 88-8(h). The employer and the exclusive representative shall not agree to any proposal which would be inconsistent with the merit principle or the principle of equal pay for equal work pursuant to section 76-1 or which would interfere with the rights and obligations of a public employer to:

(1) Direct employees;

(2) Determine qualifications, standards for work, and the nature and contents of examinations;

(3) Hire, promote, transfer, assign, and retain employees in positions;

(4) Suspend, demote, discharge, or take other disciplinary action against employees for proper cause;

(5) Relieve an employee from duties because of lack of work or other legitimate reason;

(6) Maintain efficiency and productivity, including maximizing the use of advanced technology, in government operations;

(7) Determine methods, means, and personnel by which the employer's operations are to be conducted; and

(8) Take such actions as may be necessary to carry out the missions of the employer in cases of emergencies.

This subsection shall not be used to invalidate provisions of collective bargaining agreements in effect on and after June 30, 2007, and shall not preclude negotiations over the procedures and criteria on promotions, transfers, assignments, demotions, layoffs, suspensions, terminations, discharges, or other disciplinary actions as a permissive subject of bargaining during collective bargaining negotiations or negotiations over a memorandum of agreement, memorandum of understanding, or other supplemental agreement.

Violations of the procedures and criteria so negotiated may be subject to the grievance procedure in the collective bargaining agreement.

A Supplemental Agreement between the Hawai'i Government Employees Association and the State of Hawai'i that reflects understanding relating to such topics as compensation adjustments, procedures, and other compensation related topics (See Attachment XX).

SECTION III

OTHER CLASSIFICATION SYSTEMS AND METHODOLOGIES

As a precursor to this Pilot Project, other classification systems and job evaluation methodologies used in the Federal government and in other state governments were reviewed and evaluated. As appropriate, concepts from these other systems have been taken into consideration and incorporated into the framework of the IT broadbanding system.

FEDERAL SYSTEM

In 2013, about 80 percent of the federal government's civilian white-collar workforce was covered by the General Schedule (GS) classification system. The GS classification system is a position classification system that uses point factor evaluation to determine the relative value of jobs. Classification is decentralized down to agencies, and the Office of Personnel Management (OPM) is responsible for administration of the GS system through the development of guidelines, classification and qualification standards. Congress and OPM have authorized some alternatives to the GS system, such as pay for performance and broadbanding systems, to address a variety of concerns, frequently related to pay.

CHINA LAKE DEMONSTRATION PROJECT

As mentioned earlier, the September 1993 Report of the National Performance Review (NPR) on Reinventing Human Resource Management recommended, among other things, that agencies be provided with flexibility to establish broadbanding systems. The report specifically cited test projects such as the Navy's China Lake demonstration project.

In 1980, approximately 8,000 scientists, engineers, technicians, clerical and administrative staff were consolidated into seven (7) groups and 18 pay grades, and then consolidated into 3 to 5 bands, dependent on the job group. The system was designed to provide a simplified and flexible classification system which consolidated

the GS grades, thereby providing: 1) a streamlined, objectives-oriented performance appraisal system closely integrated with organizational objectives, and 2) a performance-based pay system linking pay increases to individual performance ratings. The demonstration project became permanent in 1994.

The China Lake Demonstration Project established that the concept of broadbanding could successfully be implemented in the public sector.

FLORIDA STATE PERSONNEL SYSTEM BROADBAND CLASSIFICATION AND COMPENSATION PROGRAM

In 2001 the state of Florida restructured its state classification system by collapsing 3,343 classes from their old classification system into approximately 237 occupations under a broadband system. To accomplish this, Florida used a uniform job categorization system based on the Federal Standard Occupation Classification System (SOC). The broadband system provided a high degree of flexibility to agencies in order to meet the needs and demands of Florida's state workforce.

Today, Florida's broadband classification system consists of 23 job families (groupings of similar occupational groups), 38 occupational groups (groupings of similar occupations), approximately 147 occupational broadband levels (with each occupational group having up to 6 levels), and approximately 237 occupations.

THE COMMONWEALTH OF VIRGINIA

On September 12, 2000 the Commonwealth of Virginia implemented a comprehensive broadbanding system. Their former Classification Plan consisted of 1,650 individual job classifications, 580 class series, and 8 occupational groups. The new broadbanding system consolidated their job organizational structure into 300 broad roles, 60 career groups, and 7 occupational families. In addition, their new salary structure consolidated 23 former pay grades into 9 broad pay bands. Virginia's new system was designed to provide new pay practices, greater opportunities for career growth within state government, greater management flexibility and accountability, and

new ways to recognize and reward exceptional employee performance and acquired skills.

The Commonwealth of Virginia currently continues to use its version of a broadbanding system.

VIRGINIA COMMONWEALTH UNIVERSITY (VCU)

VCU's stated compensation philosophy is to "compensate employees in a manner sufficient to support and develop a high performance workforce so that quality services are provided in a fiscally responsible manner to the university's internal and external customers and the citizens of the commonwealth."

VCU has operationalized this philosophy by identifying the basic goals and values that guide the ongoing design, implementation and administration of the university's classified compensation management program. The underlying principles of VCU's compensation philosophy are as follows:

- To ensure that all compensation decisions are consistent with VCU's mission, goals and business objectives
- To encourage shared ownership of compensation management between university administration and Human Resources (HR) to include HR review/consultation on centralized salary actions and management decision-making and accountability for decentralized pay decisions
- To use job evaluation, compensation and rewards tools to support recruitment and retention of quality employees
- To provide flexibility in determining employee compensation by using the pay practices identified in the Commonwealth's compensation management system
- To grant salary increases based on employees meeting an acceptable level of job performance

VCU's Human Resources office reviews each requested action and conducts post-audits of select compensation actions every six months. The HR staff also reviews and compiles a report of university-wide classified compensation actions on an annual basis. VCU also continuously reviews all existing policies, practices and information systems requirements to determine if revisions and adjustments are needed to support the university's compensation philosophy and classified compensation management system.

UNIVERSITY OF HAWAII CLASSIFICATION AND COMPENSATION SYSTEM FOR ADMINISTRATIVE, PROFESSIONAL AND TECHNICAL (APT) PERSONNEL

In 2001, the University of Hawaii implemented a new classification and compensation system utilizing broadbanding concepts. Under the new system, the 240 APT classes of positions were consolidated into 16 broad career groups and four levels of positions (entry/independent worker, journeyworker/working supervisor, supervisor/subject matter expert, and program manager). Concurrently, 17 different pay ranges with 36 steps in each pay range were consolidated into 4 pay bands. This new broadbanding system was designed to be criteria-based, simple and flexible, as well as easy to understand and administer. The new system also provided mechanisms to recognize and reward employees for growth in the job and performance through in-grade adjustments and/or performance awards.

In addition, due to increased competition in the labor market for IT Specialists, it was becoming increasingly difficult to attract and retain competent IT employees because compensation in the existing University system was significantly lower than that of the labor market. In an effort to address this situation, the University utilized the broadbanding concept to replace its long-standing IT position classification system by consolidating 13 IT classes into 4 broad bands.

The University's IT Demonstration Project also implemented special compensation adjustments in the form of in-grade adjustments (lateral movement within a band) and performance awards based on employee growth in the job and performance. An in-grade adjustment effectuated a permanent adjustment to an employee's base pay in order to recognize and reward an employee's demonstrated

professional growth in the job, as documented by assignment of new, expanded and more complex duties and responsibilities. This adjustment was also intended to recognize the acquisition of additional skills that enhanced job mastery. A performance reward, in turn, was a one-time cash bonus paid in the form of a stipend, intended to reward such attributes as initiative, effort, dependability and overall contribution to a work unit's mission.

Significantly, after 15 years of managing and administering its broadbanding classification and compensation system, the University has made no major changes to its basic broadbanding framework. This is a reflection of the system's stability and responsiveness to the University's need for flexibility and adaptability to changing programmatic and operational needs. While the University continues to review the system, it appears that the system's identified benefits, such as flexibility, simplicity, decentralization of decision-making and timeliness, out-weigh the competing interests of centralized control and decision-making.

Although the Civil Service Information Technology Broadbanding Pilot Project is similar to the University of Hawai'i's Broad Band System for Administrative Professional and Technical (APT) personnel, the **Civil Service IT Broadbanding Pilot Project is significantly different** from the University's Broad Band System. University APT Personnel are members of Bargaining Unit 8 which has a salary schedule and negotiated compensation adjustment different from Bargaining Unit 13. IT personnel are members of Bargaining Unit 13 which has a negotiated salary schedule comprised of <specify number of salary ranges> salary ranges and 11 steps. In the context of its salary schedule, Bargaining Unit 13 has a negotiated step movement plan that provide for regularized compensation adjustments based on years of service. The Civil Service IT Broadbanding Pilot Project will continue to recognize the negotiated salary schedule pertinent IT personnel and the step movement plan and in addition will provide for award of additional employee based compensation.

Additionally, , as described in this proposal, specific provisions have been incorporated that are designed to address concerns identified with the administration of

the University's Broad Band system and that focus upon: (1) a review of position descriptions to ensure currency and to serve as possible bases for in-band adjustments, (2) the development of career development plans and the identification of possible opportunities for growth in the job and professional development, and (3) the provision of budget preparation guidelines relating to funding to support professional growth and development.

SECTION IV

CURRENT STATE OF HAWAI'I CIVIL SERVICE CLASSIFICATION AND COMPENSATION SYSTEM

The State of Hawaii currently maintains a traditional, position-focused system of job classification with 16,613 positions assigned to 1,464 classes applicable to 13,998 employees on a statewide basis. The system is over 40 years old and is governed by policies and procedures developed and maintained by DHRD through 11 professionals and 2 administrative support staff. DHRD staff provide support to approximately 45 departmental personnel professionals to whom authority has been delegated for the classification of positions except for positions classified to the Excluded Managerial Compensation Plan.

Through the application of job evaluation methods and principles, positions are aggregated with other similar positions into classes based on the level of duties and responsibilities, knowledge and abilities, and training and experience required. Detailed class specifications are developed and maintained by DHRD that describe the class concept, including characteristics that differentiate the class from other classes, and provide illustrative examples of assigned duties and responsibilities. Perhaps not surprisingly, the development, maintenance and administration of this position classification system is labor intensive.

DHRD creates, updates/revises, and abolishes class specifications and minimum qualification requirements, which are used by departments to determine the classification of their positions. Because the creation and maintenance of class specifications requires the review of current and proposed positions affected by revisions to class specifications, and of their relationship with other existing class specifications, the specifications may take six to twelve months to develop. DHRD must ensure the new class specifications are appropriately aligned with other classes in the classification system, state-wide, across multiple departments and take into account the

scope and level of the duties and responsibilities and functions of a variety of similar but different positions to be covered by the class specifications.

The authority to assign positions to a class is delegated to the departments, except for positions in the Excluded Managerial Compensation Plan and the General Professional Series. When positions are established or redescribed, departmental personnel specialists must evaluate the position's duties and responsibilities against basic allocation factors. Upon completion of the evaluation, the position is then allocated to the appropriate class, reflecting the appropriate kind of work, level of work, and classification concept. The department's position classification and evaluation process may take weeks to complete due to information and possible desk audit requirements.

In the State's position classification and compensation system, the classification of a position's assigned duties and responsibilities determines the position's classification in the classification system. The State's classification system serves as a framework over which the position's rate of compensation is over-laid, and provides for appropriate rates of compensation for like or similar levels of job complexity, scope of responsibility, etc. Because the State's position classification and compensation system is based on duties and responsibilities assigned to a position, an employee may only be eligible for additional compensation through movement to a new job or by assignment of higher-level duties warranting reallocation to a different class assigned to a higher rate of compensation. As a consequence, departments have resorted to creating artificial levels within the organization to justify upward reallocations.

Based on experiences and insights gained from an earlier attempt to develop a broadbanding classification and compensation system for IT professionals, the following are some identified criticisms of the current position classification system:

- IT personnel are difficult to recruit due to competition for their very specialized skill and knowledge sets
- Compensation for IT Specialist positions in the State civil service is not competitive with the private sector
- Current compensation policies are unable to recognize acquisition of new skill sets and expanded growth/scope accepted by IT specialists
- Current position classification protocols and requirements are overly complex, time-consuming to create and maintain, and unable to keep up-to-date with the rapidly changing field of information technology
- Traditional classification criteria, e.g., organizational structure, are incompatible with the new approaches, strategies, and non-traditional concepts associated with IT professionals

In sum, there are reasoned and valid criticisms of the State's current position classification system. With these criticisms in mind, DHRD is undertaking this Pilot Project in an effort to develop a new, more effective classification and compensation broadbanding system for Information Technology Specialists.

CURRENT CIVIL SERVICE IT SPECIALIST SERIES CLASS CONCEPTS

Currently, there are seven (7) levels of IT Specialists:

1. **Entry/trainee** – Assists with providing IT services within an agency under close supervision and receives training pertinent to a specialty area.
2. **Advanced trainee** – Continues to receive training; assignments range from simple to moderately complex and involve computers and/or telecommunication hardware/software, applications, systems support projects and/or databases for small scale systems/programs or segments of larger systems/programs.
3. **First level independent worker** – Independently performs moderately complex work involving systems analysis, programming, installation, maintenance, and troubleshooting and/or technical support for an IT program.

4. **Journey worker** – Independently performs systems analysis, design, acquisition, installation, maintenance, programming, troubleshooting, problem resolution, and/or consulting services for specific aspects of complex IT systems; and involves responsibility for resolving the full range of problems varying in complexity from simple to highly complex.
5. **Supervisor/project leader/super journey worker/Chief IT Specialist for a department:**
    - Serves as supervisor over a staff of lower level IT specialists performing work at the journey worker level;
    - Serves as a project or team leader, initiating and completing highly complex projects, coordinating and directing a team of lower level specialists, ensuring accuracy and timely completion;
    - Serves as Chief IT Specialist for a department with IT activities of limited to moderate complexity; independently plans, directs and oversees departmental IT systems and services; may supervise a staff of lower level IT specialists; and
    - Serves as a senior/expert specialist in a highly specialized area such as database management, telecommunications networking, or other comparable area; regarded as the technical expert by other agencies for the specialized IT area.

6. **Two additional supervisor levels:**
    - Supervises a major program or functional area through subordinate IT Specialist V supervisor(s) or team leader(s); and
    - Plans, directs and supervises the development, enhancement, implementation and maintenance of a broad-based IT program that supports a major State industry. The systems are considered "real time" systems which operate continuously (24 hours/day, 7 days/week) to capture and process a steady flow of data with interrelated systems.

CURRENT CIVIL SERVICE IT MANAGER CLASS CONCEPT

Positions in this class are responsible for managing the information technology program for a State agency or for managing a highly specialized statewide IT program, e.g., telecommunications, database management, systems security services, etc.

To be classified at this level, the manager must manage a program of such scope and ability as to require oversight of a staff of lower level IT Specialists through one or more IT Specialist VI subordinate supervisors.

CURRENT CIVIL SERVICE INFORMATION AND COMMUNICATION SERVICES ADMINISTRATOR AND ASSISTANT ADMINISTRATOR CLASSES

The positions in these classes are responsible for planning, organizing, directing and controlling the work of the centralized information processing and telecommunication services of the State. It includes liaison with, and the provision of assistance to the top levels of administration in the State government, provision of advice and assistance in information processing and telecommunication matters to State agencies, and provision of functional guidance over decentralized information processing and telecommunication activities in operating departments.

SECTION V

CIVIL SERVICE IT BROADBANDING PILOT PROJECT GOALS

The goals of the Civil Service IT Broadbanding Pilot Project are designed to identify specific changes in human resource management that will produce more desirable outcomes, such as:

- **Simplicity**. The new system should be simple to understand and to administer in order for management to effectively and efficiently attract and retain competent employees.

- **Flexibility**. The new system should provide flexibility so that the classification and compensation system can attract and retain high performing employees, as well as provide mechanisms to recognize and reward employees for growth in the job.

- **Quality Assurance**. The new system will have built-in criteria and safeguards to ensure the integrity of the system and to ensure the system is fair and administered consistently in accordance with broadbanding principles and concepts throughout the State.

- **Employee Growth in Job**. While the type and level of duties and responsibilities assigned to a position determine classification, employee growth in the job and other factors may serve as the basis for compensation. It is anticipated that in-band adjustments to recognize employee growth in the job will be incorporated into the new system.

- **Transparency**. The new system must be sensitive to and address collective bargaining issues. To promote transparency and understanding, a

representative of the Hawai'i Government Employees Association, representing employees in IT Specialist positions, will be engaged in the IT broadbanding pilot program. As appropriate, DHRD is committed to fulfilling its consultation and/or negotiation obligations as required by Chapter 89, HRS.

- **Budget Neutral Implementation.** The Civil Service IT Broadbanding Pilot Project is being designed with the intent that implementation will be on a budget neutral basis; that is, no additional funding will be required to implement the Pilot Project. Programs shall be responsible for necessary costs through existing budgeted funds/allocations should they elect to apply the Pilot Program's compensation provisions, which provide for flexibility in determining rates of compensation for IT positions.

PILOT PROJECT RESPONSIBILITIES

This section outlines the types of actions each level in the organization is responsible/accountable for in implementing the Broadbanding Pilot Project. The goal is to delegate compensation decisions to the Appointing Authority, with input from the particular management and supervisors who have responsibility for supervising the operational unit and the employee.

Joint Labor-Management Committee

Committee members include representatives from DHRD staff, State agencies and the Hawaii Government Employees Association (HGEA), and is chaired by the DHRD Director. The committee's charge includes:

- Providing strategic planning for the broadbanding pilot project
- Recommending policy changes
- Evaluating the broadbanding pilot project

In fulfilling its charge the Committee will:

- Strive to facilitate open and meaningful discussion of mutual concerns and issues relating to broadbanding based on a collaboratively developed agenda;

- Be comprised of union and employer designated staff members, preferably with subject matter expertise, e.g., classification and/or compensation experience, and/or representing the union or employer in the administration of broadbanding;

- Meet four (4) times per year or as mutually agreed to; and

- The committees' role is to discuss issues and concerns regarding broadbanding and to make recommendations to the Union and Employer with the foreknowledge that participation by the parties in the Labor-Management committees shall not be construed as consultation or collective bargaining.

DHRD Director

Oversees the broadbanding pilot project by:

- Reviewing and refining the compensation policies, procedures and operating practices

- Overseeing establishment of the salary administration plan

- Ensuring that Department Directors implement pilot project concepts, criteria, policies and procedures consistent with their intent

- Directing, coordinating and overseeing the conduct of annual studies on the implementation of broadbanding and its impact on employees and positions. The focus will be on topics such as which departments applied in-band adjustments;

what band levels were affected; the types of positons affected; the types of in-band adjustments applied; and the costs borne by departments to implement adjustments, etc. The studies will include statistical analyses such as frequency, standard deviations, and other analyses that may impact decision-making relating to program implementation and policy guidance.

- Sharing with departments the study results and the accompanying data analyses, e.g., the frequency of in-band adjustments in comparison with other departments and in the context of expected normal statistical distribution; and making recommendations for action such as the conduct of an internal alignment review.
- Presenting the findings of the studies, along with conclusions and recommendations, to the Joint Labor-Management Committee for consideration.
- Reviewing and adopting appropriate policies relating to the impact of salary decisions, job evaluation results and other decisions impacting compensation to fulfill equal employment opportunity (EEO) and non-discriminatory policies and goals.
- Reviewing the impact of the departments' individualized compensation decisions
- Promoting and supporting the development and conduct of training on a scheduled basis that is designed to share information regarding the administration of broadbanding policies and procedures,

Department Directors/Appointing Authorities

Department Directors are responsible for the following:

- Holding the departmental units accountable for compensation decisions and proper application of the pilot project's compensation policies
- Communicating information concerning the pilot project to supervisors and employees

- Assessing salary priorities and departmental needs that will have the greatest impact on their organizational unit
- Complying with the Pilot Project's policies and procedures
- Ensuring that compensation actions can be supported by justification and funding
- Approving delegated compensation actions
- Responding to employee appeals
- Reviewing EEO impact of salary decisions, job evaluation allocations and other decisions impacting compensation
- Promoting and supporting the development and conduct of training on a scheduled basis that is designed to share information regarding the administration of broadbanding policies and procedures,

Departmental Personnel Officers and other Administrators Responsible for Personnel Administration and Program Administrators

DPOs and other Administrators Responsible for Personnel Administration are responsible for the following:

- Providing employees with information on the pilot project's compensation management program
- Partnering with others to develop communication strategies for employees on the pilot project's compensation program
- Encouraging and coaching employees on career development
- Recommending compensation actions to department managers or their designees

- Complying with policies and procedures of the pilot project's compensation management program
- Ensuring that there is no adverse EEO impact on compensation decisions, job evaluation allocations and other decisions impacting compensation
- Responding to employee questions/concerns about compensation decisions
- Educating employees on change management issues
- Gathering information to support compensation requests, including:
    - Justification for salary increases and the amount of increase by addressing the applicable pay
    - Determining salaries of applicants and employees as appropriate
- Promoting and supporting the development and conduct of training on a scheduled basis that is designed to share information regarding the administration of broadbanding policies and procedures,

Department of Human Resources Development

DHRD will focus on the following:

- Partnering with managers and departmental personnelists; and providing consultation and review of compensation and job evaluation actions
- Providing employees with information on the pilot project's compensation management program
- Providing training and educational resources to managers and employees as-needed
- Providing tools and resources to allow for flexible implementation of compensation practices

- Preparing and reviewing reports regarding compensation decisions and practices
- Providing oversight and assistance to ensure compliance with rules and regulations of the pilot project's compensation management program
- Reviewing impact of compensation decisions, job evaluation allocations and other decisions impacting compensation in the context of EEO and non-discrimination policies
- Providing recommendations for changes to the pilot project's compensation management program
- Evaluating compensation practices and actions that can be delegated
- Rescinding delegated authority if a department fails to follow proper policies and procedures
- Promoting and supporting the development and conduct of training on a scheduled basis that is designed to share information regarding the administration of broadbanding policies and procedures,

Employee

Employees are responsible for the following:

- Pursuing self-development and continuous learning opportunities and seek opportunities to "add value" with respect to their knowledge, skills, abilities and work experience, so that they may more effectively perform assigned duties and responsibilities and grow in their chosen profession
- Staying informed about the pilot project's compensation management program
- Actively participating in training activities that are provided on a scheduled basis and designed to share information regarding the administration of broadbanding policies and procedures,

SECTION VI

PROJECT PROPOSAL

The objectives of the Pilot Project are to design, develop and implement a criteria-based, simple and flexible system that can be easily understood and administered. In addition, the new system should be able to provide mechanisms for in-band adjustments to recognize and reward employees for growth in the job.

COMPONENTS OF THE CIVIL SERVICE IT BROADBANDING PILOT PROJECT

Concept: Career Group

The current class specifications for the IT Specialist series, with seven specific classes/levels, related IT manager, Information and Communication Services Administrator, and Assistant Administrator, Information and Communication Services classes will be replaced with a single new IT career group concept which will be defined by a career group description and illustrative examples of work. The illustrative examples of work are intended to serve as guides only, and are not absolute standards. The career group only defines the nature of work. The career group does not determine the pay range, which will be determined by a pay band definition.

The Career Group Concept is comprised of the following:

- Career Group Description – A description of functional commonalities shared by a group of positions. Career Group Definitions are broad and intended to be liberally interpreted to encompass a range of positions performing functions characteristic of a field of endeavor or characteristic of a subject area.
- Job Related Competencies – Specialized knowledge, skills, and abilities required to perform work of the career group.
- Illustrative Examples of Work – Examples of work performed by positions

in the career group. The examples are intended to serve as guides only, and not absolute standards. A position may be assigned to a Career Group when it meets the Career Group Concept and the majority of the position's work time is associated with the performance of some of the described duties and responsibilities performed by positions in the Career Group.

Career Groups and Bands

While the career group concept will determine the nature of the work being performed, the band levels are used to describe different levels of duties and responsibilities, and performance.

In the current position classification system, each class level concept is differentiated from other classes based on a set of knowledge, skills, and abilities associated with duties and responsibilities of the class, that are used to determine the minimum qualification requirements for the class. Under the new system, rather than allocating positions to a class, positions will be allocated to a broadly defined career group and band level.

In addition, rather than having specific knowledge skills and abilities tied to specific duties and responsibilities, general professional competencies, consistent with the level and general concept of the band, will be developed. Minimum qualification requirements will also be broadly stated and must demonstrate the professional competencies of the band level.

This Pilot Project will focus on one career group, the Information Technology Career Group. This career group will encompass all positions formerly assigned to the seven Information Technology Specialist classes, as well as the Information Technology Manager, Information and Communication Services (ICS) Administrator, and Assistant Administrator, Information and Communication Services (ICS) classes.

The bands, referred to as "pay bands," will be used in conjunction with the career group concept to determine the nature of work performed and the compensation of positions assigned to each band. Under this project, it is the band level assignment, rather than the narrowly defined class specification assignment and associated salary range that will determine the compensation of positions.

Under the current compensation plan, the salary schedule for the IT Specialist series consists of 7 pay ranges with 11 steps in each pay range. The salary schedule for the IT manager, ICS Administrator, and Assistant Administrator ICS classes consists of a pay range with minimum and maximum pay rates. Under the new system, existing salary ranges will be consolidated into four (4) pay bands. For example:

Band A = Salary Ranges 18 to 20
Band B = Salary Ranges 22 to 24
Band C = Salary Ranges 26 to 28
Band D = Salary Ranges EM-05 to EM-08

The four (4) Band Levels will each be comprised of the following components (see Attachment B for the complete description):

Band Concept/Definition

- **Band A: Entry/Independent Worker Band** – Combines the former trainee, advanced trainee, and independent worker levels.
  - Receives on-the-job training in the principles, concepts, work processes, methods and techniques fundamental to the professional work to be performed.
  - Assignments range from simple to moderately complex, and are selected and designed to develop the employee for progression to the Independent Worker Level or the Career Band of the occupation. Work is performed in accordance with established policies, guidelines and procedures.

- Uses some judgment. Problems encountered are usually those which can be resolved by direct application of specific standards, regulations or other similar guides. Unusual or controversial problems are brought to the attention of a higher level worker or supervisor.
- Initially receives specific guidance, instruction and orientation on all aspects of the work. Supervision is relaxed and becomes more general in nature as the employee progresses through training.

- **Band B: Journey Worker Band** – Combines the former journey worker, senior worker/subject matter expert, project leader and Chief IT specialist for a department levels.

  - Positions assigned to this level independently perform the full range of professional work in a particular occupation. Some positions may serve as the lead with responsibility to provide oversight and technical direction to subordinate clerical/technical support staff or positions at the entry worker level.
  - Works very independently, exercising discretion and judgment and interpreting policy.
  - Assignments require considerable knowledge of applicable laws, rules, policies, regulations and procedures in a subject matter area or field of expertise, and typically requires the analysis and understanding of various factors, conditions, processes, functions, etc., in order to formulate a feasible solution/work product.
  - As the employee progresses through the band, assignments require the resolution of novel, controversial or unusual situations; encompass a broad range of elements, some of which are conflicting and difficult to reconcile or accommodate, and/or involve responsibility for highly complex projects and/or

activities that require the consideration and reconciliation of various issues of an unprecedented nature.

- Exercises considerable authority, judgment and decision-making responsibility to perform work independently.

- The work may involve coordinating the work of others as a team/project leader, and/or being assisted by and helping train Entry level workers.

- **Band C: Supervisor Band** – Combines the former levels that reflect a direct supervisor or a supervisor that provides supervision through subordinate supervisor(s).

  - Directly supervises a group of professionals at the Entry Band or Journeyworker Band level; or supervises through one or more subordinate supervisors. Functions independently with extensive discretion and authority without technical supervision.

  - Determines the methods, means, work priorities and allocation of resources for the work unit supervised. Develops, establishes, and implements pertinent policies, procedures, and guides.

  - Functions independently with extensive discretion and authority without technical supervision.

  - Provides technical or general/administrative supervision to a group of subordinate professionals. May also supervise subordinate technical or clerical support staff.

Band D: Excluded Manager/Foremost Technical Expert Band – Combines the former levels that reflect an IT division administrator, IT assistant administrator, and IT

program manager for a department or central agency program; and includes an additional concept, the State's foremost technical expert in a highly specialized or technical field.

- Directly manages, assists in managing, or administers a major program through subordinate managers and/or assistant managers/administrators.

- Has considerable discretion to determine the means, methods and personnel by which the agency or program policy is to be carried out. Positions are responsible for the accomplishment of program goals and objectives and are substantively involved in policy making matters with clear evidence of considerable discretion in resource utilization.

- Works within broad policy statements and/or program objectives. General administrative direction is received from a higher level administrator or Department Director.

Pay Band Factors

There will be three factors to determine the band assignment of positions: complexity of work, controls over position, and supervision given. Human resource professionals should be able to assign positions to the appropriate Pay Bands by comparing the overall duties and responsibilities of positions to the Pay Band Factors. Definitions of the three compensable factors are discussed in the next section.

Minimum Qualification Requirements

There will be minimum qualification requirements for each band level with education, experience and competency requirements. Although broadly stated as a bachelor's degree and pertinent experience, or any equivalent combination of training and experience, the education and experience must demonstrate the professional competencies of the band level.

Functional Titles

For purposes of this Pilot Project, programs must assign functional titles to every position. The functional title describes the specific nature of work performed by a position and more accurately reflects the job (e.g., Security Analyst vs. Information Technology, Band B). Functional titles are essential for comparison purposes with salary survey data and may be used for recruitment purposes.

Functional titles should reflect, as clearly as possible, the nature of work performed, be distinct enough to differentiate the job from others, and be consistent with titles from the industry or private sector where similar work is done. For example, a functional title for an IT position may be "Network Analyst" or "Database Manager" (see Attachment F for examples of other functional titles).

DHRD will be responsible for creating/assigning functional titles as appropriate. If it is determined that a functional title is needed but is not on the list that DHRD has created in Attachment F, departments are to consult with DHRD, Classification Branch and submit an appropriate functional title and description for review.

SECTION VII

JOB EVALUATION IN THE CIVIL SERVICE IT BROADBANDING PILOT PROJECT

The Job Evaluation Process is the process by which jobs within an organization are compared with one another to determine their relative value. There are severalmethods of job evaluation. The most prevalent methods include whole job ranking, position classification, market pricing, factor comparison, and point factor analysis. All of these evaluation methods are based on one or a combination of the following two approaches: (1) an analysis of the job as a whole, or (2) an analysis of the job's individual components.

Most evaluation methods compare jobs in the organization to one another and a few compare jobs against a set scale. After a review of the various job evaluation methods, the Broadbanding System will retain a modified version of the position classification method or whole job evaluation approach. This non-quantitative whole job approach will be used to determine the band assignment.

The State currently uses a position classification method of job evaluation based on nine compensable factors, which are: 1) knowledge and skills required, 2) supervisory controls, 3) guidelines, 4) complexity, 5) personal contacts, 6) physical demands, 7) work environment, 8) supervisory skills, and 9) managerial responsibilities. The new Broadbanding system will be based on a position classification method of job evaluation that will allocate positions into a band based upon three of these compensable factors -- complexity of work, controls over position and supervision exercised.

- **Complexity of Work** – This factor describes the **nature, number, variety**, and **intricacy** of tasks, steps, process, or methods in the work performed; difficulty in identifying what needs to be done; the difficulty and **originality** involved in performing the work; and the **scope and effect** of work done.

- "Nature" and "intricacy" are a result of work assignment practices and inherent complexity of the profession or occupation, the functions of the organization, and work assignment practices which establish the mental or physical processes required to perform the work, and the skills, knowledge and techniques applied.
- "Number" and "variety," are a result of inherently different kinds of work included in the position as reflected by the essentially different kinds of knowledge, skills, abilities and techniques applied in performance of the work.
- "Originality" involves the amount of inventive, imaginative and creative abilities required in the position as evidenced in the requirement for deviations from standard work practices, methods, plans or procedures, and/or the development of new or previously unused plans, approaches, solutions, or methods. The resourcefulness, ingenuity and ability to innovate, which is required in the solving of new problems or the solving of old problems in new ways, is the crux of this element.
- "Scope" and "effect" involve the breadth of the issues involved and the impact of the work on others or operations.

- **Controls Over Position** – The **nature and extent** of direct or indirect controls exercised by the supervisor; i.e., the extent of responsibility for work product and the method of reviewing completed work.

This factor covers the nature and extent of deliberate, planned supervisory control exercised over the position, which limits the scope of work, the operation performed, and the nature and finality of decisions. Included are such items as (a) the basis for selection of assignments of work, (b) the nature of instructions, directions or advice provided on work assignments, and (c) the extent and degree to which actions and decisions are restricted or limited, or are reviewed (e.g., by a thorough review of all cases; by periodic reports of work in progress; by spot checks

during performance of the work; by review of employee-identified exceptions by examination of work results; by review of program for effectiveness in meeting objectives or for application, or adherence to, policy).

- **Supervision Exercised–** The **nature and scope** of getting work done by subordinates, with accountability to superiors for the quality and quantity of work and for assuring efficient and economical work operations.
    - "Nature" includes the types of supervisory responsibilities present and ranges from administrative supervision (assuring that workers are present at the work site) through technical supervision (assuring that work is performed correctly), through the full supervisory pattern (select or recommend the selection of employees, train workers, assign and review their work, evaluate their work, discipline them when necessary). It may also include responsibility for work group management including planning work objectives, controlling the volume and flow of work and work methods, with responsibility for production and results.
    - "Scope" includes the types of supervisory actions performed as limited by place in the organization and by delegation of authority from above, and the intensity of performance as required by such elements as difficulty of work, variety of functions, and complexity and size of the organization supervised.

Position Classification

Like the current system in which the classification of positions is delegated to line departments (except for positions allocable to the General Professional Series and the Excluded Managerial Compensation Plan (EMCP)), position classification for IT positions in the new system will continue to be delegated. Departments will be

delegated authority to classify positions within and between bands, except for positions allocable to the excluded manager band.

Requests for an Administrative Review of Position Classification Action

A request for administrative review of a classification action may be filed by the incumbent of a position in relation to the band assignment, career group designation, and/or effective date of action taken by the appropriate approving authority. A request for administrative review shall be filed with the departmental personnel officer or administrator responsible for personnel administration using Form XXXX, Request for Administrative Review of Classification Action.

Other than an administrative review, there will be no appeal from actions taken pursuant to this Civil Service IT Broadbanding Pilot Project. Specifically, there will be no recourse to the grievance process or to the internal complaint/Merit Appeals Board process.

Position Descriptions

Position descriptions must accurately reflect assigned duties and responsibilities. For this Pilot Project, position descriptions will be converted from the old format to a new format requiring collaboration between the supervisor and employee. To facilitate maintenance of the currency and accuracy of position descriptions, programs and employees will be asked to periodically review the official position description on file. As part of the project review, DHRD will survey the dates that position descriptions were last reviewed and provide such information to department directors and unions so that appropriate follow-up may be initiated.

Given that changes in position descriptions may serve as documentation to support compensation adjustments, maintaining the currency of position descriptions will be of increased importance. Therefore, it is an important responsibility of the supervisor and employee to ensure the currency and accuracy of position descriptions. This will enable a supervisor to document changes that may justify the provision of

additional compensation to the employee for assuming expanded job responsibility, scope and/or complexity, and will ensure that the employee will have a current and accurate description of assigned duties and responsibilities.

It is hoped that employees will seek and that supervisors will provide opportunities to expand the scope of job responsibilities assigned, raise the level of complexity and associated authority of work assigned, and otherwise redesign positions so that supervisors may document such changes in conjunction with seeking the provision of additional compensation to employees.

SECTION VIII

COMPENSATION PHILOSOPHY

Both public and private sector employers face similar issues due to an aging workforce and upcoming retirements. DHRD is being challenged to develop a compensation program that includes a mix of competitive and noncompetitive compensation tools that will attract and retain a younger workforce and be competitive in today's employment market.

Compensation tools being considered by other state governments to deal with similar issues include flexible starting pay to be more competitive in attracting candidates; flexibility to recognize and reward employees for professional growth and performance; and tools for retention of employees who are in positions critical to the mission of their organization.

The compensation philosophy for the Pilot Project was developed in consideration of these issues, and was based upon the following underlying principles:

- To provide more flexible base pay systems that are tied to an employee's competence and demonstrated skill sets.
- To establish pay rates that are competitive with the labor market (public and private).
- To encourage employees to make a performance difference either individually or through teams where results are more important than entitlements (i.e., seniority, hierarchy).
- To provide salary increases that focus on employees gaining demonstrable skills and competencies that are critical to the accomplishment of department/agency missions.

Based upon these principles, the determination of compensation under the Pilot Project will emphasize the following objectives: to recognize, accommodate and support agency differences in organizational structures and missions; to assure that comparable jobs are valued with similar methodology and assigned to the same Band; to promote employee focus on department/agency missions and outcomes; to be market responsive; to be administratively efficient and responsive; and to be easily understood and communicated. The primary goals of the project include:

- Attracting qualified employees.
- Retaining qualified employees.
- Motivating employees by rewarding professional growth and development.
- Supporting management in the realization of organization objectives.

BROADBANDING AND COLLECTIVE BARGAINING

Broadbanding is intended to be more responsive to the operational needs of departments, simplify the process for classification of positions, and create a more flexible system that allows for the recognition and compensation of employees for professional growth and development. In addition to the traditional practices of promotion and position reallocation, new compensation tools will be designed to allow for discretionary, employer-initiated compensation adjustments based on employee-focused factors such as job-related professional development, incremental changes in assigned duties and responsibilities, internal alignment, and retention.

While broadbanding will provide for employer-initiated, discretionary and employee-focused compensation adjustments, **collective bargaining will continue to provide for en-masse negotiated pay increases, step-movements and other existing compensation adjustments applicable to all IT professionals**. Employees will receive the full benefit of negotiated increases; that is, the negotiated adjustments

including step-movements will be the base upon which in-band adjustments will be added. As appropriate, compensation adjustments specific to broadbanding will be negotiated between the exclusive collective bargaining representative and the employer.

COMPENSATION PRACTICES

An important objective of broadbanding is to implement compensation practices that will provide managers mechanisms to financially reward employees for their organizational contributions without having to rely solely upon the traditional practices of promotion and position reallocation.

The pay practices available to departments/agencies under the Pilot Project will consist of a combination of current practices that have been revised, plus a new practice. The revised pay practices include starting pay, promotion, reallocation and lateral transfer. The new pay practice is referred to as an "in-band adjustment." In-band adjustments allow agencies the flexibility to provide pay increases to address such issues as internal alignment, retention, and change in duties or professional development.

As mentioned earlier, while the new system provides compensation for employees based on variable pay increases, collective bargaining will continue to provide for "en-masse" negotiated pay adjustments applicable to all employees. Additionally, supplementary compensation provisions will continue to be in effect, as applicable.

Broadbanding pay practices are designed to meet the following objectives:

- To establish modern compensation practices.
- To provide tools to resolve compensation problems.
- To provide mechanisms to reward and recognize professional development and assumption of broadened scope and responsibilities.
- To encourage employee growth and career development.
- To reduce reliance on job reallocations.

THE DEPARTMENT/AGENCY SALARY ADMINISTRATION PLAN

Individual departments/agencies are responsible for the consistent and equitable administration of employee compensation via a Department/Agency Salary Administration Plan. The plan should include: the department's/agency's internal compensation philosophy and strategies; responsibilities and approval processes; recruitment and selection processes; performance management; administration of pay practices; program evaluation; appeal process; non-discrimination policies; and an employee communication plan. Each department/agency should review its plan periodically to ensure continued applicability to State policy and procedures and the department/agency's mission and organizational needs.

Department/agency management is responsible for justifying salary decisions based on organizational needs, budgetary factors, compliance with EEO regulations, and an overall understanding and demonstration of stewardship in the expenditure of public funds. Salary decisions should be consistent with the Department/Agency Salary Administration Plan.

PAY FACTORS

The pay factors outlined in this section are designed to allow implementation of variable salary adjustments. In determining salaries, department/agency management must take the following pay factors into consideration. These factors are to be used as the basis for determining all pay decisions.

JOB-BASED FACTORS:

Department/Agency Business Need: Organizational, financial, and human resource requirements that are directly derived from the department/agency's mission. For example, changes in an employee's duties, abilities, etc., should be relevant to the business needs of the department/agency in order to be

compensable.

Duties and Responsibilities: The primary and essential work functions performed by an employee or group of employees. Variation in these duties and responsibilities help distinguish one employee from another for comparison purposes.

EMPLOYEE-BASED FACTORS:

Work Experience and Education: The candidate or incumbent's relevant employment history and academic qualifications. Work experience is the employment history of an individual, and typically includes the titles of jobs held and a corresponding description of the duties, responsibilities and tasks performed. Education relates to academic credentials obtained and typically makes reference to a high school diploma, associate degree, bachelor's degree or specific advanced degree.

Knowledge, Skills, Abilities and Competencies: These are elements commonly listed for job requirements, hiring qualifications or employee credentials. Knowledge refers to information related to a particular job (e.g. database management, networking principles). Skills refer to acquired psychomotor behaviors (e.g. large scale system reliability testing). Abilities are the talents, observable behaviors, or acquired dexterity (e.g. ability to work under pressure in crisis mode). Competencies are the knowledge, skills, and underlying behaviors that correlate with successful job performance.

Training, Certification and License: Job requirements or employee qualifications that are relevant or highly desirable for a particular job. Training refers to a specialized course of instruction outside the realm of recognized academic degree programs (e.g., in-service training, etc.). Certification refers to a specialized course of study resulting in a certificate upon successful completion

(e.g., software/hardware certification, etc.). A license is a credential that is required by law to practice one's occupation

Internal Salary Alignment: A fairness criterion that takes into consideration the proximity of one employee's salary to the salaries of others who have comparable levels of training and experience, as well as similar duties, responsibilities, performance, knowledge, skills, abilities, and competencies.

Current Salary: The candidate's or incumbent's current base pay, which may be reported as an hourly wage or a weekly, semi-monthly, monthly, or annual salary. Current salary does not include shift differentials, benefits, overtime, on-call pay, bonuses, or other similar non-base pay compensation.

MARKET FACTORS:

Market Availability: The relative availability of suitable, qualified employees in the general labor market, which is subject to the effects of supply and demand. Consideration should be given to the agency's willingness to accept applicants with fewer qualifications in times of high market demand.

Salary Reference Data: A composite of relevant salary information (e.g., average salary range, median salary, weighted average salary, etc.) extracted from available surveys that indicate market pricing for various jobs in the State.

Total Compensation: This includes all forms of cash compensation (e.g., base pay, shift differentials, overtime, on-call pay, bonuses, etc.) and the dollar value of the employer-sponsored benefit package (e.g., health and dental insurance, short-term disability programs, paid leave, retirement, life insurance, etc.). Note: The greatest impact on total compensation will be starting pay and competitive offers.

FINANCIAL FACTORS:

Budget Implications: The short and long term financial consequences of pay decisions and of the way salary dollars are managed by a department/agency.

Long Term Impact: The strategic and financial effect of anticipated future salary costs, staffing changes, salary alignment among employees, career growth, and salary reference data changes.

COMPENSATION CONCEPTS

The new compensation system is designed to provide mechanisms to attract and retain competent employees and reward employees for their professional growth in the job. Although the Civil Service IT Broadbanding Pilot Project is a "pilot" and could be discontinued in the future, it is the policy and expectation that salary adjustments made as a result of this pilot shall be retained by the employee, provided the employee remains in a position that was included in the pilot project (e.g., Information Technology Specialist or Manager position).

Hiring Rates: In the existing system, employees are hired at the minimum step of the respective salary range. DHRD's Flexible Hiring Rate policy, however, provides managers with the option and flexibility to hire Bargaining Unit 13 employees, at the independent worker level and above, up to 18% above the minimum rate of the salary range (up to Step G, currently) based on the employee's excess creditable experience.

The new Civil Service IT Broadbanding Pilot Project provides flexibility in setting hiring rates based on a salary matrix. Managers may use the salary matrix to rate the selected candidate on three factors – education, work experience and work performed. In the context of available funding, they will have the option of offering the candidate a salary from the minimum of the salary range up to the salary matrix amount. Consideration should be given to the salaries of existing employees in similar positions within the relevant work unit with similar or greater experience, education, training, knowledge, skills, abilities and competencies.

Transfers: Under the current system, the salary of an employee who transfers from one position to another position in the same pay range continues with no change in his/her rate of pay. Under the new system, managers are allowed flexibility to offer a compensation adjustment to transferring employees. The criteria and procedures for such an adjustment are set forth in Section IX of this proposal.

Promotions: Currently, employees who are promoted within BU 13 move to the same step in the higher pay range; provided that for movements of 3 or more pay ranges, the employee is compensated at the rate equal to the rate for promotions involving 3 pay ranges. This results in a pay increase of approximately 4% to 16%. Under the new system, programs can use the salary matrix to adjust compensation based upon an assessment of the employee's experience and education in relation to program operations and needs. In some cases, a fixed rate may not be appropriate. The relevant criteria and procedures are set forth in Section IX of this proposal.

In-band Adjustments: Under the current system, an employee receives salary increases as a result of collective bargaining adjustments or through the process of reallocation or promotion to a higher level class. While employees may enjoy negotiated collective bargaining increases, such increases are beyond the control of the department, program, or individual supervisors. Typically the only way a supervisor can give a journey worker, for instance, an increase in compensation is to reallocate the employee's position to a supervisory level. Unfortunately, due to the nature of some programs, some positions will never evolve to a supervisory level, thereby limiting many employees' opportunities to be reallocated to a higher pay grade.

In an effort to address this perceived inequity, programs have resorted to creating artificial organizational layers to justify upward reallocations that will reflect a position in a "supervisory" grade. This approach may have worked in the past;

however, because of current economic pressures and increased focus upon doing more with less, programs can no longer justify the creation of more hierarchical layers.

Under the new system, in-band adjustments present a new tool for effectuating salary increases. These adjustments will assist managers and supervisors in attracting and retaining competent employees and rewarding existing employees for professional growth.

An in-band adjustment is a non-competitive pay practice which provides the manager with flexibility to adjust employees' salaries within their salary range. The in-band adjustment is in the form of additional compensation separate from the employee's base pay. The criteria and procedures for in-band adjustments are set forth in Section IX of this proposal. These procedures will facilitate the appropriate use of in-band adjustments, which will help to promote integrity and foster trust in the initial implementation of the new system. As stated earlier, in-band adjustments will be in addition to collective bargaining adjustments that may be negotiated.

In-band Adjustment for Retention: A pay adjustment that may be used to retain a key employee with knowledge, skills, abilities and/or competencies critical to the operation of the program. To be eligible for a retention adjustment, an employee must have received a bona fide job offer at a higher pay rate from another employer either within or outside of State government.

In-band Adjustment Due to Change in the Designated New Hire Rate: A pay adjustment that allows managers to request an adjustment to the salary of an employee when there has been a change in the DNHR for a particular career group. An employee's salary may be adjusted when it is below the new DNHR.

In-band Adjustment for Internal Alignment: A pay adjustment that may be used to adjust the pay rate of an existing employee when it is determined that the

employee's pay rate is significantly less than that of other employees in the same band who have similar duties and responsibilities, who are within the same relevant work unit, and who have comparable levels of education, training, experience, knowledge, skills, abilities and competencies.

In-band Adjustment for Professional Growth (Increased Scope and Complexity of Work and/or Increased Competencies Within the Same Salary Range): A professional growth adjustment recognizes and rewards an employee for permanent changes in his/her duties and responsibilities, reflecting an increase in the scope and complexity of work, and/or an assumption of new duties and responsibilities. For instance, such an adjustment may apply when an employee agrees to accept new responsibilities and successfully performs them in a new functional area; or when an employee applies knowledge, skills and abilities acquired through professional/skill development to enhance job mastery on an on-going basis (e.g., the employee successfully completes a job-related technical training program and then applies the knowledge and skills gained to the performance of assigned duties and responsibilities).

CAREER AND PROFESSIONAL DEVELOPMENT

Career and Professional Development Plans

Each department may create career development plans for employees to support and sustain the employees' job-related career growth. These plans should include job-related technical or specialized training as may be needed by an employee to perform the duties and responsibilities of his/her position. The plans may also include technical training goals, priorities, outcomes, and opportunities that are designed to promote employee development in order to enhance the acquisition and application of work-related knowledge and skills to the employee's assigned work activities.

Because positions evolve over time, departments are to regularly review and update their plans to maintain their currency and viability; as well as include discussion of career and professional development goals with employees as part of the annual

performance evaluation process. While each department remains responsible for identifying and striving to provide the appropriate specialized/technical training associated with a position's assigned duties and responsibilities, to the extent that training resources are available, DHRD stands ready to assist departments by supporting departmental training plans and initiatives via:

- Use of DHRD's Learning Management System to design training programs in support of training strategies aligned with specific outcomes and milestones, thereby providing a basis to support recognition of employees through possible reallocations, promotions, in-band adjustments, etc., as well as to document training curriculum developed and training completed;
- Provision of skill development content via the Learning Management System, through both on-demand and virtual classroom; and
- Live classroom instruction.

In their career development plans, departments should strive to incentivize employees for the successful completion of job-related training and the application of acquired knowledge and skills to assigned work activities. These plans, while applicable to every employee, shall also assist departments in identifying high-potential candidates for purposes of further development and succession planning.

As part of the annual performance evaluation process, supervisors shall discuss professional growth and vision, and discuss options for attainment. Supervisors shall:

- Encourage employees to pursue job-related professional and skill development; and
- Consider expansion of the scope of position responsibilities

The goal is to develop a plan with associated commitment by the appointing authority that if the employee accepts expanded job duties or successfully completes job-related training, action will be initiated to provide an in-band adjustment.

Funding Support of Professional Development and Growth

In budget preparation guidelines/instructions, the Department of Budget and Finance will in the context of the State's financial plan include provisions for the inclusion of funding requests to support and incentivize departmental initiatives that recognize employees' performance-based acquisition and application of job-related professional growth and development skills and/or the significant expansion of an employee's scope of authority, duties and/or responsibilities. Budget preparation guidelines/instructions may vary from budget-to-budget preparation cycles in the context of the State's financial plan and in consideration of the State's budgeting priorities.

In addition to the aforementioned budget requests, departments are encouraged to identify other potential departmental sources of budgeted funds that may be used to support employee professional growth, in an effort to fulfill departmental Career and Professional Development Plans. For example, a department may, as part of its redesign of programs and positions, opt to redirect existing budgeted funds to support initiatives relating to professional growth.

SECTION IX

COMPENSATION PROCEDURES FOR CIVIL SERVICE IT BROADBANDING PILOT PROJECT

Supplemental agreements and memoranda of understanding relating to compensation shall be negotiated between the State and union to ensure that all employees receive the full benefit of negotiated compensation provisions, as well as additional compensation from any discretionary employee-focused compensation adjustments awarded by an appointing authority in accordance with broadbanding procedures. Further, the State is committed to continuing all compensation adjustments awarded in accordance with broadbanding procedures should the Civil Service IT Broadbanding Pilot Project be terminated, provided the employee remains in a position that was included in the pilot project (e.g. Information Technology Specialist or Manager position).

I. Broadbanding Compensation Plan and Salary Schedules

The Civil Service IT Broadbanding Pilot Project compensation plan consists of negotiated Bargaining Unit 13 salary ranges and steps as follows:

Band A – Salary Ranges 18 to 20
Band B – Salary Ranges 22 to 24
Band C - Salary Ranges 24 to 28
Band D – EM 05 to EM 08

II. Hiring Rate

A. Equal Employment Opportunity

Each employing department/agency is responsible for ensuring that equity is

maintained. The employing department/agency shall administer the State's compensation program without regard to an individual's race, sex, age, religion, color, national origin, ancestry, disability, marital status, sexual orientation, status as a protected veteran, etc. Further, the Appointing Authority shall be responsible for ensuring compliance with applicable EEO laws, rules, regulations, and procedures.

B. Factors to Consider when Determining the Appropriate Salary

The following factors should be given consideration as a basis for determining the appropriate salary to offer an individual.

1. Consider the individual's education, number of years of experience and work performed relevant to the position. A salary matrix will provide guidelines to rate the individual and assigns points based on his/her education, work experience, and previous work performed. See Attachment E for the Salary Matrix Guidelines and Form.

2. Consider the value of the job to the organization and the individual's duties, responsibilities, training, knowledge, skills, abilities and competencies that are relevant to the department/agency's operations and needs.

3. The department/agency should consider the salaries of existing employees in similar positions within the relevant work unit with similar or greater experience, education, training, knowledge, skills, abilities and competencies.

4. Consider the availability of qualified individuals in the labor market for the position. For example, individuals who possess skills that are difficult to

find in the labor market may be in high demand and therefore may require additional salary consideration. Understanding that the State will not always be able to match the market, relevant documented local market data for the position may be considered if it is from reliable sources.

5. The program should consider the ability to fund the additional cost and the impact of funding on the department/agency's current and future budget.

C. Minimum Entry Rate

New hires shall be compensated at the minimum step of the pay range, or Minimum Entry Rate, unless a Designated New Hire Rate (DNHR) applicable to a career group has been established in accordance with this policy. The minimum entry rates for each band are as follows:

Band	Type of Position	Minimum Entry Rate
A	Entry/Trainee, Independent Worker Level	Band A SR 18 Step C; SR 20 Step C
B	Journey Worker, Senior Worker/Expert, Project Leader, Chief IT Specialist for Department Levels	Band B SR 22 Step C; SR 24 Step C

C	Supervisor, Second Level Supervisor	Band C(SR 24 Step C)* SR 26 Step C; SR 28 Step C
D	Excluded Program Manager/Administrator, Foremost Technical Expert	Band D EM 5 to EM 8, Minimum Rates

*SR 24 positions currently supervising SR 22 subordinates will be assigned to the Band C Supervisor Band and their minimum entry rate shall equal SR 24, step C.

D. Designated New Hiring Rate (DNHR)

The DNHR may be established for a particular career group as deemed necessary. The DNHR becomes the minimum hiring rate for the career group for which a DNHR is established. The DNHR may be adjusted periodically as appropriate to remain competitive.

1. Career Groups for which a DNHR has been established (as of 12/15/15): None

2. Changes in the DNHR will be announced within the State and communicated to the exclusive bargaining representative prior to the effective date of change.

3. Employees whose current rate of compensation falls below the adjusted

DNHR may be nominated for a change in the DNHR by following the applicable procedures.

E. Appointment Above the Minimum Entry Rate

One of the objectives of broadbanding is to allow for flexibility in setting the starting pay in order to attract highly skilled and competent candidates to the State's workforce. Starting pay decisions remain the responsibility of the individual departments/agencies.

The starting pay practice is competitive and adjustable. The Appointing Authority may offer a salary to a candidate ranging from the minimum entry rate or DNHR, if applicable, up to the amount determined by the salary matrix, which is based on the individual's education, work experience and work performed. When determining the candidate's pay, consideration shall be given to the availability of funds, and of other employees in similar positions within the relevant work unit who have similar or greater experience, education, training, knowledge, skills, abilities, and competencies. The hiring rate shall not exceed the maximum of the assigned pay range.

1. Salary Matrix

A Salary Matrix Form shall be completed when a request is made for appointment above the minimum entry rate or DNHR, if applicable. The salary matrix will be used to rate the individual with points given for three factors – education, work experience and work performed. The total points for all three factors will determine the salary matrix amount in the applicable pay band for the individual.

In exceptional cases, supervisors/managers may request to make an offer beyond the salary matrix amount when it has been determined that

the salary matrix amount does not adequately account for the individual's credentials, as evidenced by appropriate documentation that confirms credentials that are above and beyond what has already been taken into consideration on the Salary Matrix Form. See Attachment E for Salary Matrix Guidelines and Form.

2. Procedures

   a. The requesting supervisor/manager shall electronically complete a Salary Matrix Form (Attachment E) and provide supporting rationale and justification for the request for appointment above the minimum entry rate or DNHR.

   b. The requesting supervisor/manager shall submit the completed form and obtain approval from the Appointing Authority, via the DPO, prior to making an official offer.

   c. The Appointing Authority shall review and as appropriate approve or deny the request for appointment above the minimum entry rate or DNHR. Requests that are denied shall be returned to the submitting supervisor/manager with an explanation for the denial, via the DPO.

   d. The effective date of hire shall be no earlier than the approval date of the Salary Matrix Form.

   e. Copies of the approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative.

   f. The program shall keep the following documentation on file for three years:

      1) A copy of the position vacancy announcement.

2) The completed Salary Matrix Form.

3) The selectee's completed application.

4) Other relevant documentation to support the request.

5) Documentation confirming that the appropriate process was followed, such as copies of email notification and response; facsimile or other correspondence that reflects the name of the affected individual; the position number; the Career Group and Band designation of the position; the DNHR; the organizational location; the proposed rate, salary range and step of compensation to be offered; and notification to the exclusive collective bargaining representative of the request.

g. Funding of appointments above the minimum entry rate or DNHR shall be the responsibility of the program.

h. A Salary Matrix Form is not required when a selectee is hired at the minimum entry rate or applicable DNHR.

III. Compensation Adjustments

The following compensation adjustments shall be used to compute pay for positions in the Civil Service IT Broadbanding Pilot Project for promotions, transfers, demotions, reallocations, rebandings, temporary assignments and step movements.

A. Employee-Initiated Voluntary Movement to a Different Position in the Same, Higher or Lower Pay Range

1. Voluntary Movement to a Position in the Same Pay Range

In the event that an employee moves from one position to another position in the same pay range within or between bands (a personnel action also described as "transfer"), the department accepting the employee may:

a. Follow the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for a transfer; or

b. Offer a salary rate up to the amount determined by the salary matrix, provided the amount is not less than the employee's current rate of pay.

Voluntary movements to positions in the same pay range include "transfers" between bands. For example,

- Band B SR 24 to Band C SR 24; and
- Band C SR 24 to Band B SR 24.

The supervisor/manager need not complete a Salary Matrix Form for a transfer when a selectee is offered a salary rate in accordance with the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for a transfer.

2. Voluntary Movement to a Position in the Higher Pay Range

In the event that an employee moves from a position in a lower pay range to a position in a higher pay range within or between bands (a personnel action also described as "promotion"), the department accepting the employee may:

a. Follow the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for a promotion; or

b. Offer a salary rate up to the amount determined by the salary matrix, provided the amount is not less than the compensation adjustment for a promotion in accordance with the BU 13 contract agreement or applicable authority.

The supervisor/manager need not complete a Salary Matrix Form for a promotion when a selectee is offered a salary rate in accordance with the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for a promotion.

3. Voluntary Movement to a Position in the Lower Pay Range

In the event that an employee voluntarily moves from a position in a higher pay range to a position in a lower pay range within or between bands (a personnel action also described as "voluntary demotion"), the department accepting the employee shall:

a. Follow the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for a voluntary demotion.

b. The salary matrix shall not be applicable for voluntary demotion.

4. Procedures

a. A Salary Matrix Form (Attachment E) shall be completed for voluntary transfers or promotions when the supervisor/manager does not follow the applicable compensation adjustment in the BU 13 contract or applicable authority.

b. The supervisor/manager shall submit the completed form to the Appointing Authority, via the DPO, prior to making an official offer.

c. The Appointing Authority shall review and as appropriate, approve or

deny the request. Approved and disapproved requests by the Appointing Authority shall be forwarded to the requesting supervisor/manager. Requests that are denied shall be returned with an explanation for the denial, via the DPO.

d. Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

5. Compensation Adjustment

See Attachment Q for compensation adjustments for the Civil Service IT Broadanding Pilot Project.

B. Involuntary Movement of an Employee to a Position in the Lower Pay Range Within or Between Bands

1. "Disciplinary demotion" is the demotion action taken by the employer for disciplinary reasons.
2. "Involuntary demotion" is the demotion action taken by the employer due to the employee's inability to perform the duties and responsibilities of the employee's position, or due to the employee's failure to meet qualification requirements for the position.
3. Follow the provisions in the BU 13 contract agreement or applicable authority for compensation adjustment for disciplinary or involuntary demotion.
4. See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

C. Demotion to Avoid Layoff; Demotion Due to Reorganization; Service Connected Disability Demotion

1. For purposes of this paragraph, the provisions in the BU 13 collective bargaining agreement relating to Demotion to Avoid Layoff; Demotion Due to Reorganization; Service Connected Disability Demotion; and Non-Service Connected Disability Demotion (Article 14, C.3. and C.4) shall continue to be in effect for the duration of this pilot project.

2. See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

D. "Reallocation"/"Rebanding" is the reallocation of a position from one pay range to another pay range within/outside the band on the basis of the nature, and increased/decreased scope and complexity of assigned duties and responsibilities.

1. "Reallocation upward"/"Rebanding upward" is the reallocation of a position to a higher pay range/band, e.g., Band B SR 22 to Band B SR 24, Band B SR 24 to Band C SR 26.
   a. Follow the provisions in the BU 13 collective bargaining agreement or applicable authority for compensation adjustment for a reallocation upward.
   b. In extraordinary cases, supervisor/managers may request an exception to the standard reallocation/rebanding adjustment when it has been determined that the standard compensation adjustment does not adequately compensate employees for their credentials in performing the new assignment(s). The exceptional adjustment shall not exceed the last step of the pay range to which the position is assigned.
   c. In justifying the exceptional adjustment, the supervisor/manager shall consider such factors as comparable positions in the work unit

and program, value of the job, degree of specialization, needs of the program, overall benefit to the work unit, etc. (Attachment H)

2. "Reallocation downward"/"Rebanding downward" is the reallocation of a position to a lower pay range/band, e.g., Band A SR 20 to Band A SR 18, Band B SR 22 to Band A SR 20.

   Follow the provisions in the BU 13 collective bargaining agreement or applicable authority for compensation adjustment for a reallocation downward.

3. "Temporary reallocation/rebanding upward" is the temporary redescription of a position to reflect the concept of a higher pay range within/higher band.

   a. A position may be temporarily reallocated when it is assigned on a temporary basis, duties and responsibilities reflective of a change in position concept reflective of a higher pay range within/higher band.
   b. Follow the provisions in the BU 13 collective bargaining agreement or applicable authority for compensation adjustment for a temporary reallocation upward.
   c. In extraordinary cases, supervisor/managers may request an exception to the standard reallocation/rebanding adjustment when it has been determined that the standard compensation adjustment does not adequately compensate employees for their credentials in performing the new assignment(s). The exceptional adjustment shall not exceed the last step of the pay range to which the position is assigned.
   d. In justifying the exceptional adjustment, the supervisor/manager shall consider such factors as comparable positions in the work unit and program, value of the job, degree of specialization, needs of the program, overall benefit to the work unit, etc. (Attachment H)
   e. The compensation for a temporary reallocation/rebanding upward shall be terminated when the position ceases to be assigned duties

and responsibilities characteristics of the higher pay range/band.

f. The temporary reallocation/rebanding upward may be requested for a specific period, not to exceed one year.

g. A temporary reallocation/rebanding upward may be extended, but shall not exceed a total period of two years. Justification for extension beyond the first year shall be provided by the employing unit to the Appointing Authority for review and approval prior to the end of the first year.

h. The effective dates for the beginning and ending of temporary reallocation/rebanding upward actions shall conform to the dates the temporary duties are actually assigned, assumed, and subsequently removed.

i. Upon termination of a temporary reallocation/rebanding upward, the position shall return to its former pay range/band and the previous position description shall be reinstated as the official position description.

j. When the temporary reallocation/rebanding upward is terminated, the employee's compensation shall be at the rate the employee would have received were it not for the temporary reallocation/rebanding.

4. Procedures

a. The supervisor/manager shall submit to the Appointing Authority via the DPO:

1) An updated position description that includes the new duties assigned to the position; and

2) A Reallocation or Rebanding Adjustment form (Attachment G).

b. The Appointing Authority shall review and as appropriate, approve or deny the request. Approved and disapproved requests by the Appointing Authority shall be forwarded to the requesting supervisor/manager. Requests that are denied shall be returned

with an explanation for the denial, via the DPO.

c. Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative for information and record-keeping purposes.

5. Compensation Adjustment

   See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

E. Temporary Assignment to a Position in a Higher Pay Range Within or Between Bands

1. A temporary assignment to a position in a higher pay range within or between bands is when an employee temporarily assumes duties and responsibilities characteristic of a higher pay range, e.g., an employee who is in Band A SR 20 is temporarily assigned to a position in Band B SR 22.

2. An employee who performs temporary assignment to a position in a higher pay range within or between bands shall be compensated in accordance with the provisions in the BU 13 collective bargaining agreement or applicable authority for compensation adjustment for a temporary assignment.

3. The salary matrix shall not be applicable for temporary assignment to a position in a higher pay range within or between bands.

4. See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

F. Step Movement

1. Follow the provisions in the BU 13 contract agreement or applicable authority for step movements.

2. See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

IV. Maintenance of Pay Plan

A. Minimum Entry Rate

The Minimum Entry Rate is the entry step rate or minimum salary rate of the assigned pay range.

B. Designated New Hire Rate (DNHR)

1. The DNHR shall be determined by the Director of DHRD in the context of salary survey information from relevant sources, taking into account the State's ability to pay. Adjustments to the DNHR shall be made available to State agencies, and communicated to the exclusive collective bargaining representative, in electronic form prior to the effective date of any DNHR adjustment.

   Survey results shall be obtained and analyzed in sufficient time to make any approved adjustments to the DNHR effective on July 1 of odd-numbered years. Additionally, adjustments to the DNHR for individual pay ranges associated with a Career Group may be made from time-to-time as deemed necessary by the Director of DHRD.

2. In the event that an adjustment in the DNHR results in employees falling below the new DNHR, a State agency may nominate employees

who fall below the new DHNR for a pay adjustment, in accordance with the Change in the DNHR guidelines and procedures.

V. IN-BAND ADJUSTMENTS

A. Guidelines applicable to all in-band adjustments

1. In-band adjustments may be awarded for purposes of retention, change in the DNHR, internal alignment, and professional growth.

2. In-band adjustments are discretionary, employee-based compensation adjustments that are independent of negotiated adjustments, e.g., across-the-board adjustments and step-movements, applicable to all members of the bargaining unit.
3. In-band adjustments is an additional compensation to the employee's salary.
4. The approval and disapproval of in-band compensation adjustments shall be at the discretion of the Appointing Authority and shall not be subject to the grievance process or to the internal complaint/Merit Appeals Board process.

5. All in-band adjustments shall be subject to the availability of funds and shall be the responsibility of the respective program.

6. All approved/disapproved in-band adjustments shall be reported to the Appointing Authority.

7. The Departmental Personnel Officer (DPO) shall be responsible for reporting via email all approved/disapproved in-band adjustments to DHRD and approved/disapproved adjustments for included employees to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

8. In the event that the Pilot Project is discontinued, employees who have been awarded in-band adjustments shall retain their in-band amount(s) provided the employee remains in a position that was included in the pilot project (e.g. IT Specialist or Manager position).
9. In-band amounts shall terminate when the employee moves out or is no longer in a position that is included in the Civil Service IT Broadbanding Pilot Project.

B. Retention In-band Adjustment

The In-band Adjustment for Retention is designed to encourage employees to remain with their agency rather than accept employment outside the agency. This adjustment option is especially valuable in occupations that are competitive in the labor market, when the employees' salaries are less than what is available in the marketplace. An in-band adjustment for retention may be granted to an employee in a particular functional area and/or who performs a key function.

1. Guidelines

   a. Retention adjustments are subject to the approval of the Appointing Authority and are intended to serve as an incentive for highly skilled employees with knowledge, skills, abilities and/or competencies critical to the operation of the program to continue employment with the State in lieu of accepting job offers at higher salaries from other employers within or outside of the State jurisdiction.

   b. When considering the amount of the retention adjustment, the program shall consider the employee's existing position in relation to compensation in the market, if available, for similar positions.

The program shall also consider such factors as the pay of employees in comparable positions in the work unit, with similar or greater experience, education, training, knowledge, skills, abilities and competencies.

c. Upon the approval of the Appointing Authority, the program may make a counteroffer to an employee an amount up to the job offer from the other employer provided the:
   1) Counteroffer shall not exceed 8% above the salary range maximum; and
   2) Counteroffer is greater than the sum of the employee's basic rate of pay + in-band adjustment(s) + shortage differential (SD), if applicable.

d. The employee's supervisor/manager shall complete the Retention In-band Adjustment form and submit it to the Appointing Authority, via the DPO. The Appointing Authority shall review the request and as appropriate, approve or deny the request.

e. Internal Competitive Salary Offer

   In the case of a written employment offer from another state department/agency in the executive branch under the jurisdiction of DHRD, there can be only one counteroffer made by the employee's current department/agency for a job with a higher salary within the same or higher pay band. The amount of the competitive offer may not exceed the amount of the job offer from the other agency. If an employee moves to a new department/agency but then decides to return to the original agency, the Appointing Authority has the discretion to return the employee to his/her former position at the former salary or at the salary offered by the agency in the competitive offer process, provided it is within 30 calendar days of the date the

employee moved to the other State department/agency.

f. External Competitive Salary Offer

In the case of a written employment offer from an organization outside of the State, the department/agency may make a counteroffer to the employee. The amount of the competitive offer may not exceed the amount of the job offer from the external organization and not to exceed 8% above the salary range maximum.

g. The Retention adjustment recommendation must include the following:

1) A bona fide job offer letter with the salary offer from another employer and any other pertinent documentation reflecting a valid job offer;

2) An analysis of the impact of the Retention adjustment on the program's budget and operations;

3) A description of contributions made by the employee and benefit to the program/department/State in retaining the employee, including identification of the employee's bona fide occupational qualifications, and the special expertise, skill or knowledge that is critical to the operation of the program;

4) The identification of anticipated difficulties in securing a qualified replacement, if the Retention adjustment is not granted;

5) An analysis of the impact on and consequence to the program should the employee terminate employment with the State;

6) An analysis of the impact of the Retention adjustment on employees in comparable positions requiring the same bona fide occupational qualification, special expertise, skill or knowledge;

7) An analysis of the relevant market data, if available, for similar positions;

8) A copy of the employee's latest performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations";

9) Certification of the availability of funds and compliance with applicable equal employment laws, rules, regulations and policies; and

10) Any other relevant information or arguments in support of the request.

g. Effective Date of Award – The Retention adjustment shall be effective on the first day of the pay period immediately following the date of the Appointing Authority's approval.

h. Funding of Award -- Funding for Retention adjustment awards shall be subject to the availability of funds and shall be the responsibility of the program.

i. Method of Award Payment -- The Retention adjustment shall be made in the form of an in-band adjustment amount.

j. Decision-making -- The Appointing Authority shall review submitted requests for Retention adjustments and either approve or deny the requests. Because of the time-sensitive nature of job offers, appropriate attention is to be provided to facilitate and expedite the timely processing and consideration of retention in-band adjustments.

k. Retention in-band adjustments are discretionary. Approval and disapproval of Retention adjustments shall be at the discretion of the Appointing Authority and shall not be subject to the grievance process or to the internal complaint/Merit Appeals Board process.

2. Procedures

a. The employee's supervisor/manager shall complete the Retention In-band Adjustment form (Attachment I) and submit it to the Appointing Authority, via the DPO, for review and as appropriate, approval or disapproval. Requests for Retention adjustments denied by the Appointing Authority shall be returned to the submitting supervisor/manager with an explanation for the denial, via the DPO.

b. Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

c. The DPO shall initiate appropriate action to authorize payment of the approved Retention adjustment.

3. Compensation Adjustment

See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

C. Change in the Designated New Hire Rate (DNHR)

Change in the DNHR is intended to provide a process for programs to request an in-band adjustment to the salary of an employee when there has been a change in the DNHR for a particular career group. The intent is to compensate an employee when the employee's salary has been determined to be under the new DNHR.

1. Guidelines

a. The amount of the Change in the DNHR adjustment shall be based on the program's assessment of the extent of funding available after considering the magnitude of the change in the DHNR.

b. Adjustments for change in the DNHR are subject to the approval of the Appointing Authority. The employee's supervisor/manager shall complete the Change in the DNHR form and submit it to the Appointing Authority.

c. The Change in the DNHR form must include the following:

1) A copy of the employee's last performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations";

2) An analysis of the impact of a Change in the DNHR on employees in comparable positions requiring the same bona fide occupational qualifications;

3) Certification of the availability of funds and compliance with applicable equal employment laws, rules, regulations and policies; and

4) Any other relevant information or justification in support of the request.

d. Effective Date of Award – A Change in the DNHR adjustment shall be effective on the first day of the pay period immediately following the date of the Appointing Authority's approval.

e. Funding of Award – Funding of Change in the DNHR awards shall be subject to the availability of funds and shall be the responsibility of the program.

f. Method of Award Payment – A Change in the DNHR shall be made in the form of an in-band adjustment amount.

g. Decision-making – The Appointing Authority shall review submitted requests for Change in the DHNR adjustments and either approve or deny the requests.

h. Change in the DNHR in-band adjustments are discretionary. Approval and disapproval of change in the DNHR adjustments shall be at the discretion of the Appointing Authority and shall not be subject to the grievance process or to the internal complaint/Merit Appeals Board process.

2. Procedures

a. The employee's supervisor/manager shall complete the Change in the DNHR form (Attachment J) and submit it to the Appointing Authority via the DPO, for review and as appropriate, approval or disapproval. Requests for Change in the DNHR that are denied by the Appointing

Authority shall be returned to the submitting supervisor/manager with an explanation for the denial, via the DPO.

b. Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

c. The DPO shall initiate appropriate action to authorize payment of the approved Change in the DNHR adjustment.

3. Compensation Adjustment

See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

D. Internal Alignment In-band Adjustment

In-band Adjustments for Internal Alignment are intended to provide a process for programs to request an adjustment to the salary of an employee when it is determined that the employee's salary is significantly less than that of other similarly situated-employees. The program shall consider the following factors when comparing positions: (1) assignment to the same career group, in the same band, within the relevant work unit; (2) in the same specialization with similar duties and responsibilities; and (3) possessing comparable levels of education, training, experience, knowledge, skills, abilities and competencies.

1. Guidelines

a. Internal Alignment adjustments are subject to the approval of the Appointing Authority. As determined by the Appointing Authority, a salary Internal Alignment review may be initiated to examine

employees' salaries.

b. The Internal Alignment adjustment recommendation shall include the following:

1) An analysis of the existence of salary inequities between the subject employee(s) and other employees in comparable and relevant positions assigned to the same career group, in the same salary range and band, within the relevant work unit; in the same specialization with similar duties and responsibilities; and possessing comparable levels of education, training, experience, knowledge, skills, abilities and competencies:

a) Quantitative Analysis:

Comparison of the subject employee(s) to the employees in comparable and relevant positions (same career group, same band, similar duties and responsibilities) which include:

- Salaries, salary range, band, and career group
- Employees' years of service in the State and in the bargaining unit
- Educational level of employees
- Relevant work experience (number of years, type and quality) of employees
- Other qualification requirements of employees
- Any approved compensation above the minimum entry rates of employees
- Any approved reallocation, rebanding and/or in-band

adjustment of employees

- The employees' job performance
- Proposed internal alignment adjustment

b) Qualitative Analysis: An analysis to determine if there is a basis for the request, e.g., difference(s) between jobs, hiring rates, compensation adjustments, etc., which can explain the difference(s) in salaries.

2) The proposed internal alignment in-band adjustment + the base pay + SD, if applicable, + in-band amount(s), if any, shall not exceed the basic rate of pay + SD, if applicable, + in-band amount(s), if any, of other employee(s) in comparable and relevant positions.

3) The proposed method of funding the request and a general statement concerning the impact of funding the request on the program budget and operations.

4) An analysis of the impact on and consequences to the program should the employee's salary remain the same.

5) The employee's performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations".

6) Certification of the availability of funds and compliance with applicable equal employment laws, rules, regulations and policies.

7) Any other relevant information or justification in support of the request.

c. A program may request a salary equity review from the DPO, who

shall consult with the Appointing Authority and departmental EEO Office, if applicable. In conducting the review, the DPO shall evaluate relevant employee data. The departmental EEO Office shall provide guidance and advice on the conduct and data analysis associated with the review.

d. Effective Date of the Award -- Internal Alignment adjustments shall be effective on the first day of the pay period immediately following the date of the Appointing Authority's approval.

e. Funding of Award -- Funding for Internal Alignment adjustment awards shall be subject to the availability of funds and shall be the responsibility of the program.

f. Method of Award Payment – An Internal Alignment adjustment shall be made in the form of an in-band adjustment amount.

g. Decision-making -- The Appointing Authority shall review submitted requests for Internal Alignment adjustments and either approve or deny the requests.

h. Internal alignment adjustments for other employees shall not be permitted to match an employee who received a retention in-band adjustment.

i. Internal Alignment in-band adjustments are discretionary. Approval and disapproval of Internal Alignment adjustments shall be at the discretion of the Appointing Authority and shall not be subject to the grievance process or to the internal complaint/Merit Appeals Board process.

2. Procedures

a. The employee's supervisor/manager shall complete the Internal

Alignment In-band Adjustment form (Attachment K) and submit it to the Appointing Authority, via the DPO. The Appointing Authority shall review and as appropriate approve or deny the request. Requests for Internal Alignment adjustment denied by the Appointing Authority shall be returned to the submitting supervisor/manager with an explanation of the denial, via the DPO.

b. Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

c. The DPO shall initiate appropriate action to authorize payment of the approved Internal Alignment adjustment.

3. Compensation Adjustment
See Attachment Q for compensation adjustments for the Civil Service IT Pilot Project.

E. Professional Growth In-band Adjustment (Increased Scope and Complexity of Work and/or Increased Competencies Within the Same Pay Range)

The Broadbanding system is designed to promote growth and professional development. For example an expert worker in Band B will have the opportunity to advance professionally and financially without having to move to supervisory or management positions.

As business needs change, agencies need to redesign and reconfigure work assignments and job responsibilities based on changes in organizational goals, technology, staffing, etc. Often, agencies may need to assign additional duties and responsibilities to existing staff

that do not warrant movement to a higher salary range.

1. Guidelines

Professional growth adjustments may be authorized by the Appointing Authority to recognize the permanent or temporary assignment of duties and responsibilities that remain characteristic of the same pay range but which reflect an expanded scope and increase in complexity of work, and/or the application of knowledge, skills and abilities, acquired through professional/skill development that enhances job mastery on an on-going basis.

a. Increased scope and complexity of work

1) There is a significant change in responsibilities or addition to the predominant duties of the position or a new significant function is added. The significant change must be substantial as demonstrated in an increase in the accountability; critical thinking; problem solving; decision making; knowledge, skills and expertise; and/or communications.

A change in a position's volume of work activities or transactions is not considered a significant change in responsibility, additional function, or new significant function for professional growth in-band adjustment purposes. Further, for a supervisor, the addition of a subordinate staff member is not necessarily considered a significant change as it relates to responsibility or a new significant function for professional growth in-band adjustment purposes. However, if multiple subordinates are assigned and/or a new subordinate supervisory level is created then such may warrant consideration of an in-band adjustment based on a significant change in responsibility or new significant function.

2) Significant change in complexity of work that is quantifiable, demonstrated on an on-going basis, and documented in the position description of record.

3) The employee may experience a steep learning curve in the new assignment, and therefore, the employee is not eligible for an in-band adjustment during the learning curve period. An employee is eligible for in-band adjustment once the employee has gained and demonstrated competency in the new or change in duties.

4) Significant changes are to be documented in the position description and supported by an analysis of the employee's additional duties and responsibilities and must be substantial as demonstrated in an increase in the accountability; critical thinking; problem solving; decision making; knowledge, skills, and expertise; and/or communications.

Criteria	**Guidelines for 4% in-band adjustment**
Scope of responsibility and accountability	For example, but not limited to: o New functions have been added; o New authority has been delegated to the position for which an adjustment is being considered; o Expectations associated with the position have changed with respect to the level and degree that the position incumbent will be held accountable.
Critical thinking and problem solving	For example, but not limited to: o Expectations have changed from administering established policies and procedures to requiring a high level of analytical ability in order to interpret and develop new policies and procedures, and/or develop creative adaptions of policies and procedures to new situations; o The level of complexity in solving problems has increased and solutions are unusual, extremely difficult, and require considerable ingenuity;

	○ Independent judgment is required and solutions are not subject to review by a higher authority or expert.
Decision making	For example, but not limited to: ○ The scope, impact and consequences of decision-making has increased; ○ Decisions are of considerable importance and errors may result in serious consequences or loss, financial impact of decision-making increased for example from hundreds of thousands of dollars to millions of dollars.
Knowledge, skills and expertise	For example, but not limited to: ○ New and/or more complex knowledge, skills and expertise are required to perform assigned duties and responsibilities.
Communications	For example, but not limited to: ○ The scope of communication changed and involves having to communicate with more senior executives and managers for the purposes of negotiating, interpreting or persuading for policy and process changes with the intent to influence more senior decision-makers; ○ Contact requires considerable tact, discretion, and persuasion to obtain results; ○ Presents new methods, programs, and/or controversial issues.

b. Increased Competencies

1) Professional growth of an employee as demonstrated on an on-going basis in relation to increased skills, knowledge, abilities, etc.

2) Consideration may be given to the obtainment of an advanced degree relevant to the area of professional specialization where

the employee demonstrates application of the newly gained professional skills, knowledge and expertise in the performance of his/her duties and responsibilities.

c. All current and future costs of any in-band adjustment shall be funded from existing program budget allocations and shall not require or serve as the sole basis for future supplemental program budget requests. Certification of availability of funding is required.

d. Employees in select positions in Band A whose authorized level is at SR 20 independent worker level and all positions in Bands B, C and D are eligible to receive professional growth in-band adjustments.

e. Employees must have six (6) months service in the current position and have a minimum overall performance rating of "meets expectations" during the current or immediately preceding rating period to be eligible for a permanent Professional Growth adjustment.

f. Workload is not a basis for a professional growth in-band adjustment. Existing or increased workload may be addressed by alternatives such as increasing staff or overtime.

g. The duties and responsibilities may be assigned on a permanent or temporary basis.

1) Permanent Professional Growth In-band Adjustment for Increased Scope and Complexity of Work and/or Increased Competencies

a) A permanent Professional Growth in-band adjustment shall be

equivalent to 4% of the employee's basic rate of pay, provided the sum of the professional growth in-band adjustment + employee's existing basic rate of pay + SD, if applicable, + in-band amount(s), if any, shall not exceed 8% above the salary range maximum.

b) Employees may be awarded a permanent Professional Growth adjustment once every 12 months from the last permanent Professional Growth in-band adjustment, permanent reallocation or rebanding. Appointing Authorities may on an exception and special circumstances basis waive the 12 month requirement with documented supporting rationale.

c) The effective date shall be as follows:
Increased scope and complexity of work - the first day of the pay period immediately following the date of the receipt of the redescription by the personnel office. An earlier effective date may be authorized by the Appointing Authority when deemed equitable. Such retroactive effective date shall not be earlier than one year prior to the beginning of the pay period immediately following the date of receipt of the redescription. Whenever a request is made for a retroactive date, appropriate justification in sufficient detail must be submitted to support the request including the reason for the delay in submitting the redescription.

Increased competencies - the first day of the pay period immediately following the date of the Appointing Authority's approval.

2) Temporary In-band Adjustment for Increased Scope and Complexity of Work and/or Increased Competencies

a) A temporary in-band adjustment may be made for the increased scope and complexity of work equivalent to 4% of the employee's existing basic rate of pay, provided the sum of the temporary in-band adjustment + employee's basic rate of pay + SD, if applicable, + in-band amount(s), if any, shall not exceed 8% above the salary range maximum.

b) Temporary in-band adjustment within the salary range should be requested for a specified period up to one year, at the end of which the position shall revert to its previous position description.

c) A temporary in-band adjustment may be extended, but shall not exceed a total period of two years. Justification for extension beyond the first year shall be provided by the agency to the Appointing Authority for review and approval prior to the end of the first year.

d) The beginning and ending effective dates of a temporary in-band adjustment shall conform to the dates the temporary duties were actually assigned and assumed and subsequently removed, provided that the beginning effective date shall be no earlier than ninety (90) calendar days prior to receipt of the redescription.

g. Professional Growth in-band adjustments are discretionary. Approval and disapproval of Professional Growth adjustments shall

be at the discretion of the Appointing Authority and shall not be subject to the grievance process or to the internal complaint/Merit Appeals Board process.

2. Procedures

   a. Professional Growth In-band Adjustment for Increased Scope and Complexity of Work in the Same Pay Range

      1) A revised position description is required describing the significant changes of the position in relation to the expanded scope and complexity of work.

      2) An employee's immediate supervisor/manager may initiate a request for a Professional Growth In-band Adjustment (Attachment L) and submit it to the Appointing Authority via the DPO.

      3) The Appointing Authority shall approve or disapprove requests with a notation of the rationale/comments for endorsement. All disapproved requests with comments/rationale for disapproval shall be returned to the appropriate submitting supervisor/manager via the DPO.

      4) Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing

Authority's decision.

5) The DPO shall initiate appropriate action to effect payment of the approved professional growth adjustment.

b. Professional Growth In-band adjustment for Increased Competencies in the Same Pay Range

1) Supervisors/Managers shall complete the Professional Growth In-band Adjustment form (Attachment L) and submit it to the Appointing Authority via the DPO.

2) The Appointing Authority shall approve or deny the request and return a copy of the decision to the submitting program via the DPO. All denied requests shall be returned to the submitting program with an explanation for the denial.

3) Copies of all approved and disapproved requests shall be forwarded by the DPO to DHRD and copies of approved and disapproved requests for included employees shall be forwarded by the DPO to the exclusive collective bargaining representative within ten (10) calendar days of the Appointing Authority's decision.

4) The DPO shall initiate appropriate action to effect payment of the approved professional growth adjustment.

3. Compensation Adjustment

See Attachment Q for compensation adjustments for the Civil Service IT Broadbanding Pilot Project.

IN-BAND COMPENSATION APPEAL PROCESS

Directors and DPOs are encouraged to communicate openly and clearly with managers, supervisors and employees regarding the Civil Service IT Broadbanding Pilot Project, as well as the department/agency's compensation priorities and challenges. Communication should be an open dialogue between all parties.

Compensation decisions such as in-band adjustments for professional growth, retention, internal alignment and change in the DNHR are made solely at the discretion of the Appointing Authority.

- If employees have concerns about a discretionary compensation decision, they should discuss their concern with their supervisor, manager and/or program administrator as soon as possible.
- If employees do not resolve their issue(s) informally with their supervisor, manager, and/or program administrator, employees may submit a request for an Administrative Review (Attachment M) to the departmental personnel office within 20 working days of receipt of written notification regarding the compensation decision.
    - In connection with the Administrative Review, the DPO should consult with the employee's supervisor and relevant management, e.g., Branch Chief, Division Chief. The DPO shall respond in writing to the employee within 20 working days of receipt of the request for Administrative Review, explaining the decision.
- If the decision of the DPO does not resolve the employee's concerns, the employee may appeal the decision in writing to the Appointing Authority within 20 working days of the DPO's decision. The Appointing Authority shall render a decision within 20 working days, following consultation with the Director of DHRD. The decision of the Appointing Authority regarding a discretionary, in-band adjustment is final and not subject to appeal, either through the grievance process or through the internal complaint/Merit Appeals Board process.

SECTION X

COMPENSATION MANAGEMENT

I. Potential of Increased Salary Costs

Unlike other broadbanding project implementations (e.g., Federal Government) that experienced increased costs, it is the intent that the Civil Service IT Broadbanding Pilot Project be a cost neutral conversion. Although there will be no upfront initial conversion costs, it is anticipated that new compensation determination mechanisms, e.g., initial hire rates and in-grade adjustments, may result in additional compensation costs that are to be addressed within budgeted funds. The following factors are to be considered in order to control costs:

II. Method of Conversion

Salary cost increases that were experienced by other projects were primarily due to salary adjustments during the conversion process. As mentioned earlier, **for this IT Pilot Project, implementation will be on a budget neutral basis**. In order to achieve budget neutrality, it is planned that upon conversion, existing positions will move from current salary rates to identical salary rates in the new system.

Some programs, however, may experience additional costs as a consequence of position redescriptions that may be overdue or as a result of changes in work assignments, i.e., redescription of positions from independent worker to the journeyworker level. It is also possible that as part of the conversion process, some positions may be assigned to lower level bands. The employees in these positions may therefore feel that broadbanding has devalued their jobs, because positions in the new system will be classified into broader bands. For example, an employee who was once classified as an IT Specialist V, SR-24

(super journeyworker), may be classified under the new system into Band B (journeyworker band), thus potentially decreasing his/her morale.

In an effort to avoid such morale issues, information sharing, education and open communication will be key. It is anticipated that if employees understand the broadbanding system, they will realize that their contributions to the workplace are important and that they may be rewarded with in-band adjustments. DHRD expects to conduct informational meetings regarding development of the Pilot Project to inform employees of the status of the project and to provide them with an opportunity to voice their concerns.

III. Starting Salary Policy

Because recruitment of skilled IT workers is highly competitive, tools to promote flexibility in determining initial hiring rates, e.g., flexible hiring rates and recruitment above the minimum, have necessarily been adopted and are currently in effect. The Pilot Project's initial hiring rate practices will be consistent with these current practices, with an option to offer higher salaries based upon the outcome of the salary matrix. It is hoped that this approach will assist in controlling salary costs.

IV. Managing Payroll

The potential for significant budgetary increases is a major concern with the Pilot Project since the new system creates more mechanisms to increase an employee's compensation through in-band adjustments. To minimize potential costs from uncontrolled compensation growth, it is incumbent upon the appointing authority to develop compensation practices and strategies to ensure that there is appropriate management of compensation under this new system. One factor that may contribute to increased salary costs under a broadbanding system is the system's flexibility, which creates more opportunities for compensation adjustments. Having effective practices

and strategies in conjunction with oversight will ensure that salary adjustments are warranted and can be accommodated within the parameters of the program's budget. Continuous vigilance with regard to the department's operating budget, e.g., operating assessment and audits, may be warranted.

V. Program Funding

As previously mentioned, the implementation of this Pilot Project is expected to be on a budget neutral basis. Programs will be responsible for any costs associated with the funding of any future in-grade adjustments.

It must be remembered that the fundamental purpose of this new classification and compensation system is to establish new compensation mechanisms that will aid programs in recruiting and retaining much-needed IT personnel. This new system cannot resolve, and is not intended to resolve, all related concerns/problems, particularly those relating to funding.

SECTION XI

CONVERSION FROM THE CURRENT TO THE NEW CLASSIFICATION AND COMPENSATION SYSTEM

Departments will classify existing IT Specialist and IT Manager positions into the new system based upon current position descriptions, new career group concepts, and new band level concepts. For example, an existing civil service position currently classified as an IT Specialist IV, SR-22 (Journeyworker), will be classified to the Information Technology Career Group, and Band B, Journeyworker Band.

As part of the project, examples of typical work assignments associated with the different bands will be available to assist departments in creating or revising position descriptions in the new system. Departments may "customize" these generic duties and responsibilities in order to make them more compatible with specific details unique to their programs. It is anticipated that an on-line position description generator will be developed and will be made accessible via the World Wide Web to expedite and facilitate the position description process. This generator will enable supervisors and managers to save time by creating new or revising existing position descriptions on-line, which can then be electronically submitted and reviewed by the appropriate levels.

Transition from Current Position Classification and Compensation System to Broadbanding

Current Position Classification & Compensation System

Steps: C D E F G H I J K L M

SR 16 (Class Concept: Entry/Trainee)

SR 18 (Class Concept: Advanced Trainee)

SR 20 (Class Concept: Independent Worker)

SR 22 (Class Concept: Journey Worker)

SR 24 (Class Concept: Senior Specialist/First Level Supervisor)

SR 26 (Class Concept: Second Level Supervisor)

SR 28 (Class Concept: Second Level Supervisor)

EM 5 (Class Concept: IT Manager)

EM 6 (Class Concept: ICS Assistant Administrator)

EM 8 (Class Concept: ICS Administrator)

Notes:

- Negotiated salary schedule & step movement plan based on years of service
- A position's classification is based on assigned duties & responsibilities consistent with class concept; and reallocation adjustment is based on changes to assigned duties & responsibilities, consistent with class concept when position description is redescribed

Broadbanding Concepts

Band A: Entry/Independent Worker Band

Steps: C D E F G H I J K L M

SR 18 (Class Concept: Entry/Trainee)

SR 20 (Class Concept: Independent Worker)

Band B: Journey Worker Band

Steps: C D E F G H I J K L M

SR 22 (Class Concept: Journey Worker)

SR 24 (Class Concept: Senior Specialist)

Band C: Supervisor Band*

Steps: C D E F G H I J K L M

SR 26 (Class Concept: First/Second Level Supervisor)

SR 28 (Class Concept: Second Level Supervisor of highly complex IT program)

Band D: Excluded Manager/Foremost Technical Expert Band

EM 5 (Class Concept: IT Manager/Branch Chief)

EM 6 (Class Concept: IT Manager/Assistant Administrator)

EM 8 (Class Concept: IT Program Administrator)

Notes:

- Preserve negotiated salary schedule & step movement plan based on years of service
- Continue reallocation adjustment when position is redescribed
- **NEW**: Simplify classification; allow for additional employee based compensation adjustments, e.g., growth/professional development, that follows employee in the event of step movement and/or position redescription/reallocation/redefinition
- In the transition process, provisions (non-detrimental to employees) will be needed to accommodate existing classes

* For Broadbanding: SR 24 positions currently supervising SR-22 subordinates will be assigned to Band C- Supervisor Band, along with positions currently supervising SR-24 subordinates and that are assigned to SR-26. No loss to employee; reconstruction if Broadbanding terminated.

PROJECT IMPLEMENTATION

The success of this Pilot Project and implementation of the new system will be impacted by the following:

A Plan for Communications: Communication is a key factor to successful project implementation. DHRD has/will establish and utilize the following means of communication: (a) Meetings with key stakeholders (Consultant Group), which have already started and will continue to provide assistance in the design of the new system (Attachment A); (b) a secured website will be created to facilitate the dissemination of draft materials and assist with communication efforts among the group members; (c) feedback will be solicited from administrators and managers to ensure that components of the new system are sound; and (d) informational group meetings will be conducted to begin the process of informing employees of the status of the project while concurrently seeking feedback on the project.

Education and Training: It is planned that an extensive training program will be developed for all managers, supervisors and employees. These training sessions will be held to ensure that all affected parties have an understanding of the new system and associated policies. It is anticipated that training will begin during September 2015.

Program Development in Collaboration with the Hawai'i Government Employees Association (HGEA): Information Technology personnel are exclusively represented by the HGEA. Representatives of HGEA along with representatives of the employer shall collaborate together as a Labor-Management Committee to fulfill the charge of providing strategic planning for the

broadbanding pilot project; recommending policy changes and evaluating the broadbanding pilot project.

PROJECT MILESTONES AND TARGET COMPLETION DATES

PROJECT MILESTONES	TARGET COMPLETION DATE
Initial meeting of the pilot project team	April 2015
Develop draft project proposal	June 2015
Develop draft band definitions	June 2015
Develop draft career group concept	June 2015
Develop draft pay practices/proposed compensation rules	July 2015
Present to Directors drafts of Project Documentation, i.e., Career Group Concepts, Band Definitions, conversion procedures to key personnel	July 2105
Develop training module and transition/conversion plan	July 2015
Initiate formal consultation and/or negotiations with BU-13 on matters subject to Chapter 89	July 2015
Complete drafts of applicable instructions/procedures	August 2015
Initiate implementation training and conversion activities	September 2015
Project Phase I Roll-out	October 2015
Project Assessment	November 2015

Attachment A

Section XII

ATTACHMENTS

Members of the Civil Service IT Broadbanding Pilot Project Team

Lillian Bowles, Personnel Program Officer, DHRD

Eliza Campos, Personnel Management Specialist, DHRD

Sunah Cheng, Personnel Management Specialist, DHRD

Winona Chun, Personnel Program Officer, DHRD

Lisa Hodges, Personnel Program Manager, DHRD

Cindy Inouye, Deputy Director, DHRD

Joy Inouye, Personnel Program Manager, DHRD

Leila Kagawa, IT Program Management Officer, Enterprise Program Management Office, Office of Information Management & Technology (OIMT)

Daeleen Liu, Personnel Management Specialist, DHRD

Dianne Matsuura, Departmental Personnel Officer, Department of Accounting and General Services

Allison Murakawa, Personnel Program Manager, DHRD

Todd Nacapuy, Chief Information Officer, Office of Information Management and Technology (OIMT)

Marian Nakamura, Personnel Management Specialist, DHRD

James Nishimoto, Director, DHRD

Debra Nishiyama, Personnel Program Administrator, DHRD

Joan Takano, Field Services Officer, Hawaii Government Employees' Association (HGEA)

Sarah Tang, Personnel Management Specialist, DHRD

Susan Zukeran, Personnel Program Manager, DHRD

Attachment B

DEFINITION OF BROADBANDING PAY BANDS

PAY BAND A – Entry Level

Band Concept

Positions assigned to this level perform professional work ranging from the Entry/Trainee and Independent Worker levels. This band includes the following types:

ENTRY/TRAINEE – SR-18

- CONCEPT
  - Receives on-the-job training in the principles, concepts, work processes, methods and techniques fundamental to the professional work to be performed.
- COMPLEXITY
  - Assignments range from simple to moderately complex, and are selected and designed to develop the employee for progression to the Independent Worker Level or the Career Band of the occupation.
- CONTROLS OVER POSITION
  - Receives specific guidance, instruction and orientation on all aspects of the work. Supervision is relaxed on assignments of a routine and simple nature, but is closer on assignments of a more difficult and complex nature.
  - Work assignments are closely and critically reviewed to ensure potential for advancement to the Independent Worker level or Journeyworker Band.

- As the Entry Worker's knowledge, abilities and skills increase, assignments characteristic of higher level work are made for developmental purposes, and supervision is gradually relaxed.

INDEPENDENT WORKER – SR-20

- CONCEPT
  - Performs moderately complex professional work in accordance with established policies, guidelines and procedures.

- COMPLEXITY
  - Assignments routinely encompass problems of average difficulty and complexity, requiring the application of technical knowledge, skills and sound judgment in applying fundamental principles and techniques, and well-defined policies, procedures, rules, regulations, standards and established precedents pertinent to the occupational specialty and program area.

  - Problems encountered are usually those which can be resolved by direct application of specific standards, regulations or other similar guides. Unusual or controversial problems are brought to the attention of a higher level worker or supervisor.

- CONTROLS OVER POSITION
  - Supervision received at this level is of a general nature. The supervisor explains possible difficulties that may arise. The approach to the assignment and handling of the assignment is the responsibility of the incumbent. Unusual problems are brought to the attention of the supervisor.

- Completed assignments are reviewed for soundness, completeness and conformity with applicable standards and legal requirements.

- SUPERVISION EXERCISED
  - May also supervise clerical/technical support staff.

MINIMUM QUALIFICATION REQUIREMENTS:

Applicants must possess education and experience of the kind and quality described below, or any equivalent combination of training and experience. The applicant's overall education and experience must demonstrate possession of the relevant competencies required to perform assigned duties and responsibilities.

COMPETENCIES

CUSTOMER FOCUS: Demonstrates concern for meeting internal and external customers' needs in a manner that provides customer satisfaction; builds and maintains customer satisfaction with the products and services offered by the organization.

INITIATIVE: Initiates work independently; does more than is required or expected in the job to improve or enhance products and services; plans ahead for upcoming problems or opportunities and takes appropriate action.

READING: Understands and interprets simple to moderately complex written material such as correspondence, charts, instructions, reports.

WRITING: Uses correct English grammar, punctuation and spelling; communicates information in a succinct and organized manner; composes documents or correspondence involving simple, routine or moderately complex information.

ORAL COMMUNICATION: Expresses information to individuals and groups effectively, taking into account the audience and nature of the information.

DECISION MAKING: Makes sound and timely decisions when a limited number of alternatives are given. Decisions involve routine or moderately complex situations and impact one's own work.

PROBLEM SOLVING: Identifies and analyzes moderately complex problems logically and systematically; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations.

REASONING: Identifies rules, principles or relationships that explain facts, data or other information; analyzes simple or moderately complex information; makes correct inferences and draws accurate conclusions by applying rules involving few steps.

INFORMATION MANAGEMENT: Gathers information from one or two sources identified by others; organizes and maintains information using clearly outlined guidelines.

INTERPERSONAL SKILLS: Deals effectively with others; establishes and maintains effective working relationships with others; treats others with courtesy and tact.

TECHNICAL COMPETENCE: Possesses functional understanding and knowledge of pertinent principles, practices, methods and techniques, which are identified in the career group concept.

Education and Experience Requirement

Graduation from an accredited four (4) year college or university with a bachelor's degree; and none (0) to two (2) years of IT work experience which includes professional work experience in at least one IT specialty area; or any equivalent combination of training and experience.

PAY BAND B – Journeyworker

Band Concept

Positions assigned to this level independently perform the full range of professional work in a particular occupation. Some positions may serve as the lead with responsibility to provide oversight and technical direction to subordinate clerical/technical support staff or positions at the entry worker level; or as the subject matter expert in an assigned area. This band includes the following types:

JOURNEY WORKER – SR-22

- CONCEPT
  - Performs complex professional work and exercises independent judgment, discretion and adaptation in determining an approach and applying broad concepts, subject matter knowledge, professional skills and techniques in order to successfully complete assignments and fulfill the full scope of responsibilities.
- COMPLEXITY
  - Assignments require considerable knowledge of applicable laws, rules, policies, regulations and procedures in a subject matter area or field of expertise; and typically requires the analysis and understanding of various factors, conditions, processes, functions, etc., in order to formulate a feasible solution/work product.
  - Controlling precedents, policies, procedures and decisions are not immediately apparent to problems being analyzed.

- Positions may be assigned work as a generalist, performing the full range of professional work from simple to highly complex assignments, but spends the majority of work time performing complex professional work.

- Positions may be assigned work as a specialist, performing the full range of work in a specialized area encompassing a range of complexity from simple to highly complex work, but spends a majority of work time performing complex work in the specialized area.

- CONTROLS OVER POSITION

  - Exercises considerable authority, judgment and decision-making responsibility to perform work independently.

- SUPERVISION GIVEN

  - The work may involve coordinating the work of others as a team/project leader, and/or being assisted by and helping train Entry level workers.

<u>SENIOR SPECIALIST/SUBJECT MATTER EXPERT – SR-24</u>

- CONCEPT

  - Performs the most advanced level of work, requiring the application of comprehensive and in-depth knowledge, and seasoned judgment. As the senior specialist, positions serve as a project or team leader initiating, coordinating, and completing highly complex projects. Projects are of such scope and complexity to require directing a team of lower level

specialists at the journeyworker level, and ensuring accuracy and timely completion.

- As the subject matter expert, positions perform the most complex work in a particular subject matter area for a majority of work time on a regular and continuing basis; and/or provides expert advisory, consultative, and technical guidance to others on their respective area of expertise.

- COMPLEXITY

  - Assignments require the resolution of novel, controversial or unusual situations; encompass a broad range of elements, some of which are conflicting and difficult to reconcile or accommodate; and/or involve responsibility for highly complex projects and/or activities that require the consideration and reconciliation of various issues of an unprecedented nature.
  - Decision making is difficult because of the uncertainty in approach, methodology, or interpretation and evaluation of processes that result from events such as continuing and frequent changes in program, technological developments, unknown phenomena, or conflicting requirements.

  - The work requires originating new techniques and/or standards.

- CONTROLS OVER POSITION

  - Exercises considerable authority, judgment and decision-making responsibility to perform work independently.

- SUPERVISION EXERCISED

- The work may involve coordinating the work of others as a team/project leader, and/or being assisted by and helping train Entry level workers.

MINIMUM QUALIFICATION REQUIREMENTS:

Applicants must possess education and experience of the kind and quality described below, or any equivalent combination of training and experience. The applicant's overall education and experience must demonstrate possession of the relevant competencies required to perform assigned duties and responsibilities.

COMPETENCIES

CUSTOMER FOCUS: Demonstrates concern for meeting internal and external customers' needs in a manner that provides customer satisfaction; builds and maintains customer satisfaction with the products and services offered by the organization.

INITIATIVE: Initiates work independently; does more than is required or expected in the job to improve or enhance products and services; plans ahead for upcoming problems or opportunities and takes appropriate action.

READING: Understands and interprets complex written material, including laws, rules, regulations and policies.

WRITING: Uses correct English grammar, punctuation and spelling; communicates information in a succinct and organized manner; produces complex written documents or information that is appropriate for the intended audience.

ORAL COMMUNICATION: Expresses information to individuals and groups effectively, taking into account the audience and nature of the information.

DECISION MAKING: Makes sound, well-informed and objective decisions involving complex issues; perceives the impact and implications of decisions.

PROBLEM SOLVING: Identifies and analyzes complex problems logically and systematically; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations.

REASONING: Identifies rules, principles or relationships that explain facts, data or other information; analyzes complex information; makes correct inferences and draws accurate conclusions by applying rules that involve many steps.

INFORMATION MANAGEMENT: Identifies the need for and gathers information from many sources; organizes complex or technical information to facilitate analysis and decision making.

INTERPERSONAL SKILLS: Deals effectively with others; establishes and maintains effective working relationships with others; treats others with courtesy and tact.

TECHNICAL COMPETENCE: Possesses considerable understanding and working knowledge of pertinent principles, practices, methods and techniques which are identified in the career group concept.

ORGANIZATIONAL AWARENESS: Understands and applies knowledge of the mission, functions, policies and procedures of the organization; understands relationships among units at different levels in the organization

Education and Experience Requirement

Graduation from an accredited four (4) year college or university with a bachelor's degree; and two (2) to four (4) years of professional IT work experience in at least one IT specialty area; or any equivalent combination of training and experience.

Pay Band C – Supervisory Band

Band Concept

Positions assigned to this level spend a majority of work time supervising subordinate professionals at the Entry and/or Journeyworker Band level in the performance of professional work. Supervisory duties and responsibilities include planning and directing the work of subordinates; assigning and reviewing their work; advising them on difficult and complex problem areas; timing and scheduling their work; providing technical guidance and staff training and development; and other related supervisory responsibilities as necessary.

- CONCEPT
    - Directly supervises a group of professionals at the Entry Band or Journeyworker Band levels; or supervises through one or more subordinate supervisors.
        - SR-24 Supervisors supervises one or more SR-22 subordinate(s)
        - SR-26 Supervisors supervises one or more SR-24 subordinate(s)
        - SR-28 Supervisors supervises one or more SR-24 subordinate(s) within a highly complex IT program

- COMPLEXITY
    - Determines the methods, means, work priorities and allocation of resources for the work unit supervised. Develops, establishes, and implements pertinent policies, procedures, and guidelines.

- CONTROLS OVER POSITION

- Functions independently with extensive discretion and authority without technical supervision.

- SUPERVISION EXERCISED

  - Provides technical or general/administrative supervision to a group of subordinate professionals. May also supervise subordinate technical or clerical support staff.

MINIMUM QUALIFICATION REQUIREMENTS:

Applicants must possess education and experience of the kind and quality described below, or any equivalent combination of training and experience. The applicant's overall education and experience must demonstrate possession of the relevant competencies required to perform assigned duties and responsibilities.

COMPETENCIES

CUSTOMER FOCUS: Demonstrates concern for meeting internal and external customers' needs in a manner that provides customer satisfaction; builds and maintains customer satisfaction with the products and services offered by the organization.

INITIATIVE: Initiates work independently; does more than is required or expected in the job to improve or enhance products and services; plans ahead for upcoming problems or opportunities and takes appropriate action.

READING: Understands and interprets highly complex written material, including laws, rules, regulations and policies.

WRITING: Uses correct English grammar, punctuation and spelling; communicates information in a succinct and organized manner; produces complex written documents or information that is appropriate for the intended audience.

ORAL COMMUNICATION: Expresses information to individuals and groups effectively, taking into account the audience and nature of the information.

DECISION MAKING: Makes sound, well-informed and objective decisions involving complex issues; perceives the impact and implications of decisions. Makes decisions with little or no supervisory review.

PROBLEM SOLVING: Identifies and analyzes highly complex problems logically and systematically; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations.

REASONING: Identifies rules, principles or relationships that explain facts, data or other information; analyzes highly complex information; makes correct inferences and draws accurate conclusions by applying rules that involve many steps.

INFORMATION MANAGEMENT: Identifies the need for and gathers information from many sources; organizes highly complex or technical information to facilitate analysis and decision making.

INTERPERSONAL SKILLS: Deals effectively with others; establishes and maintains effective working relationships with others; treats others with courtesy and tact.

TECHNICAL COMPETENCE: Possesses advanced and comprehensive understanding and knowledge of pertinent principles, practices, methods and techniques which are identified in the career group concept.

ORGANIZATIONAL AWARENESS: Understands and applies knowledge of the mission, functions, policies and procedures of the organization; understands relationships among units at different levels in the organization.

SUPERVISORY SKILLS: Plans, assigns, directs, and evaluates the work of others; provides counseling and discipline as necessary.

Education and Experience Requirement

Graduation from an accredited four (4) year college or university with a bachelor's degree; and four (4) to six (6) years of professional IT work experience which includes at least one (1) year of professional IT work experience comparable to the

Journey worker Band level in one or more IT specialty areas; or any equivalent combination of training and experience.

Applicants must also possess one or a combination of the following:

Supervisory Aptitude: Supervisory aptitude is the demonstration of aptitude or potential for the performance of supervisory duties through successful completion of regular or special assignments which involve some supervisory responsibilities or aspects of supervision (e.g., by serving as a group or team leader); or in similar work in which opportunities for demonstrating supervisory capabilities exist; or by the completion of training courses in supervision accompanied by application of supervisory skills in work assignments; and/or by favorable appraisals by a supervisor indicating the possession of supervisory potential.

Supervisory Experience: Supervisory work experience which includes: 1) planning, organizing, scheduling, and directing the work of others; 2) assigning and reviewing their work; 3) advising them on difficult work problems; 4) training and developing subordinates; and 5) evaluating their work performance.

Pay Band D –Manager/Foremost Technical Expert Band (Excluded)

Band Concept

Positions must be excluded from collective bargaining as top level managerial personnel before they can be assigned to this band level (Union concurrence or HLRB decision on the exclusion of a position is needed). Included in this band are branch managers, assistant managers/administrators, division administrators, chief staff officers (e.g., those responsible for department-wide programs in personnel and financial management).

This band level also includes the foremost technical expert in a highly specialized or technical field.

ASSIGNMENT OF POSITIONS TO THIS BAND IS A FUNCTION RESERVED BY THE DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT. DEPARTMENTS ARE NOT AUTHORIZED TO TAKE DELEGATED ACTION TO CLASSIFY POSITIONS TO THIS BAND.

EXCLUDED MANAGER/ADMINISTRATOR – EM-05/06/08

- CONCEPT
    - Positions are excluded top level managerial personnel; are located at or near the top of a complex agency or "major" program (i.e., branch or division); and directly manages, assists in managing, or administers a major program through subordinate managers and/or assistant managers/administrators.
    - Positions may operate in a management capacity in a geographically separated location (e.g., Neighbor Island) and be responsible for

representing management in dealing with a significant number of employees.

- Positions may serve as chief staff officer responsible for department-wide programs in personnel and/or financial management.

- COMPLEXITY

  - Directs the work of a major program or agency or a major subdivision thereof with considerable discretion to determine means, methods and personnel by which the agency or program policy is to be carried out. Positions are responsible for the accomplishment of program goals and objectives and are substantively involved in policy making matters with clear evidence of considerable discretion in resource utilization.

- CONTROLS OVER POSITION

  - Works within broad policy statements and/or program objectives. General administrative direction is received from a higher level administrator or Department Director.

- SUPERVISION EXERCISED

  - Directs and manages a major program with broad oversight of a staff of professionals including professional journeyworkers, subject matter experts and/or supervisors. May also include responsibility for a staff of technical and/or clerical support staff.

FOREMOST TECHNICAL EXPERT – EM-06/08

- CONCEPT

  - Statewide recognition as the foremost subject matter expert in a highly technical and/or specialized field. Positions are recognized by persons in public sector and private sector programs, agencies, organizations, and the general public as the definitive leader in the field of expertise. As such, there can be only one such position per specialized field in the entire State.

  - **The assignment of positions to this band level concept is subject to approval by the DHRD Director in consultation with the Governor.**

- COMPLEXITY

  - Positions function as top level contributors essential to the development and direction of unprecedented initiatives having significant State wide impact in the area of expertise; and which typically involves the application and/or adaptation and application of state-of-the-art and/or "cutting edge" ideas, concepts and issues. Positions perform the most advanced work and provide executive level leadership by setting the direction for the State in the development of broad based strategies in the subject matter area of expertise.

- CONTROLS OVER POSITION

  - Works within broad policy statements and/or program objectives, with authority to make decisions or effective recommendations that are program determinant in a subject matter area of expertise.

- SUPERVISION GIVEN
    - Positions may supervise a subordinate staff of professionals including professional journey workers, lead journey workers, expert specialists, supervisors, managers, and/or technical and clerical personnel.

MINIMUM QUALIFICATION REQUIREMENTS

Applicants must possess education and experience of the kind and quality described below, or any equivalent combination of training and experience. The applicant's overall education and experience must demonstrate possession of the relevant competencies required to perform assigned duties and responsibilities.

COMPETENCIES – In addition to the competencies required in the Supervisory Band, applicants must possess the following competencies.

PLANNING & EVALUATING – Organizes work, sets priorities, determines resource requirements; determines short-or long-term goals and strategies to achieve them; coordinates with other organizations or parts of the organization; monitors progress, evaluates outcomes.

FINANCIAL MANAGEMENT – Prepares, justifies and/or administers the budget for program areas; plans, administers and monitors expenditures to ensure cost-effective support of programs and policies; assesses financial condition of an organization.

MANAGING HUMAN RESOURCES – Plans, distributes, coordinates and monitors work assignments; evaluates work performance, provides feedback on performance; ensures staff are appropriately selected, utilized and developed and are treated in a fair and equitable manner.

LEADERSHIP – Influences, motivates and challenges others; adapts leadership style to a variety of situations.

EXTERNAL AWARENESS – Keeps abreast of relevant political, economic, social and technological issues that affect the organization/program; develops and maintains networks with various organizations.

ADMINISTRATION & MANAGEMENT – Directs and executes business functions, resource allocation and production.

EDUCATION REQUIREMENT

Graduation from an accredited four (4) year college or university with a bachelor's degree.

EXPERIENCE REQUIREMENTS

Four (4) to six (6) years of professional IT work experience which includes at least one (1) year of professional IT work experience comparable to the Journeyworker Band level in one or more IT specialty areas; or any equivalent combination of training and experience.

Applicants must also possess one or a combination of the following:

1. Administrative Aptitude: Applicants must possess administrative aptitude. Administrative aptitude will be considered to have been demonstrated when there is strong affirmative evidence of the necessary administrative aptitudes and abilities. Such evidence may be in the form of success in regular or special assignments or projects which involve administrative problems (e.g., in planning, organizing, promoting, and directing a program, including policy and budgetary considerations; and/or providing staff advice and assistance in such matters); interest in administration demonstrated by the performance of work

assignments in a manner which clearly indicates awareness of administrative problems and the ability to solve them; completion of educational or training courses in the area of administration accompanied by the application of the principles which were learned to work assignments; management's observation and evaluation of the applicant's leadership and administrative capabilities; success in trial assignments involving managerial and/or administrative tasks.

2. Managerial Aptitude: Managerial aptitude will be considered to have been demonstrated through successful performance of, or substantial participation in, organizing, scheduling, and coordinating a group of activities in order to attain program objectives within time, resource and budgetary limitations; interest in management demonstrated by the performance of work assignments in a manner which clearly indicates awareness of managerial problems and the ability to solve them; completion of educational or training courses in the area of management accompanied by the application of principles which were learned to work assignments; management's observation and evaluation of the applicant's leadership and managerial capabilities; success in trial assignments involving managerial and/or administrative tasks.

3. Managerial/Administrative Experience: Professional work experience which involves responsibility for identifying program goals and objectives and evaluating their attainment; identifying resource needs (staffing, materials, equipment); planning, organizing and coordinating program activities to attain program objectives within time, resource and budgetary limitations; and actively participating in program planning, policy determination and budget formulation and execution.

For positions that supervise, applicants must have one or a combination of the

following:

1. Supervisory Aptitude: Supervisory aptitude is the demonstration of aptitude or potential for the performance of supervisory duties through successful completion of regular or special assignments which involve some supervisory responsibilities or aspects of supervision (e.g., by serving as a group or team leader); or in similar work in which opportunities for demonstrating supervisory capabilities exist; or by the completion of training courses in supervision accompanied by application of supervisory skills in work assignments; and/or by favorable appraisals by a supervisor indicating the possession of supervisory potential.

2. Supervisory Experience: Supervisory work experience which includes: 1) planning, organizing, scheduling, and directing the work of others; 2) assigning and reviewing their work; 3) advising them on difficult work problems; 4) training and developing subordinates; and 5) evaluating their work performance.

For positions designated as the State's Foremost Technical Expert, applicants must have experience that demonstrates an ability to provide executive leadership and function as a top level contributor; including experience performing the most advanced work in the position's designated area of expertise.

Attachment C

82.721 Band A

DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT 82.722 Band B

STATE OF HAWAII 82.723 Band C

. . . . . 82.724 Band D

Broadbanding Career Group Concept for

INFORMATION TECHNOLOGY

The Information Technology (IT) Career Group includes positions that perform, supervise, and/or manage professional information technology (IT) work involving the analysis, design, development, implementation, modification, maintenance and/or development of standards for computer-based information systems and services, databases, networks, applications, and/or security requirements to meet the business needs of an organization. Positions are engaged in such work for a majority of work time and may specialize in one or more specialty areas or serve as a generalist in multiple capacities for an organization or program; or serve as a program manager at the department or central agency level; or as a division administrator/assistant administrator at the central agency level; or as the State's foremost technical expert.

Performance of work requires the application of appropriate standards, competencies, and practices, in accordance with industry standards and guidelines.

Job Related Competencies Required: Understand and apply knowledge of information technology principles, concepts, standards, policies and procedures; computer hardware, software, languages and procedures; personal computer (PC), server, mini and/or mainframe operating systems; basic mathematics; problem solving methods and techniques; and report writing.

FUNCTIONAL TITLES

Database Analyst Designs database applications to specifications provided by higher-level staff. Tests, corrects, monitors and updates developed applications. Evaluates database performance. Tunes and reorganizes databases as needed. Sets up back-up and recovery procedures for databases. Controls access to data in physical database designs for both privacy and security.

Database Analyst, Senior Senior level position involved in redesigning databases as business needs change. Designs, codes, tests and executes physical databases from logical designs. Evaluates database quality. Tunes and reorganizes databases as needed. Recommends ways the new database management systems can be implemented.

Database Manager Manages the database staff in the planning, design, development and implementation of integrated databases. Formulates policy/procedures affecting database management and projects long-range requirements for database administration in conjunction with other information systems areas. Provides support and information to efficiently execute database administration and processing and ensure database files will support growth and access demands.

ICSD Administrator Administers the activities of the Information and Communications Services Division; plans and directs the statewide information processing and telecommunications services and programs, and establishes and operates an overall program for improving government efficiency and effectiveness through telecommunications and information processing technologies.

ICSD Assistant Administrator Assists the division administrator in planning and directing the operations of the Information and Communication Services Division including the development and implementation of policies, budget justification and execution plans, and the resolution of daily operational problems. Directs and manages through subordinate branch managers.

Network Administrator Responsible for the technical design, configuration, and implementation of local and wide area network solutions between multiple platforms including ongoing technical support to remote area networks, Internet and EDI communications. Has thorough knowledge of multiprotocol systems and extensive implementation experience with multi-vendor network systems. Is responsible for troubleshooting network usage, workstations and computer peripherals. Will develop and implement policies and standards and ensures adherence to security procedures.

Network Analyst Leads network projects by recommending solutions to network strategy and security issues. Develops detailed network specifications. Performs

network analysis and capacity planning. Develops and recommends approaches to network growth and enhancements. Develops processes and procedures for network operations. Provides network performance monitoring and analysis. Supports installation and maintenance of server hardware and software. Assists in maintenance of all data center equipment.

Network Manager Oversees the activities of the computer network. Responsible for all PC/LAN operations, including analysis, programming and procurement. Assigns personnel to various projects and directs activities. Participates in design and implementation of new or modified networks. Develops and implements policy, standards and procedures. Develops long range plans and goals. Competent with network operating systems, applications and development tools including network management applications, database applications, compilers and commercial software.

Programmer Under general supervision, studies specific administrative, scientific, or engineering functions to determine, define, and formulate the applicability of new or modified application programs. Identifies all aspects of the assigned problem and evaluates user requirements in terms of the capabilities of the available hardware and software. Develops proper documentation that outlines the logical steps to be followed in solving the problem and prepares systems specifications, including input and output formats.

Programmer, Senior Under general direction, plans and performs the analysis of major activities and guides the subsequent design and implementation of systems for the application of electronic data processing or for the improvement of existing data processing applications. Job is primarily concerned with broad aspects of data processing systems with the objective of utilizing available hardware, software and personnel resources in the most efficient manner. Develops new and more effective interactions between systems while reducing redundancies in storage and processing. May supervise employees engaged in developing, maintaining, and modifying applications programs. **Security Analyst**

Confers with user community to understand security needs. Plans, develops, writes, implements and reviews security standards, procedures, and guidelines to safeguard systems and databases against accidental or unauthorized modification, destruction or disclosure. Assists in testing security products and control techniques. Assists in communicating security procedures to users. May identify regulatory changes that will affect data/information security and recommends appropriate changes.

System Analyst Under general supervision, identifies, analyzes and researches solutions for simple to complex inter/intra departmental problems; works with users to provide ongoing system support. Assists in the analysis and selection of hardware and software; leads system integration testing, interface development, conversion activities

and other system implementation tasks as assigned; may prepare and present reports and presentations for system projects. Develops proper documentation of processes.

System Analyst, Senior Identifies complex inter/intra departmental problems, evaluates existing systems and technologies, cost and time constraints and recommends most effective solution for systems design. Leads system integration testing, interface development, conversion activities, interaction between systems and other system implementation tasks. Works with users under general supervision and is able to handle all complex technical aspects of system analysis. May oversee activities of lower level employees in the department or supervise resources on special projects.

System Analysis Manager Manages employees engaged in the analysis of company activities and oversees subsequent design and implementation of systems involving data processing applications to perform these functions. Oversees the analysis of system solutions in support of the company's operations. Studies the proposals concerning the acquisition and use of computers and also makes recommendations on the action to be taken; assigns personnel to the various projects and directs their training in analysis and methods procedures; confers with company personnel to coordinate their activities with own activities; prepares reports for designated individuals concerning the activities and progress of section; usually is found in a medium or large size installation.

System Programmer Under general supervision, maintains and modifies operating systems. Typically works on utility programs, macros, and other general purpose operating programs. Responsibilities include program design, coding, testing, debugging and documentation. May work with new operating programs of moderate complexity and scope, and provides continuing technical support to applications programmers.

System Programmer, Senior Uses a thorough knowledge of current software and hardware capabilities to develop or modify operating systems programs of a high degree of complexity and scope; usually responsible for formulating specifications for applications dealing with the entire operating system. Responsibilities include program design, coding, testing, debugging and documentation. May oversee work of lower level Systems Programmers; carry out feasibility studies and evaluate and recommend new hardware or software systems.

Telecommunications Analyst Evaluates user requests for new or modified voice and/or data systems, software and hardware. Develops specifications and technical implementation plans. Recommends alternative solutions to reduce costs or improve service. Plans and coordinates installation dates with users, development and engineering staff and vendors. Follows- up to ensure that service level agreements have been achieved and resolves any outstanding issues. Participates in evaluation of vendor proposals and in developing and documenting operational standards.

Telecommunications Manager Sets direction and oversees all telecommunications activity in an organization, including the strategic planning and design of voice, data, video and image telecommunications. Interfaces with IT staff to coordinate telecommunications software, hardware and system capabilities. Formulates broad plans and recommends long and short range changes. Usually reports to Vice President or senior level executives.

Webmaster Responsible for maintaining and modifying the organization's Internet/Intranet efforts including content, graphical and multimedia displays, and communications. Supervises development efforts including content, design and production. Responsible for website maintenance, updating existing information and creating new content. Maps the flow of the website, creates general graphics, provides specifications to the Web Author, Web Developer, and outside vendors for the development of databases, interactive applets, and custom graphics. Acts as a liaison between the site and users. Has considerable knowledge of multiple operating systems (e.g., UNIX, Sun SOLARIS, Mac).

Attachment D

BROADBANDING BAND A
EXAMPLE DUTIES/RESPONSIBILITIES

Entry/Trainee Level:

1. Writes program instructions from diagrams developed by others.

2. Devises program logic, diagrams and instructions for programs and program segments of limited scope and difficulty.

3. Under close supervision, prepares and/or modifies simple application program test data and documentation.

4. Modifies existing routines to accommodate limited subject matter or specification changes.

5. Participates in equipment installation activities to learn specialized area(s) of work; e.g., computer operations, coding, diagramming, programming, etc.

6. Under close supervision, assists with identifying and resolving user problems involving applications installed on various platforms; and verifying system changes.

7. Under close supervision, assists with analysis of telecommunication services and user needs; and analysis of telecommunication system malfunctions.

8. Under close supervision, assists with unit, system and/or usability testing to evaluate hardware and software products to determine success in meeting user needs and/or standards.

9. Under close supervision, assists with monitoring and tracking of actual IT security risks, threats, and/or violations.

10. Performs routine debugging according to established methods and procedures to resolve problems with low impact on others.

11. Assists higher level specialists with establishing and maintaining data dictionaries and standard glossaries of terms.

12. Reviews system logs to identify events and errors; runs basic tests on hardware/software; resolves simple problems.

13. Under close supervision, assists with creating, editing, and/or maintaining web pages.

14. Under close supervision, assists with Internet server monitoring and maintenance.

15. Installs and updates basic PC configurations; and troubleshoots hardware/networking problems of simple to moderate complexity.

16. Assists with database definition of data files and table spaces.

Independent Worker Level:

1. Conducts studies of work processes, procedures, and operations of limited complexity and difficulty as they relate to the conversion of data to a computer-based information system; analyzes and identifies problems and needs.

2. Performs various fact-finding tasks of limited complexity and difficulty and develops preliminary evaluations and recommendations; develops plans, procedures, test data and documentation for implementing a computerized system of limited complexity and difficulty.

3. Analyzes, evaluates, and makes recommendations to a higher level specialist on methods and procedures related to assigned projects.

4. Performs application maintenance and minor modifications for a program.

5. Participates with higher level specialists in designing report formats; determining data elements, data dictionary, and database design; or developing and maintaining a system.

6. Prepares system documentation, operational and user procedural manuals.

7. Assists with program coding and development to ensure consistency with program design specifications.

8. Creates and modifies programs for a client/server system according to established specifications.

9. Converts generalized process or flow charts of limited complexity and difficulty into detailed plans, diagrams or charts depicting the operational sequences required for a variety of specific work processes.

10. Assists with gathering users' service and equipment needs for client applications, hardware and software product, network infrastructure and/or telecommunications activity.

11. Researches hardware/software information, and drafts specifications.

12. Coordinates equipment installations, modifications and/or changes.

13. Maintains backup, batch queuing, directory maintenance, capacity and resource management, and printing systems.

14. Performs standard maintenance, preventive maintenance, modification, testing, debugging, disaster preparedness, and testing and recovery processing according to appropriate standards.

15. Assists users in resolving simple connectivity problems, problems logging onto a system, and/or using security software.

16. Identifies, monitors, tracks and reports potential and/or actual IT security risks, threats, and/or violations.

17. Prepares standard documentation for the maintenance and processing of application programs and subsystems.

18. Develops test data and test plans for application programs and subsystems, including the backup of test data for regression testing.

19. Assists in setting up a live web cast, configuring a web server, and/or programming Internet applications.

20. Monitors and ensures user requirements and vendor operational requirements.

21. Utilizes system and database utilities to develop and maintain database test data for regression testing of changes to an application.

22. Develops and maintains standard reports.

BROABANDING BAND B
EXAMPLE DUTIES/RESPONSIBILITIES

Journeyworker:

1. Formulates plans to conduct studies relating to various work processes and procedures.

2. Conducts or leads systems analysis studies; analyzes, identifies and evaluates needs; and designs, programs, implements and troubleshoots applications for complex systems.

3. Participates in identifying hardware/software-related problems, determines appropriate solutions, and develops complete specifications for resolution and implementation.

4. Analyzes and modifies existing computer programs to increase system capabilities, corrects errors, increases system efficiencies, enhances system performance and/or satisfies the changes in the federal and State reporting requirements.

5. Prepares job control language parameters and utility control statements to execute utility programs to monitor the status of files.

6. Integrates acquisition needs with business plans for users.

7. Implements security policies and standards.

8. Serves as organization's network, configuration, systems management, and programming resource.

9. Develops and maintains security model and procedures for information system and network.

10. Recommends hardware and software purchases; and develops specifications for hardware and software.

11. Researches new information technologies and identifies potential benefits and impact to program.

12. Configures, installs, troubleshoots and maintains program hardware/software for networks.

13. Participates in establishing and maintaining network directory structure.

14. Participates in the measurement, analysis, and performance tuning of networks to ensure security, connectivity, standard adherence, and proper operations.

15. Coordinates work with hardware/software vendors and other State agencies to plan, install and maintain program's computer equipment and networks.

16. Designs, writes, tests, corrects, documents and prepares operational computer programs from general system flow charts for project requirements.

17. Analyzes and evaluates computer programming problems, determines causes, and recommends and implements corrections.

18. Provides assistance to lower level programmers in designing, coding, and testing of programs.

19. Modifies existing programs or program modules to correct or enhance programs.

20. Prepares comprehensive test files for use in debugging programs and systems to validate that program modifications and enhancements work correctly.

21. Prepares detailed production application program and system operating documentation to be used for regularly scheduled processing.

22. Prepares backup/restore production processing documentation and disaster

preparedness, testing and recovery processing documentation.

23. Designs, modifies, tests, and/or implements complex enhancements to web pages; e.g., develops forms and database tables to collect information for internal and consumer use.

24. Codes programs from translation of program specification to computerized procedure.

25. Performs LAN system administration in accordance with policies, procedures, and standards; and provides planning, guidance, assistance consulting and other technical support services to State agencies in the development, implementation, interconnectivity and interoperability among and between LAN and other computing platforms.

26. Maintains and configures database systems to update data in multiple related databases; and troubleshoots and resolves database system conflicts which prevent data transmittal.

27. Maintains and configures Internet servers and/or domain name services tables.

28. Develops Internet applications within design specifications; troubleshoots and resolves problems such as broken links, incorrect formats, and lost pages.

29. Performs system administration and maintenance for the web hosting servers, web developing servers, and backup, purges and file compressions.

30. Conducts live web casts and other multimedia projects.

31. Writes database procedures to document process to archive and retrieve archived data.

LEAD WORKER

1. Plans and carries out various fact-finding tasks to define pertinent information for

IT system needs.

2. Conducts studies related to work flow, work measurement, time distribution, organizational relationships, etc.

3. Prepares comprehensive reports of findings and recommendations.

4. Plans, organizes, directs and coordinates activities to ensure acceptability, reliability and security of departmental LAN/WAN systems; identifies constraints and alternative solutions; and performs cost benefit analyses on different alternatives.

5. Supervises and participates in system development processes, including hardware/software installation, program coding and testing, data conversion and implementation.

6. Advises in the development of training programs on the proper and effective use of the State's multi-processor computer hardware, application development software, utility software, and other general use software.

7. Serves as project leader and provides high level technical assistance and guidance to system developers in integrating and/or utilizing a wide range of hardware and software (e.g., use of application tools, integration of applications on different platforms, utilization of system utilities and methods and techniques for the development of application systems).

8. Serves as technical resource to State agencies in their planning, designing, modifying, purchasing, leasing, installing, maintaining, securing and troubleshooting of specialized areas such as voice and telephone communication networks, information access and security management, website administration, etc.

9. Advises State agencies in the evaluation of connectivity alternatives and provides assistance with the use of network resources, and diagnosis and resolution of

voice and telephone communication problems.

10. Plans and coordinates hardware and software upgrades and changes including circuits, line types, line speeds, line monitors and scopes, server installation, peripheral hardware and network management software products.

11. Provides expertise and security consultant services to State user agencies on the development of application systems, conformance with and implementation of IT security standards and guidelines, installing information security hardware, software and other devices.

12. Assists higher level specialists in planning, installing, implementing and maintaining the multiple information security systems in the State's multi-vendor computer environment.

13. Detects security violations and determines level of compromise.

14. Serves as a database specialist in providing analytical and technical support for the database, data dictionary and database software; and advises project managers, analysts and programmers in structuring databases, on use of data dictionary, and/or database software.

15. Designs database files and/or table space.

16. Reviews and analyzes requests for database resources and services from user agencies and recommends appropriate response.

17. Represents the department on statewide IT-related projects as chief departmental IT Specialist.

18. Designs, develops, configures, integrates, tests, and implements Internet servers and applications.

19. Reviews requests from State departments and agencies for Internet services and makes recommendations on web development, multimedia production and Domain Name System (DNS) name-space allocation.

20. Provides expertise, planning, and development in Internet services to ensure reliability, accessibility and security; and advises and assists in evaluating alternative Internet services.

21. Plans, designs, and directs procurement processes for complex system and equipment purchases; e.g., operating system, application program, specialized hardware.

22. Serves as subject matter expert to State departments and agencies in communications and networking, applications development, system development, Internet services or information security.

23. Analyzes and assesses industry direction and analyzes new capabilities applicable to the organization.

24. Develops new application systems utilizing merging technologies.

25. Evaluates new products and makes recommendations for implementation.

BROADBANDING BAND C
EXAMPLE DUTIES/RESPONSIBILITIES

1. Plans, assigns, organizes, directs and coordinates all activities of a major IT project.

2. Plans, schedules and evaluates activities and projects; and provides technical expertise to project teams and program managers.

3. Supervises the design, development and analyses of information systems and provides alternative solutions for successful implementation.

4. Supervises the development and implementation of project plans and new applications to apply and integrate technologies, devices, techniques and methodologies to expand and enhance programs.

5. Supervises the development and implementation of policies and procedures for disaster preparedness, testing, recovery, security, and data management to ensure effectiveness, efficiency and protection of system hardware, software, data, and information resources.

6. Supervises the development and implementation of information database management policies and procedures to ensure effective and efficient access to databases.

7. Supervises the design of complex systems for the organization; coordinates and implements complex installation projects for major systems for organization-wide functions.

8. Participates in management and administration of programs and assists with establishing and maintaining policies, procedures and standards.

9. Ensures compliance with various pertinent rules, regulations, policies, procedures and guidelines.

10. Prepares budget projections, expenditures, and justifications to obtain necessary resources.

11. Plans and recommends technical training programs and subject matter in appropriate areas of information processing.

12. Directs technical resources and provides technical expertise in support of the management and maintenance of the State communications network databases, Internet services, etc.

13. Oversees daily management of all phases of a major project including preparation of budget requirements, evaluating workload activity to evaluate and modify work plans, determining conditions of operations, and expediting work flow to achieve efficient and economical utilization of resources.

14. Supervises, trains, advises, and evaluates performance of subordinate specialists, team/unit leaders and subordinate supervisors.

BROADBANDING BAND D

EXAMPLE DUTIES/RESPONSIBILITIES

1. Plans, organizes, directs, and coordinates the development and implementation of IT system(s) for an agency or agencies.

2. Plans, organizes, coordinates and directs the necessary activities to ensure acceptability, reliability and security of system(s).

3. Plans and organizes the workforce and hardware/software resources required for the development, implementation and maintenance of IT system(s).

4. Supervises and directs teams of IT Specialists in developing conceptual systems.

5. Establishes state-wide guidelines for information processing and telecommunication activities.

6. Develops and manages long-range program plans and strategies.

7. Administers and manages large-scale projects for development or major modification of IT systems for all phases of the systems development life cycle.

8. Maintains management control over all phases of IT project(s) and takes appropriate steps to complete project(s) in a timely manner and within budget.

9. Provides advisory services to agency programs regarding matters related to IT.

10. Advises agency program administrators and staff on effective IT solutions and provides assistance in planning for their IT requirements and needs.

11. Provides advice, monitors and oversees project activities.

12. Directs detailed studies of existing systems and procedures.

13. Organizes and prioritizes program projects and/or services.

14. Reviews and prioritizes new and on-going major projects.

15. Directs the planning, design, implementation, evaluation and maintenance of new or modified systems.

16. Develops or participates in the development and implementation of program policies and procedures.

17. Prepares and administers program budget and expenditure plan.

18. Plans and conducts training of subordinates and evaluates work performance.

Attachment E

Salary Matrix Guidelines and Form

I – Education

Assign points based on the applicant/employee's highest level of education or certification based on the minimum or desirable qualifications relevant to the position.

Education Level	Points
High School Diploma or equivalent	0
Relevant formally recognized industry based certification(s)	1
Associate's degree in related field	2
Bachelor's degree in related field	3
Master's or Doctorate degree in related field	4

II – Quantity of Experience

Assign points based on the applicant/employee's years of experience based on the minimum or desirable qualifications relevant/related to the position.

Experience	Points
Less than 1 year	0
1 to less than 2 years	1
2 to less than 4 years	2
4 to less than 5 years	3
5 to less than 6 years	4
6 to less than 8 years	5
8 to less than 10 years	6
10 years or more	7

III – Quality of Experience

Assign points based on the quantity of experience calculated in section II that is directly related to the role and assignments of the subject position that the applicant/employee is being assigned to.

Band	Work Performed (Nature of Work, Recommendations, Decisions and Contacts)	Points
Band A - Entry (Entry/ Independent Worker)	**Simple** - Assignments are clear-cut and routine. Scope of work, recommendations and decisions are of limited scope. Contacts are usually limited to the immediate supervisor or other employees in the work unit. No experience	0
	Moderate/Limited complexity - Assignments routinely encompass problems of average difficulty and complexity requiring the application of knowledge, skills, and sound judgment in the use of relevant principles, techniques, standards, and guidelines. Recommendations and decisions are based on departmental policies, procedures, related precedents, prescribed work methods, and operational guidelines that are applicable to the assignment. In-depth analysis and interpretation is not required. Contacts are within and outside the work unit to obtain or provide routine, factual information.	3

Band	Work Performed (Nature of Work, Recommendations, Decisions and Contacts)	Points
Band B - Journey (Journey/Senior/ Expert/ Working Supervisor)	**Moderate/Limited complexity –** Same as Band A.	0
	Full range of complexity, from simple to complex - Assignments involve a wide range of problems, procedures, and work processes and vary in complexity from *simple to complex*. More difficult assignments require interpretations and adaptations of existing precedents, policies, procedures, and decisions in order to achieve desired results. Contacts vary from *routine to* providing and obtaining information on matters or problems of a non-recurring nature; explaining or interpreting facts pertaining to policies, methods, programs, plans, or individual actions. Normal courtesy and tact is required.	3
	Usually complex - Assignments and/or projects are *usually complex* and require substantial knowledge and skill in existing, new, or emerging methods, techniques, and/or practices. Controlling precedents, policies, procedures, and decisions may not be immediately apparent and are not self-applying to the work assignment. Provides and obtains information on matters or problems of a non-recurring nature; explains or interprets facts pertaining to policies, methods, programs, plans, or individual actions. Requires tact and discretion to obtain cooperation.	6
	Highly complex - Assignments are primarily of a *highly complex* nature that require comprehensive and in-depth knowledge and skill of an expert in the affected field. Assignments include taking the lead in the initiation, development, and implementation of a complex new project or major revision/overhaul. Assignments have wide impact to the organization. The coordination of numerous and various stakeholders and users with differing needs and requirements adds to the complexity of the assignments. In some cases, the assignment requires the creation of original or unconventional perspectives and the development of solutions that do not have precedence. Recommendations are heavily relied upon in making final decisions. For this reason, the individual is expected to be an expert in their knowledge and judgment to warrant only a cursory review of their decisions. Requires considerable tact, discretion and persuasion to obtain results; presents new methods or programs. The audience could be from a variety of entities (e.g., State, Federal, County, private) and job classes (e.g., upper management, line personnel). May be a working supervisor of professional staff in the same bargaining unit.	9

Band	Work Performed (Nature of Work, Recommendations, Decisions and Contacts)	Points
Band C - Supervisor	No supervisory experience.	0
	Day-to-day operational - Plans and schedules ongoing production-oriented work; improves work methods and procedures used to produce work products; decides methodologies to use in achieving work goals and objectives.	3
	Operational/Tactical - In addition to operational responsibilities, sets annual work plans and project schedules based on direction from upper management; participates in establishing multi-year and long range plans for the organization.	6
	Operational/Tactical/Strategic - In addition to operational and tactical responsibilities, establishes multiyear and long range plans and determines goals and objectives for the work unit in consultation with the manager.	9
Band D - Manager	No supervisory experience	0
	Supervisory experience - Experience which includes: 1) planning, organizing, scheduling, and directing the work of others; 2) assigning and reviewing their work; 3) advising them on difficult work problems; 4) training and developing subordinates; and 5) evaluating their work performance.	3
	Managerial experience - Experience which involves responsibility for identifying program goals and objectives and evaluating their attainment; identifying resource needs (staffing, materials, equipment); planning, organizing and coordinating program activities to attain program objectives within time, resource and budgetary limitations; and actively participating in program planning, policy determination and budget formulation and execution.	6
	Administrative experience – Experience which involves managing two or more complex programs with subordinate managers; formulates overall objectives, strategies, programs, and resource requirements; develops and maintains operating and administrative control procedures within the broad framework of legal and agency/department standards and requirements.	9

Salary Matrix Examples

Example 1:

An applicant has a bachelor's degree, 6 years of experience as a network analyst implementing usually complex networking initiatives and is applying for a position in Band B – Journey.

A. If the position he/she is interviewing is for a ***network*** *analyst* position:
This applicant would be assigned 3 points for the bachelor's degree + 5 points for 5 yrs experience + 6 points for the work performed = 14 points = Step G.
Hiring Range = Step C to Step G

B. ... for a ***security*** *analyst* position:
This applicant would be assigned 3 points for the bachelor's degree + 5 points for 5 yrs experience + 0 points for the work performed = 7 points = Step E.
Hiring Range = Step C to Step E

Example 2:

An applicant has a HS diploma with some IT certifications, 6 years of experience as a systems analyst doing the full range of complexity and as a database analyst doing highly complex work for a total of 10 years, has been a full supervisor for the last 1 ½ yrs performing operations/tactical supervisory duties.

A. If the position he/she is interviewing is for a ***systems*** *analyst* position in Band B - Journey:
This applicant would be assigned 1 point for the certifications + 7 points for 10 yrs experience + 3 points for the work performed = 11 points = Step F.
Hiring Range = Step C to Step F

B. ... for a ***database*** *analyst* position in Band B - Journey:
This applicant would be assigned 1 point for the certifications + 7 points for 10 yrs experience + 9 points for the work performed = 17 points = Step H.
Hiring Range = Step C to Step H

C. ... for a ***security*** *analyst* position in Band B - Journey:
This applicant would be assigned 1 point for the certifications + 7 points for 10 yrs experience + 0 points for the work performed = 8 points = Step E.
Hiring Range = Step C to Step E

D. ... for a *database* ***supervisor*** position in Band C - Supervisor:
This applicant would be assigned 1 point for the certifications + 7 points for 10 yrs experience + 6 points for the work performed = 14 points = Step G.
Hiring Range = Step C to Step G

E. ... for a *database* ***manager*** (EM05) position in Band D - Manager:

This applicant would be assigned 1 point for the certifications + 7 points for 10 yrs experience + 3 points for the work performed = 11 points (see Band D points chart) = $7134

Hiring Range = $6468 to $7134

Broadband Pay Ranges and Salary Matrix Points
DRAFT - November 2015

Band A: Entry/Independent Worker Band

ITS II	C	D	E	F	G	H	I	J	K	L	M
SR 18	3379	3514	3651	3798	3950	4109	4275	4447	4624	4810	5001
ITS III	C	D	E	F	G	H	I	J	K	L	M
SR 20	3651	3798	3950	4109	4275	4447	4624	4810	5001	5202	5410

*May use exception beyond the salary matrix form.

Band A	
Points	Up to
1-3	C Step
4-5	D Step
6-7	E Step
8-9	F Step
10-11	G Step
12-14	H Step
*	I - M Steps

Band B: Journey Worker Band

ITS IV	C	D	E	F	G	H	I	J	K	L	M
SR 22	3950	4109	4275	4447	4624	4810	5001	5202	5410	5626	5849
ITS V	C	D	E	F	G	H	I	J	K	L	M
SR 24	4447	4624	4810	5001	5202	5410	5626	5849	6086	6330	6583

Band C: Supervisor Band**

ITS V	*C*	*D*	*E*	*F*	*G*	*H*	*I*	*J*	*K*	*L*	*M*
SR 24	*4447*	*4624*	*4810*	*5001*	*5202*	*5410*	*5626*	*5849*	*6086*	*6330*	*6583*
ITS VI	C	D	E	F	G	H	I	J	K	L	M
SR 26	4810	5001	5202	5410	5626	5849	6086	6330	6583	6845	7118
ITS VII	C	D	E	F	G	H	I	J	K	L	M
SR 28	5410	5626	5849	6086	6330	6583	6845	7118	7404	7700	8008

*May use exception beyond the salary matrix form.

*** For Broadbanding: SR 24 positions currently supervising SR-22 subordinates will be assigned to Band C-Supervisor Band, along with positions currently supervising SR-24 subordinates and that are assigned to SR-26*

Band B & C	
Points	Up to
1-4	C Step
5-7	D Step
8-10	E Step
11-13	F Step
14-16	G Step
17-20	H Step
*	I - M Steps

Band D: Manager Band

EM05	6468	See EMCP points chart for new hires, rehires, and as applicable, promotions and transfers.	8969
EM06	6790	See EMCP points chart for new hires, rehires, and as applicable, promotions and transfers.	9421
EM08	7485	See EMCP points chart for new hires, rehires, and as applicable, promotions and transfers.	10383

Band D: Manager Band

Use for: New hires and Rehires

As applicable, may be used for: promotions and transfers

DRAFT - November 2015

Points	EM05	EM06	EM08
1-4	6468	6790	7485
5-7	6683	7016	7734
8-10	6905	7250	7991
11-13	7134	7491	8257
14-16	7371	7740	8532
17-20	7616	7998	8816
*	May use exception beyond the salary matrix form.		
	8969	9421	10383

INFORMATION TECHNOLOGY BROADBANDING PILOT PROJECT
Salary Matrix Form

Complete yellow highlighted areas that are applicable. *For estimating purposes only, Not final and binding.*

Employee Name: _____
Dept/Div/Br: _____
Title and Jobcode: _____ **Band (A, B, C, or D):** _____
Position Number: _____ **Salary Range (SR or EM):** _____
Effective date: _____

☐ New Hire ☐ Rehire ☐ Promotion ☐ Transfer

For Promotions & Transfers ONLY: Current Band/SR: _____ Current Step: _____ Current Monthly: _____

SALARY MATRIX - To compute points electronically, complete pages 2 & 3.

	Points		
I. Education	0	**Band:**	0
II. Experience	0	**SR or EM:**	0
III. Work Performed	0	**Step:**	0
Total Points I to III:	0	**Salary Matrix** (based on points):	$

*****Request for Exception Beyond Salary Matrix*** *(Must fill out page 4)***

IV Exception Beyond Salary Matrix **# of addt'l Step(s):** 0 **Monthly Exception:** $ -
Final Step: 0 **Total Salary** (Salary Matrix + Exception): $ -

Final Salary Recommendation: $ _____
(Must correspond to a step (for Bands A, B, C) and shall not exceed the maximum of the Band.)

*Does the final salary recommendation exceed the salary of existing employee(s) in comparable position(s) in the relevant work unit(s) with similar or greater education, experience, knowledge, skills, abilities, and competencies?

☐ Yes ☐ No

*Is the final salary recommendation less than the salary that has been determined by the salary matrix?

☐ Yes ☐ No

If you checked "yes" to one or both questions, please describe the reason(s) below, as applicable.

Certification: I certify that the recommended salary is based on relevant information provided by the applicant/employee and that the program can accommodate the additional funding associated with this request within its existing budget. Further, that the additional funding required can be covered in future budgets without an increase in the level of funding.

Name of Supervisor/Manager _____ Signature _____ Date _____

Name of Division Administrator _____ Signature _____ Date _____

The above recommendation has been reviewed by the departmental personnel office:

☐ Recommend Approval
☐ Recommend Approval with Changes Step: _____ Monthly Rate: _____
☐ Approval Not Recommended

Comments:

Name of DPO _____ Signature _____ Date _____

☐ Approved
☐ Approved with Changes Step: _____ Monthly Rate: _____
☐ Not Approved

Comments:

Name of Director _____ Signature _____ Date _____

Once approved by the appointing authority, please email a signed PDF version to the Compensation Branch of the Department of Human Resources Development and HGEA.

IV - Request for Exception Beyond the Salary Matrix - *For Use in Exceptional Cases Only*

To be completed by the supervisor, in appropriately justified ***exceptional*** situations where it is determined that the salary matrix amount does not adequately compensate the applicant/employee's credentials as evidenced by appropriate documentation that demonstrate credentials that are above and beyond what has been factored in or already accounted for. ***All exception critieria must be directly related to the subject position***.

Criteria	Guidelines for Exception Beyond Salary Matrix Amount		
	1 Step	2 Steps	3 Steps or More
Education, Training, Certification and/or License	Official transcripts, current license, certifications, etc. that exceed the salary matrix and are related to the job.	Official transcripts, current license, certifications, etc. that significantly exceed the salary matrix and are related to the job.	Official transcripts, current license, certifications, etc. that far exceed the salary matrix and are related to the job. Nature of such education, training, certification, or licensure is deemed to be essential to the department/State and is of paramount priority.
Relevant Experience, Training, and Knowledge, Skills and/or Abilities	Job related experience, knowledge, skills, abilities and/or competencies that exceed the salary matrix and are related to the job. Significant and direct contributions in the attainment of program goals, objectives and positive outcomes and in the creative solutions to difficult problems. An indicator that the individual will far exceed performance expectations and be highly successful in the job.	Job related experience, knowledge, skills, abilities and/or competencies that significantly exceed the salary matrix and are related to the job. Significant and direct contributions in the attainment of program goals, objectives and positive outcomes and in the creative solutions to difficult problems. An indicator that the individual will dramatically exceed performance expectations and make significant contributions to the attainment of broad program goals in the department.	Job related experience, knowledge, skills, abilities and/or competencies that far exceed the salary matrix and that possession of the depth, breadth and quality of work experience is essential to the department/State and is of paramount priority.

Justification (REQUIRED) - Based on the above guidelines and considering factors such as comparable positions in the relevant work area, comparable positions and value of job in the industry, recruitment difficulty, appropriate market data, degree of specialization, needs of the program, department, and/or the State in relation to the subject position, describe:

any additional subsequent relevant **education, training, and certification(s)** beyond the salary matrix amount.

the quality of demonstrated **relevant experience, knowledge, skills, abilities and/or competencies,** and how they exceed the salary matrix. Describe the link between the relevant experience, knowledge, skills, abilities and/or competencies, and the subject position's duties relative to increased productivity or benefits to the department and/or the State.

Additional Compensation Beyond the Salary Matrix Amount	Monthly Exception
Number of additional Steps (1, 2, 3, etc...)	
This is the recommended additional monthly amount beyond the salary matrix amount. (This recommended additional amount, when added to the salary matrix amount, must correspond with a "step" in the respective pay band.)	

Attachment F

Example Functional Titles

ICSD Administrator

Administers the activities of the Information and Communications Services Division; plans and directs the statewide information processing and telecommunications services and programs, and establishes and operates an overall program for improving government efficiency and effectiveness through telecommunications and information processing technologies.

ICSD Assistant Administrator

Assists the division administrator in planning and directing the operations of the Information and Communication Services Division including the development and implementation of policies, budget justification and execution plans, and the resolution of daily operational problems. Directs and manages through subordinate branch managers.

Database Analyst

Designs database applications to specifications provided by higher-level staff. Tests, corrects, monitors and updates developed applications. Evaluates database performance. Tunes and reorganizes databases as needed. Sets up back-up and recovery procedures for databases. Controls access to data in physical database designs for both privacy and security.

Database Analyst, Senior

Senior level position involved in redesigning databases as business needs change. Designs, codes, tests and executes physical databases from logical designs. Evaluates database quality. Tunes and reorganizes databases as needed. Recommends ways the new database management systems can be implemented.

Database Manager

Manages the database staff in the planning, design, development and implementation of integrated databases. Formulates policy/procedures affecting database management and projects long-range requirements for database administration in conjunction with other information systems areas. Provides support and information to efficiently execute

database administration and processing and ensure database files will support growth and access demands.

Network Analyst

Leads network projects by recommending solutions to network strategy and security issues. Develops detailed network specifications. Performs network analysis and capacity planning. Develops and recommends approaches to network growth and enhancements. Develops processes and procedures for network operations. Provides network performance monitoring and analysis. Supports installation and maintenance of server hardware and software. Assists in maintenance of all data center equipment.

Network Administrator

Responsible for the technical design, configuration, and implementation of local and wide area network solutions between multiple platforms including ongoing technical support to remote area networks, Internet and EDI communications. Has thorough knowledge of multiprotocol systems and extensive implementation experience with multi-vendor network systems. Is responsible for troubleshooting network usage, workstations and computer peripherals. Will develop and implement policies and standards and ensures adherence to security procedures.

Network Manager

Oversees the activities of the computer network. Responsible for all PC/LAN operations, including analysis, programming and procurement. Assigns personnel to various projects and directs activities. Participates in design and implementation of new or modified networks. Develops and implements policy, standards and procedures. Develops long range plans and goals. Competent with network operating systems, applications and development tools including network management applications, database applications, compilers and commercial software.

Programmer

Under general supervision, studies specific administrative, scientific, or engineering functions to determine, define, and formulate the applicability of new or modified application programs. Identifies all aspects of the assigned problem and evaluates user requirements in terms of the capabilities of the available hardware and software. Develops proper documentation that outlines the logical steps to be followed in solving the problem and prepares systems specifications, including input and output formats.

Programmer, Senior

Under general direction, plans and performs the analysis of major activities and guides the subsequent design and implementation of systems for the application of electronic data processing or for the improvement of existing data processing applications. Job is primarily concerned with broad aspects of data processing systems with the objective of

utilizing available hardware, software and personnel resources in the most efficient manner. Develops new and more effective interactions between systems while reducing redundancies in storage and processing. May supervise employees engaged in developing, maintaining, and modifying applications programs. **Security Analyst**

Confers with user community to understand security needs. Plans, develops, writes, implements and reviews security standards, procedures, and guidelines to safeguard systems and databases against accidental or unauthorized modification, destruction or disclosure. Assists in testing security products and control techniques. Assists in communicating security procedures to users. May identify regulatory changes that will affect data/information security and recommends appropriate changes.

System Analyst

Under general supervision, identifies, analyzes and researches solutions for simple to complex inter/intra departmental problems; works with users to provide ongoing system support. Assists in the analysis and selection of hardware and software; leads system integration testing, interface development, conversion activities and other system implementation tasks as assigned; may prepare and present reports and presentations for system projects. Develops proper documentation of processes.

System Analyst, Senior

Identifies complex inter/intra departmental problems, evaluates existing systems and technologies, cost and time constraints and recommends most effective solution for systems design. Leads system integration testing, interface development, conversion activities, interaction between systems and other system implementation tasks. Works with users under general supervision and is able to handle all complex technical aspects of system analysis. May oversee activities of lower level employees in the department or supervise resources on special projects.

System Analysis Manager

Manages employees engaged in the analysis of company activities and oversees subsequent design and implementation of systems involving data processing applications to perform these functions. Oversees the analysis of system solutions in support of the company's operations. Studies the proposals concerning the acquisition and use of computers and also makes recommendations on the action to be taken; assigns personnel to the various projects and directs their training in analysis and methods procedures; confers with company personnel to coordinate their activities with own activities; prepares reports for designated individuals concerning the activities and progress of section; usually is found in a medium or large size installation.

System Programmer

Under general supervision, maintains and modifies operating systems. Typically works on utility programs, macros, and other general purpose operating programs. Responsibilities include program design, coding, testing, debugging and documentation. May work with new operating programs of moderate complexity and scope, and provides continuing technical support to applications programmers.

System Programmer, Senior

Uses a thorough knowledge of current software and hardware capabilities to develop or modify operating systems programs of a high degree of complexity and scope; usually responsible for formulating specifications for applications dealing with the entire operating system. Responsibilities include program design, coding, testing, debugging and documentation. May oversee work of lower level Systems Programmers; carry out feasibility studies and evaluate and recommend new hardware or software systems.

Telecommunications Analyst

Evaluates user requests for new or modified voice and/or data systems, software and hardware. Develops specifications and technical implementation plans. Recommends alternative solutions to reduce costs or improve service. Plans and coordinates installation dates with users, development and engineering staff and vendors. Follows-up to ensure that service level agreements have been achieved and resolves any outstanding issues. Participates in evaluation of vendor proposals and in developing and documenting operational standards.

Telecommunications Manager

Sets direction and oversees all telecommunications activity in an organization, including the strategic planning and design of voice, data, video and image telecommunications. Interfaces with IT staff to coordinate telecommunications software, hardware and system capabilities. Formulates broad plans and recommends long and short range changes. Usually reports to Vice President or senior level executives.

Webmaster

Responsible for maintaining and modifying the organization's Internet/Intranet efforts including content, graphical and multimedia displays, and communications. Supervises development efforts including content, design and production. Responsible for website maintenance, updating existing information and creating new content. Maps the flow of the website, creates general graphics, provides specifications to the Web Author, Web Developer, and outside vendors for the development of databases, interactive applets, and custom graphics. Acts as a liaison between the site and users. Has considerable knowledge of multiple operating systems (e.g., UNIX, Sun SOLARIS, Mac).

Attachment G

REALLOCATION/REBANDING ADJUSTMENT

Employee Name: Click here to enter
Position No.: Click here to enter
Career Group: Click here to enter
Approval Date: Click here to enter date

Dept/Div/Br: Click here to enter
Title and Job Code: Click here to enter
Former Band: Click here to enter New Band: Click here to enter
Effective Date: Click here to enter date

Current SR & Step:	Click here to enter	Proposed SR & Step:	Click here to enter	
Base Pay:	$ Click here	Base Pay:	$ Click here	
SD (if applicable):	$ Click here	SD (if applicable):	$ Click here	
Total Compensation (TC):	$ Click here	Total Compensation:	$ Click here	(Shall not exceed the SR max)
Total In-band(s) (if any):	$ Click here	Total In-band(s) (if any):	$ Click here	
TC + Total In-band(s):	$ Click here	TC + Total In-band(s):	$ Click here	(Shall not exceed the in-band max)

☐ **Reallocation**	☐ **Rebanding**
☐ Permanent	☐ Permanent
☐ Temporary Period: From Click here to Click here	☐ Temporary Period: From Click here to Click here

Standard Upward Compensation Adjustment:	Band: Click here	SR: Click here	Step: Click here	$ Click here
Proposed Exceptional Adjustment Equivalent to # of Steps (if applicable)			# of Step: Click here	
Proposed Adjusted Salary (includes Exceptional Adjustment):	Band: Click here	SR: Click here	Step: Click here	$ Click here
Standard Downward Compensation Adjustment:	Band: Click here	SR: Click here	Step: Click here	$ Click here

Please provide a position description reflecting the increased/decreased scope and complexity of assigned duties and responsibilities.

Please attach the justification to support the exceptional adjustment for the permanent reallocation or rebanding action.

Required justification to support the exceptional adjustment:

Education, Training, Certification and/or License

- Describe any additional subsequent relevant education, training, certifications beyond the minimum and/or desirable education/training requirements. Click here to enter

Relevant Experience, and Increases Knowledge, Skills and/or Abilities

- Describe the quality of demonstrated relevant experience, knowledge, skills and/or abilities and how they exceed the minimum and desirable qualifications. Describe the link between the relevant experience, knowledge, skills and/or abilities, and the subject position's duties relative to increased productivity or benefits to the unit/program/department/State. Click here to enter

Other Relevant Factors

- Consider such factors as value of the job in the industry, degree of specialization, need of the State to the overall benefit of the work unit/program/department, etc. Click here to enter

Certification/Recommendation:

☐ *I certify that the program can accommodate the additional funding associated with this request within its existing budget. The additional funding required can be covered in future budgets without an increase in the level of funding.*

Supervisor/Manager: Click here to enter electronic signature Date: Click here to enter date

Division Head: Click here to enter electronic signature. Date: Click here to enter date

Departmental Personnel Office:

☐ *I certify that the above recommendation has been reviewed by the departmental personnel office*
☐ Recommend Approval
☐ Recommend Approval with Changes New recommended SR, Step, Monthly Rate: Click here to enter
☐ Approval not Recommended
Comments: Click here to explain

DPO Signature: Click here to enter electronic signature. Date: Click here to enter date

Director/Appointing Authority:

☐ Approved
☐ Approved with Changes New recommended SR, Step, Monthly Rate: Click here to enter
☐ Not Approved
Comments: Click here to explain

Director/Appointing Authority Signature: Click here to enter electronic signature Date: Click here to enter date.

***Reminder:** Please forward a copy of the Reallocation/Rebanding Adjustment request to DHRD and a copy of the request for included employee to HGEA after taking action for information and record-keeping purposes*

Attachment H

Guidelines for Exception Beyond
Standard Reallocation or Rebanding Compensation

Criteria	Guidelines for Exception Beyond Standard Reallocation or Rebanding		
	1 Step	2 Steps	3 Steps or More
Education, Training, Certification and/or License	Official transcripts, current license, current certifications, etc. that exceed the MQs and are related to the job.	Official transcripts, current license, current certifications, etc. that significantly exceed the MQs and are related to the job.	Official transcripts, current license, current certifications, etc. that far exceed the MQs and are related to the job. Nature of such education, training, certification or licensure is deemed to be essential to the department/State and is of paramount priority.
Relevant Experience, Knowledge, Skills and/or Abilities	Job related experience, training, knowledge, skills and/or abilities that exceed the MQs and are related to the job. Significant and direct contributions in the attainment of program goals, objectives and positive outcomes and in the creative solutions to difficult problems. An indicator that the individual will far exceed performance expectations and be highly successful in the job.	Job related experience, training, knowledge, skills and/or abilities that significantly exceed the MQs and are related to the job. Significant and direct contributions in the attainment of program goals, objectives and positive outcomes and in the creative solutions to difficult problems. An indicator that the individual will dramatically exceed performance expectations and make significant contributions to the attainment of broad program goals in the department.	Job related experience, training, knowledge, skills and/or abilities that far exceed the MQs and that the possession of the depth, breadth and quality of work experience is essential to the department/State and is paramount of priority.

Attachment I

RETENTION IN-BAND ADJUSTMENT

TO: Click here to enter Appointing Authority
VIA: Click here to enter Departmental Personnel Officer
FROM: Click here to enter Requestor
SUBJECT: Request for Retention In-band Adjustment

Employee Name: Click here to enter	Dept/Div/Br: Click here to enter
Position No.: Click here to enter	Title and Job Code: Click here to enter
Career Group: Click here to enter	Band: Click here to enter

Current SR & Step:	Click here to enter
Monthly Base Pay:	$ Click here
Shortage Differential (if applicable):	$ Click here
Total Compensation (TC):	$ Click here
Existing In-band amount(s) (in total, if any):	$ Click here
Proposed Retention In-band Adjustment:	$ Click here
TC + Total In-band(s) (shall not exceed the in-band maximum):	$ Click here

Required Justification/Rationale

1. Attach a copy of the offer letter with the salary offer from another employer and any other pertinent documentation of a valid job offer.
2. Attach a copy of the last performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations."
3. Comment on the impact of the Retention In-band adjustment on program budget and operation.
   Click here to enter comment.
4. Describe the contributions made by the employee and benefits to the program/department/State in retaining the employee, including identification of the employee's bona fide occupational qualifications, and the special expertise, skill or knowledge that is critical to retention at the program/department/State
   Click here to describe
5. Identify any anticipated difficulties in securing a qualified replacement.
   Click here to identify
6. Describe the impact of Retention In-band adjustment on employees in comparable positions requiring the same bona fide occupational qualification, special expertise, skill or knowledge.
   Click here to describe
7. Provide any other relevant information or justification in support of the request.
   Click here to enter

****

Certification:

- ☐ *I certify that the program can accommodate the additional funding associated with this request within its existing budget. The additional funding required can be covered in future budgets without an increase in the level of funding.*
- ☐ *I certify that an assessment of the impact has been made and that this request complies with applicable equal opportunity laws, rule, regulation and policies.*

Supervisor/Manager: Click here to enter electronic signature. Date: Click here to enter date.

Division Head: Click here to enter electronic signature. Date: Click here to enter date.

Departmental Personnel Office:

- ☐ *I certify that the above recommendation has been reviewed by the departmental personnel office.*
- ☐ Recommend Approval
- ☐ Recommend Approval with Changes Monthly Rate: $ Click here to enter rate
- ☐ Approval not Recommended

Comments: Click here to explain

DPO Signature: Click here to enter electronic signature. Date: Click here to enter date.

Director/Appointing Authority:

- ☐ Approved
- ☐ Approved with Changes Monthly Rate: $ Click here to enter rate
- ☐ Not Approved

Comments: Click here to explain

Director/Appointing Authority Signature: Click here to enter electronic signature. Date: Click here to enter date.

Effective Date: Click here to enter effective date. (First day of the subsequent pay period following the date of the Appointing Authority's approval)
Reminder: Please forward a copy of the request to DHRD and a copy of the request for included employees to HGEA after taking action for information and record-keeping purposes.

Attachment J

CHANGE IN THE DNHR ADJUSTMENT

TO: Click here to enter Appointing Authority
VIA: Click here to enter Departmental Personnel Office
FROM: Click here to enter Requestor
SUBJECT: Request for Change in the DNHR Adjustment

Employee Name: Click here to enter	Dept/Div/Br: Click here to enter
Position No.: Click here to enter	Title and Job Code: Click here to enter
Career Group: Click here to enter	Band: Click here to enter

Current SR & Step	Click here to enter
Base Pay	$ Click here
SD (if applicable)	$ Click here
Total Compensation (TC)	$ Click here
Existing In-band amount(s) (in total if any)	$ Click here
Proposed Change in the DNHR In-band Adjustment	$ Click here
TC + Total In-band(s): (shall not exceed the in-band maximum)	$ Click here

Required Justification/Rationale:

1. Attach a copy of the last performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations."

2. Provide an explanation of the change in the DNHR for a particular career group and the impact to subject position.
   Click here to explain

3. Describe the contributions made by the employee and benefits to the program/department/State, including identification of the employee's bona fide occupational qualifications.
   Click here to describe

4. Describe the impact of Change in the DNHR on employees in comparable positions requiring the same bona fide occupational qualification.
   Click here to describe

5. Provide any other relevant information or justification in support of the request.
   Click here to enter.

****

Certification:

☐ *I certify that the program can accommodate the additional funding associated with this request within its existing budget. The additional funding required can be covered in future budgets without an increase in the level of funding.*

☐ *I certify that an assessment of the impact has been made and that this request complies with applicable equal opportunity laws, rule, regulation and policies.*

Supervisor/Manager: Click here to enter electronic signature. Date: Click here to enter date

Division Head: Click here to enter electronic signature. Date: Click here to enter date

Departmental Personnel Office:

☐ *I certify that the above recommendation has been reviewed by the departmental personnel office:*
☐ Recommend Approval
☐ Recommend Approval with Changes Monthly Rate: $ Click here to enter rate
☐ Approval not Recommended
Comments: Click here to explain

DPO Signature: Click here to enter electronic signature. Date: Click here to enter date

Director/Appointing Authority:

☐ Approved
☐ Approved with Changes Monthly Rate: $ Click here to enter rate
☐ Not Approved
Comments: Click here to explain

Director/Appointing Authority Signature: Click here to enter electronic signature Date: Click here to enter date

Effective Date: Click here to enter effective date (First day of the subsequent pay period following the date of the Appointing Authority's approval)
Reminder: Please forward a copy of the request to DHRD and a copy of the request for included employees to HGEA after taking action for information and record-keeping purposes.

Attachment K

INTERNAL ALIGNMENT IN-BAND ADJUSTMENT

TO: Click here to enter Appointing Authority
VIA: Click here to enter Departmental Personnel Officer
FROM: Click here to enter Requestor
SUBJECT: Request for Internal Alignment In-band Adjustment

Employee Name: Click here to enter	Dept/Div/Br: Click here to enter
Position No.: Click here to enter	Title and Job Code: Click here to enter
Career Group: Click here to enter	Band: Click here to enter

Current SR & Step:	Click here to enter
Base Pay:	$ Click here
SD (if applicable):	$ Click here
Total Compensation (TC):	$ Click here
Existing In-band amount(s) (in total if any):	$ Click here
Proposed Internal Alignment In-band Adjustment:	$ Click here
TC + Total In-band(s) (shall not exceed the in-band maximum):	$ Click here

Required Justification/Rationale:

1. Attach a copy of the last performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations."

2. Describe the employee's responsibilities, education, expertise, skills, years of service, and/or accomplishments (performance).
   Click here to describe

3. Provide an analysis of the existence of salary differentials among the employee and other employees in comparable and relevant positions (same career group, same band, and similar duties and responsibilities). Include the following in the quantitative analysis: salaries, years of service in the State and in the bargaining unit, educational level, relevant work experience – years, type and quality, other qualification requirements; any approved appointment above the minimum entry rate, any approved reallocation, rebanding and/or in-band adjustments.
   Click here to enter

4. Provide any other relevant information or justification in support of the request.
   Click here to enter

****

Certification:

☐ *I certify that the program can accommodate the additional funding associated with this request within its existing budget. The additional funding required can be covered in future budgets without an increase in the level of funding.*

☐ *I certify that an assessment of the impact has been made and that this request complies with applicable equal opportunity laws, rule, regulation and policies.*

Supervisor/Manager: Click here to enter electronic signature Date: Click here to enter date

Division Head: Click here to enter electronic signature Date: Click here to enter date

Departmental Personnel Office:

☐ *I certify that the above recommendation has been reviewed by the departmental personnel office.*
☐ Recommend Approval
☐ Recommend Approval with Changes Monthly Rate: $ Click here to enter rate
☐ Approval not Recommended
Comments: Click here to explain

DPO Signature: Click here to enter electronic signature Date: Click here to enter date

Director/Appointing Authority:

☐ Approved
☐ Approved with Changes Monthly Rate: $ Click here to enter rate
☐ Not Approved
Comments: Click here to explain

Director/Appointing Authority Signature: Click here to enter electronic signature Date: Click here to enter date

Effective Date: Click here to enter effective date. (First day of the subsequent pay period following the date of the Appointing Authority's approval)
Reminder: Please forward a copy of the request to DHRD and a copy of the request for included employees to HGEA after taking action for information and record-keeping purposes.

Attachment L

PROFESSIONAL GROWTH IN-BAND ADJUSTMENT

TO: Click here to enter Appointing Authority
VIA: Click here to enter Departmental Personnel Officer
FROM: Click here to enter Requestor
SUBJECT: Request for Professional Growth In-band Adjustment

Employee Name: Click here to enter	Dept/Div/Br: Click here to enter
Position No.: Click here to enter	Title and Job Code: Click here to enter
Career Group: Click here to enter	Band: Click here to enter

☐ **Increased Scope and Complexity of Work** ☐ Permanent ☐ Temporary Period: From Click here to Click here	☐ **Increased Competencies** ☐ Permanent ☐ Temporary Period: From Click here to Click here
Current SR & Step:	Click here to enter
Monthly Base Pay:	$ Click here
Shortage Differential (if applicable):	$ Click here
Total Compensation (TC):	$ Click here
Existing In-band amount(s) (in total, if any):	$ Click here
Proposed Professional Growth In-band Adjustment:	$ Click here
TC + Total In-band(s) (shall not exceed the in-band maximum):	$ Click here

Required Justification/Rationale:

1. Attach a copy of the last performance evaluation from the immediately preceding rating period. The evaluation must reflect a minimum overall performance rating of "Meets Expectations."

2. **Increased Scope and Complexity of Work**
   a. Provide a position description reflecting the significant change to the predominant duties of the position.

   b. What significant changes have been assigned and documented in the position description with respect to the scope of responsibility and accountability?
   Click here to explain in 250 words or less

   c. What significant changes have been assigned and documented in the position description with respect to expectations critical thinking and problem solving?
   Click here to explain in 250 words or less

   d. What significant changes have been documented in the position description with respect to decision-making?
   Click here to explain in 250 words or less

   e. What new knowledge, skill and expertise are being required to perform assigned position duties and responsibilities.
   Click here to explain in 250 words or less

   f. How have Communication expectations changed?
   Click here to explain in 250 words or less

3. **Increased Competencies**
   Describe the personal growth of the employee relative to increased knowledge, skills, abilities, etc. and explain how these competencies have benefited the program/agency/department.
   Click here to explain in 250 words or less.

4. Provide any other relevant information or justification in support of the request.
   Click here to explain in 250 words or less.

****

Certification:

☐ *I certify that the program can accommodate the additional funding associated with this request within its existing budget. The additional funding required can be covered in future budgets without an increase in the level of funding.*

☐ *I certify that an assessment of the impact has been made and that this request complies with applicable equal opportunity laws, rule, regulation and policies.*

Supervisor/Manager: Click here to enter electronic signature. Date: Click here to enter date.

Division Head: Click here to enter electronic signature. Date: Click here to enter date.

Departmental Personnel Office:

☐ *I certify that the above recommendation has been reviewed by the departmental personnel office:*
☐ Recommend Approval
☐ Recommend Approval with Changes Monthly Rate: $ Click here to enter rate
☐ Approval not Recommended
Comments: Click here to explain

DPO Signature: Click here to enter electronic signature. Date: Click here to enter date

Director/Appointing Authority:

☐ Approved
☐ Approved with Changes Monthly Rate: $ Click here to enter rate
☐ Not Approved
Comments: Click here to explain

Director/Appointing Authority Signature: Click here to enter electronic signature. Date: Click here to enter date

Effective Date: Click here to enter effective date.
Reminder: Please forward a copy of the request to DHRD and a copy of the request for included employees to HGEA after taking action for information and record-keeping purposes.

Guidance for Professional Growth
In-band Adjustment

Criteria	Guidelines for 4% in-band adjustment
Scope of responsibility and accountability	For example, but not limited to: - New functions have been added; - New authority has been delegated to the position for which an adjustment is being considered; - Expectations associated with the position have changed with respect to the level and degree that the position incumbent will be held accountable.
Critical thinking and problem solving	For example, but not limited to: - Expectations have changed from administering established policies and procedures to requiring a high level of analytical ability in order to interpret and develop new policies and procedures, and/or develop creative adaptions of policies and procedures to new situations; - The level of complexity in solving problems has increased and solutions are unusual, extremely difficult, and require considerable ingenuity; - Independent judgment is required and solutions are not subject to review by a higher authority or expert.
Decision making	For example, but not limited to: - The scope, impact and consequences of decision-making has increased; - Decisions are of considerable importance and errors may result in serious consequences or loss, financial impact of decision-making increased for example from hundreds of thousands of dollars to millions of dollars.
Knowledge, skills and expertise	For example, but not limited to: - New and/or more complex knowledge, skills and expertise are required to perform assigned duties and responsibilities.
Communications	For example, but not limited to: - The scope of communication changed and involves having to communicate with more senior executives and managers for the purposes of negotiating, interpreting or persuading for policy and process changes with the intent to influence more senior decision-makers; - Contact requires considerable tact, discretion, and persuasion to obtain results; - Presents new methods, programs, and/or controversial issues.

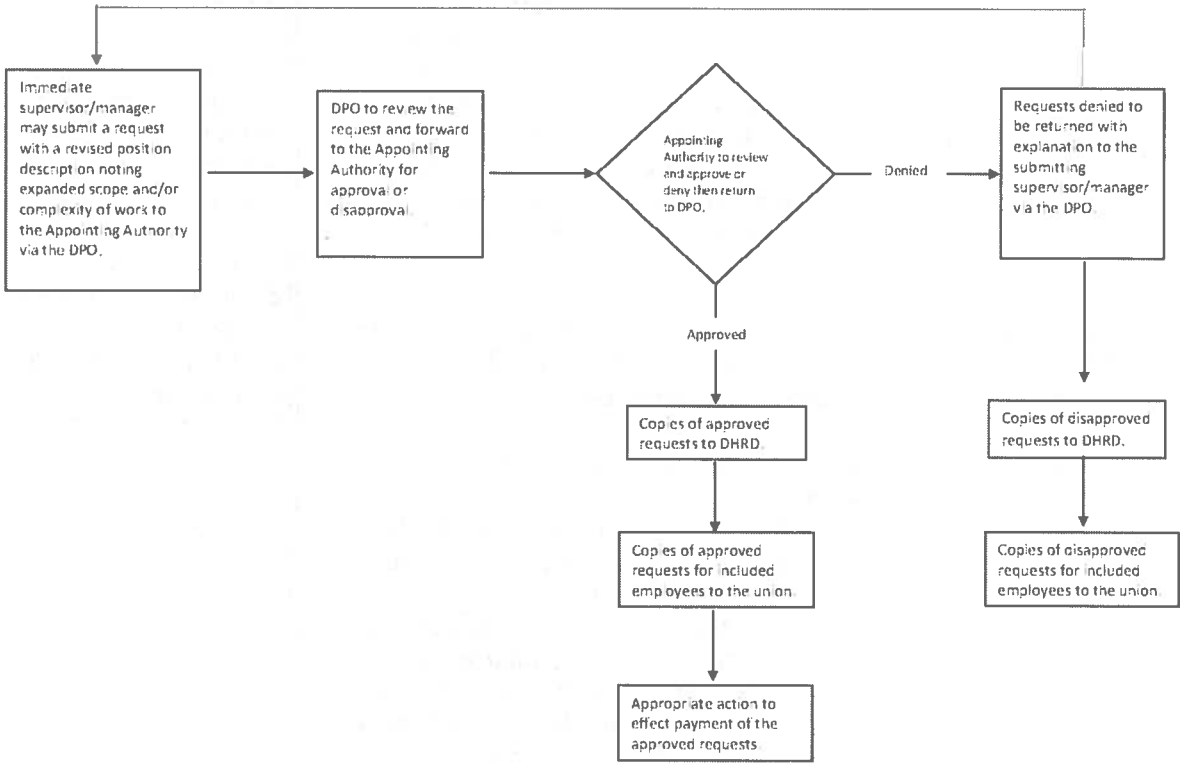
The following is provided as guidance in determining the professional growth in-band adjustment, and reallocation/rebanding. Supervisors, administrators and appointing authorities are expected to exercise their considered professional judgments by taking into account available quantitative and qualitative information submitted in support of an adjustment.

Criteria	Guidance for 4% In-band Adjustment	Guidance for Reallocation or Rebanding
	In-band adjustments based on significant changes in the scope and complexity of work are to be documented in the official position description.	Reallocation or rebanding adjustment is to recognize either a change in the concept of a position within the same band or between bands.
Scope of responsibility and accountability	A new or added responsibility or function with respect to the scope of responsibility and accountability that is quantifiable and demonstrated on an on-going basis. For example, but not limited to: ○ New functions have been added; ○ New authority has been delegated to the position for which an adjustment is being considered; ○ Expectations associated with the position have changed with respect to the level and degree that the position incumbent will be held accountable.	For example: <u>Within Band A</u> • From entry/trainee to independent worker <u>Within Band B</u> • From journey worker to senior specialist <u>Within Band C</u> • From first/second level supervisor to second level supervisor of highly complex IT program
Critical thinking and problem solving	Significant changes in critical thinking and problem solving expectation. For example, but not limited to: ○ Expectations have changed from administering established policies and procedures to requiring a high level of analytical ability in order to interpret and develop new policies and procedures, and/or develop creative adaptions of policies and procedures to new situations; ○ The level of complexity in solving problems has increased and solutions are unusual, extremely difficult, and require considerable ingenuity; ○ Independent judgment is required and solutions are not subject to review by a higher authority or expert.	<u>Within Band D</u> • From IT manager/branch chief to assistant administrator • From assistant administrator to IT program administrator <u>Between Bands</u> • From independent worker (Band A) to journey worker (Band B) • From senior specialist (Band B) to supervisor (Band C) • From secondary supervisor (Band C) to IT manager (Band D) **Exception Beyond Standard Reallocation or Rebanding:**

Decision making	Expansion of the scope and authority of decision-making. For example, but not limited to: o The scope, impact and consequences of decision-making has increased; o Decisions are of considerable importance and errors may result in serious consequences or loss, financial impact of decision-making increased for example from hundreds of thousands of dollars to millions of dollars.	Subject to the approval of the Appointing Authority upon the recommendation of the supervisor/manager an exception to the standard reallocation or rebanding adjustment may be granted when it has been determined that the standard compensation adjustment does not adequately compensate the employee's credentials in performing the new assignment(s). For example but not limited to complexity of work performed is one-of-a-kind within the State and has the individual established recognition with the profession, nationally and/or internationally as being an industry leader/subject matter expert.
Knowledge, skills and expertise	New and/or more complex knowledge, skill and expertise are required to perform assigned duties and responsibilities.	
Communications	Changes to the communication expectation. For example, but not limited to: o The scope of communication changed and involves having to communicate with more senior executives and managers for the purposes of seeking advice, negotiating, interpreting or persuading for policy and process changes with the intent to influence more senior decision-makers; o Contact requires considerable tact, discretion, and persuasion to obtain results; o Presents new methods, programs, and/or controversial issues.	

Note: Neither a change in the volume of work or transactions performed nor the changes in the volume or numbers of non-supervisory subordinates are a staffing management rather than compensation factor and does not automatically qualify as significant changes in responsibility, additional functions, or new significant function for in-band adjustment purposes.

Process Flow Procedures Relating to Recommendations for In-band Adjustments Based on Professional Growth In-band Adjustment for Increased Scope and Complexity of Work in the Same Pay Range



Attachment M

REQUEST FOR ADMINISTRATIVE REVIEW OF IN-BAND ADJUSTMENT

I. Requestor

Employee Name: Click here to enter

Name of Representative & organization, if any: Click here to enter

II. Position Information

Position No: Click here to enter

Working Title: Click here to enter

Band/SR/Step: Click here to enter

Career Group: Click here to enter

Division/Branch: Click here to enter

III. In-band Adjustment

Type of In-band Adjustment: Click here to enter

In-band Adjustment Decision: Click here to enter

Change in In-band Adjustment being Requested: Click here to enter

Reasons for Requesting Change in the In-band Adjustment Decision: Click here to enter

Employee Signature: Click here to enter electronic signature

Date: Click here to enter date

naspe

National Association of State Personnel Executives | 859 244 8182 | lscott@csg.org | www.naspe.net

FLEXIBLE COMPENSATION STRATEGIES –

WHAT IS THE RIGHT COMPENSATION MIX TO ATTRACT AND RETAIN A YOUNGER WORKFORCE?

INTRODUCTION

"We have an aging workforce."
"We need to attract younger workers."
"Our compensation package is not geared to attract the millennial."
"We pay below market and they don't care about our competitive benefits package."
"We can't hire younger workers."

These are quotes from you who are leaders of State Government Human Resources. There is seldom a month that goes by without another article about the aging workforce in the Public Sector and the challenge that the Public Sector in general, and State Governments in particular, face in attracting a younger workforce as a replacement for the vacancies caused by the increasing number of retirements and improving employment market.

This paper will demonstrate that we as State Governments are not alone in facing this issue, will show that while competitive compensation may be needed to attract younger workers, it may not be enough to retain them, and offer some suggestions as to how compensation and other engagement and reward vehicles can be used to develop and retain these younger workers once they are onboard.

ARE WE REALLY THAT MUCH OLDER THAN OTHER SECTORS OF THE ECONOMY?

To gather relevant workforce data for this paper, a survey was conducted of NASPE members on three key questions

1. What is the average age of your State workforce?
2. What was the average age of hires to your State workforce in the last year for which you have data?
3. What percentage of your State workforce is under age 30?

There were 23 respondents to the survey, which is over 50% of NASPE members. The results showed a very consistent pattern of data across all participants. The aggregate of these results is set out in the table below.

Average age of current employees	45.6
Average age of new hires	36.1
Percentage of current workforce under 30	13.5

naspe

Commentary on the data is as follows:

1. 22 of the 23 States are within the average age spread of 44-47, with the State of Oregon being the only exception, at an average age of 40.
2. 20 of the 23 States are within + or -3 years of the average age of hire of 36, exceptions being the States of Michigan and South Dakota.
3. There was a greater spread on the percentage of workforce being under 30, ranging from the Commonwealth of Virginia at 7% to the States of Georgia (data was provided for employees aged 34 and under) and Nevada at 22%. Interestingly, while Georgia reported 22%, they also report a high turnover in this employee group. They attribute this to pay being, on average, 30% below the market and so an employee in this work group will join the State to "build their resume" and then will leave within the first four years of employment for a job which has higher pay.

While it is stated that the average age of State Government employees is high, data shows that State Government workforce demographics are not significantly out of line with a number of other sectors. The Bureau of Labor Statistics 2013 data shows sectors that have an average age not dissimilar to State Governments are: Transportation and Utility sector is 46, all Public Sector is 46, Healthcare is 43, and somewhat surprisingly, Wholesale and Retail trade at 39%. One sector that is significantly less is Leisure and Hospitality at 31%. Do not hire from two specific sectors if States are seeking to lower their workforce average age. Postal Workers have an average age of 52 and Funeral Home and Cemetery workers also have an average age of 52.

Industry	Median age
Total, all industries	42.4
Agriculture, forestry, fishing, and hunting	46.9
Mining, quarrying, and oil and gas extraction	41.5
Construction	42.8
Manufacturing	44.9
Wholesale and retail trade	39.4
Transportation and utilities	45.9
Information	41.3
Financial activities	44.0
Professional and business services	42.6
Education services	44.6
Health care	43.2
Leisure and hospitality	31.3
Other services	43.0
Public administration	45.6

What should be of more concern to State Governments is that while the percentage of States' workforce, based on the survey respondents, is 13.5%, the BLS data shows 26.4% of the workforce is under age 30.

The data shows that the issue of the age of State Government workers and the challenge of attracting employees is not just a State Government issue. Private sector employers in a number of sectors are also facing the same issue, including very successful employers. WD40 Company is such an example. It is a publicly traded company that has seen its stock price increase by approximately 260% in the past 4 years and has a 94% positive response on employee engagement in its most recent survey. Put simply, it does things well. The company's data on the 3 questions that were included in the survey of NASPE members are as follows: average age is 48, average age of hire is 39, and the percentage of workforce under 30 is 3%. Their Director of Compensation and Benefits says: "since we have a lot of retirements coming up in the next few years, we are focusing on succession planning and want to be able to attract and retain a younger workforce. However, we struggle with the same issues that States' do as our compensation programs are heavily weighted toward longer term compensation such as profit sharing and our 401(K). **Younger employees want cash compensation. Our focus is on creating a culture with learning opportunities that attract a younger workforce.**"

WHAT ARE SOME OPTIONS FOR STATES TO CONSIDER FOR ACTION TO ATTRACT AND RETAIN A YOUNGER WORKFORCE?

There are numerous research articles and publications on topics relevant to this issue brief with titles such as "what we can learn from millennials," "the new talent strategy;" "how to attract millennials to your workplace." In addition, Deloitte has conducted a Millennial survey for the past four years. Research of these articles and publications show a consistent theme, that being that while compensation has to be the appropriate mix and sufficiently competitive to be a tool for attraction, non-compensation factors are seen as more important to the younger workforce for purposes of engagement, retention, and reward.

Accordingly, set out in this section of this issues brief are recommended components of what is more appropriately titled flexible attraction, retention, engagement, and reward tools that you can consider for action for your goal of improving the percentage of your workforce that is millennial.

Compensation Considerations for Action

1. Salary ranges and rates of pay for recruitment need to be sufficiently competitive to attract a pool of talent to provide a hiring manager with choices of candidates. This is particularly important for entry and second level professionals such as Engineers, Accountants, Nurses, Social Workers, IT positions, and other positions for which States can build a career progression. While States recognize that they may not necessarily have pay levels which are in line with the private sector, the gap needs to be sufficiently small that you can get candidates to the interview stage of a recruitment process. However, recognize that "the first 10 years in the labor market will likely shape lifetime earning potential."

2. If you are publishing salary ranges for hiring purposes, don't show just part of the range. To a candidate, this may imply a small range for salary movement.

3. One size will not fit all; develop occupational based pay ranges which are aligned with the market, particularly for professional level positions. Dependent on the definition of your market and the size of your State as an employer, the days of one pay structure may be numbered. States are very diverse employers in terms of occupational groups and types of jobs and the level of pay for different occupations can vary. An example of a State that is addressing this issue is New Mexico. Until recently, it had one pay structure for classified employees and over 30% of employees were paid in an APB (alternative pay band). This was due to two reasons, uncompetitive pay bands and the fact that jobs in the same pay band did not have a similar market value. Moving to 12 occupational based pay ranges is a step in the right direction to address this issue.

4. Have performance as one of the components of pay delivery. One consistent theme of what is important to younger workers is that they want frequent feedback on how they are doing and want reward and recognition to reinforce that feedback. "There is a regular drumbeat about millennials: they want continuous feedback on how they are doing and see the payoff." A 2014 Issues Brief addressed the issue of "pay for performance." Experience shows that these words can create a "negative" reaction in that there have been some experiences in State Governments that were a "tried that, didn't work". To make this a positive, address this by having performance be one of the factors in pay delivery.

5. Linked to the previous consideration for action, consider giving bigger increases in the early stages of a career, particularly for those employees who are below market and higher levels of performance.

6. If your law and rules allow, use hiring or signing bonuses. If they don't, change the law. Signing bonuses are utilized for a number of reasons including:

   a. To enhance an offer of employment without incurring additional fixed compensation cost

   b. To offset compensation a prospective employee may be forgoing at their current employer. For States where your salary structure may be reasonably competitive with the relevant market and the benefits offered by the State are competitive, there may be cases where the total cash compensation is less than competitive. One State is about to adopt hiring bonuses of up to $5,000.

7. Utilize incentive compensation as a means by which to increase cash compensation while managing fixed costs of compensation. As previously stated, cash compensation is important to the younger workforce, as is recognition and reward. Where possible, utilize performance based incentive compensation. An example of a State that is completing the first year of a pilot program for incentive compensation is the Louisiana Department of Revenue. This program is for approximately 150 Field Operations employees. The key measures established are for productivity and efficiency. Employees have a target incentive opportunity of 5% of base salary with a maximum opportunity of 10% of base salary. As of April 2015, productivity improvement was up by 15% over the previous year.

8. If your law and rules allow, use hiring or signing bonuses. If they don't, change the law. Retention bonuses are utilized for a number of reasons including:

   a. To retain an employee who is in a mission critical position

   b. To optimize the investment in retention vs. the cost of replacement

   c. To increase cash compensation without incurring additional ongoing fixed compensation cost

   One State is about to adopt retention bonuses of up to $5,000.

9. Cash compensation may be important to the younger workforce but benefits still matter. However, the mix of benefits that has been important to the States' workforce is reflective of your average age and the average age at which States are hiring and is likely not to be the appropriate mix for the younger workforce. Give consideration to some of the following:

   a. Paid Time Off. There is an increase in prevalence of PTO plans in private sector. Mercer reports an increase from 38% of organizations in 2010 to 55% in 2014. Gallagher reports that 93% of 1,833 participants in its 2014 Benefits survey offer PTO. Prevalence is lower in the public sector but is greater in local government than in State Government. Like defined contribution plans for retirement, it is expected that PTO plans will continue to grow in prevalence in the private sector and local government. Can we as States resist that trend? An example of a State that is considering a change to PTO in the near future is the State of Tennessee.

b. Defined Contribution (or at least a hybrid Defined Contribution/Defined Benefit) retirement plan. While it can be argued that a DC plan encourages employee movement from one employer to another, the reality of the younger workers' expectations is that they seek retirement and savings plans that they can manage themselves and that have portability.

c. Forgiveness of Student Loans. Student debt continues to grow at an alarming rate. There is a Federal program that forgives the balance of student loans after 10 years in public service. However, most student loans have a 10 year repayment schedule so this program is of questionable value. Give consideration as both an attraction and retention tool to have a program that forgives the balance of student loans after a time period of, for example, 5-7 years (up to a certain cap). Numerous studies show that organizations retention rate increases noticeably after 5 years and such a program may further enhance such retention.

Non-Compensation Consideration for Actions

The findings from both the 2014 and 2015 Deloitte Millennial survey provide a statement that is a very positive opportunity for the recruitment of younger workers into State Governments. "Millennials want to be part of something that is bigger than profit making." For 60% of those surveyed, a "sense of purpose" is a significant part of the reason they chose their current employer. "The message is clear: when looking at their career goals, today's millennials are just as interested in how an organization develops its people and how it contributes to society as they are in its products and services." What better sector to meet those aspirational goals than a State Government.

The non-compensation considerations for action should be designed to reinforce what numerous studies and articles show is important to a younger workforce and millennials. While many factors are listed, they can be summarized as follows:

1. Create a sense of belonging
2. Alignment between the employees values and the mission and values of the organization
3. Ongoing learning opportunities
4. Work/life integration
5. Career development and progression
6. Doing interesting, challenging, and meaningful work
7. Utilizing new technologies
8. Flexible working hours
9. Collegiality and working collaboratively
10. Development of, and growth in, life skills

Consideration for Actions Include:

1. Speed up and simplify your recruitment processes. Lists, tests, and multiple interviews are an anathema to today's younger workers.
2. Utilize graduates from Colleges as part of the recruiting team rather than just recruiting staff. An engaged and successful graduate from a College is one of the most powerful influencers and recruiters for potential candidates from the same College.

3. Place less emphasis on experience in the recruitment process and "scoring." The way some merit systems recruitment process work is that they place over emphasis on experience which may be a factor as to why the average age of hire of 36. This process is, in effect, screening out younger candidates.

4. Increase the use of internships. These programs were less used in the period of the economic downturn but are being reinstated in the private sector. Internships have been proven to be a win/win for a potential employee and the employer.

5. Place a heightened focus on onboarding. The first few months are critical. Where State Governments have been less than optimal in onboarding efforts is to place the new employee with an employee of considerable experience and probably age. This may not be the best onboarding experience. Invest in onboarding assimilation and training. Zappos mandates two weeks of onboarding with the primary focus being on mission, vision, values, and culture. Aon/Hewitt mandates three weeks of onboarding with the primary focus being on team building and a sense of belonging. The State of Georgia is in placing a heightened focus on "set up for success" through an onboarding process which will check in with the new employee at 30/60/90 days of hiring and with an emphasis on creating a sense of belonging and building partnerships and collegiality.

6. Provide ongoing learning opportunities. This is sometimes known as "we train them up and then they leave." If this is done in conjunction with a known career development plan, the value of such opportunities can be realized with the State and not necessarily with another employer. In addition, provide opportunities for life skills development. One technology firm mandates a minimum of 40 hours of training for its employees every year, of which not less than 16 hours will be for life skills such as "budgeting and managing personal finances."

7. Stop using the term "work/life balance." It is unlikely that can be achieved. Strive towards the optimal mix of work/life integration through such programs as flexible working hours, telecommuting, and job sharing.

A CASE STUDY OF SUCCESS

It is important that an issues brief not only provide actions for consideration but also include examples of some of those actions being successful. The State of South Dakota development of a career progression based pay plan for selected occupational groups with competitive pay ranges and a clear linkage between performance, competencies, and pay delivery is such an example. The State of South Dakota recognized the need for such a plan for a number of reasons:

1. The levels of pay were 30-40% behind the market

2. There is no four year school in Pierre from which to attract graduates

3. There was the need to provide job family progression for professionals without having to move into a management position to get more money

4. There was a severely diminished qualified applicant pool due to lack of competitiveness

5. There was an increased number of applicants declining to be interviewed or declining the job when offered

6. There were the potential high impacts of retirement and voluntary turnover

Five Occupational Groups were chosen for the Market Based career band program, being: Accounting and Auditing, Nursing, Engineering, Environmental Sciences, and Information Technology. This included approximately 1,100 of the over 7,000 State employees. The project included the definition of levels in the career progressions, development of competitive pay ranges, and the development of an effective perfor-

mance management process. The plan design was successful, the State was ready to implement but it was 2009. There was no money for implementation. But there was no "we give up;" the new job family structures were implemented but without funding of new compensation structures. Implementation was cost neutral. In FY2013, when money became available, the compensation structures were funded. Funding for what is known as the Career Bands has been as follows:

FY2013 – 3% market adjustment and up to 7% toward market target

FY2014 – 4% market adjustment for accountants and nurses; 3.5% market adjustment for engineers, scientists, IT professionals, up to 4.5% pay for performance

FY2015 – 3% market adjustment for all families, up to 4.5% pay for performance

At a meeting in late 2014, the Governor's Chief of Staff referred to "the great success of the career banding project."

The benefits gained from this initiative include:

1. Employees have had meaningful market and performance based pay increases
2. Turnover has decreased by 25% in these occupational groups
3. There has been a 10% increase in the number of "high quality" applicants
4. The number of applicants declining interviews has decreased by 10%
5. For the first time for decades, all IT positions are filled
6. There is less "agency hopping" for more money
7. The hiring has led to the State of South Dakota having the lowest average age for its workforce among the 23 States who participated in the survey referenced earlier.

SUMMARY

The purpose of this issues brief has been to provide considerations for potential actions that States can take to attract, engage, retain and reward a younger workforce. However, is there that much difference in what we should be doing for a younger workforce than we should be doing for our entire workforce? Are millennials that different from non-millennials? A recent study by Oxford Economics indicates the answer is No.

The Millennial Workforce

What's important to you?	Millennials	Non millennials
Making a positive difference in the world	20%	20%
Compensation	68%	64%
Work-Life balance	29%	31%
Meaningful work	14%	16%
Achievement of income goals	32%	30%

naspe

Millennials themselves might not be so different from other people, but the change (and pace of change) they represent is significant. Millennials are an anchor for this change. Millennials have shaped and consumed innovations and they will soon be the most dominant generation in the workforce.

The size of State Governments provide a tremendous advantage in that you can utilize that size by providing challenging, diverse, and interesting internal career options. Your succession plans should encourage both vertical and horizontal options. Your culture should applaud horizontal moves. Break down silos that prevent people from sharing talent. And keep track of your key talent! You have to offer a diversity of experiences, coupled with recognition and reward.

Contributors:
Neville Kenning, Kenning Consulting
Jake Smith, State of Oklahoma, Compensation Manager

Reinventing Human Resource Management

HRM02: Reform the General Schedule Classification and Basic Pay System

Background

Approximately 1 6 million federal civilian employees--about 75 percent of the nonpostal civilian workforce--are covered by the General Schedule (GS) classification and basic pay system (The remaining 25 percent are covered under a variety of special pay systems, the largest of which is the Federal Wage System, which covers over 300,000 blue-collar employees in trades and crafts occupations) The GS system was established in 1949 and was intended to provide a standard framework for establishing the pay hierarchy for federal employees in white-collar occupations

The central core of the GS classification system is codified in law The law establishes 15 grades and describes the level of work at each grade As stated in the law, the purpose of the classification system is to ensure that equal pay be provided for substantially equal work (by ensuring equal grade for equal work) and that work be classified based on its difficulty, responsibility, and qualification requirements The law provides the Office of Personnel Management (OPM) with a central role in establishing classification standards and reviewing agency classification actions (through periodic audits and hearings of employee appeals) OPM has final authority in classification matters

OPM has established over 450 separate job categories called series For example, there are 34 different series in the field of biological sciences alone, including such series as Plant Pathology, Plant Physiology, Plant Protection and Quarantine, Soil Science, and Irrigation System Operation For many of these 450 series, OPM has published classification standards that agencies must apply in assigning grades to jobs The series-specific classification standards describe the nature of work and set forth criteria or rules for determining the appropriate grade level Series standards tend to be fairly detailed and can require considerable time and classification expertise to apply Many of the standards have not been revised for many years and are viewed as out-of-date (1)

The GS basic pay structure is directly based upon the grades in the classification system There are 15 overlapping pay ranges that correspond with the 15 grades Until passage of the Federal Employees Pay Comparability Act of 1990 (FEPCA), the GS basic pay structure consisted of a single nationwide pay schedule (although higher special salary rates could be paid in response to significant recruitment and retention problems).(2) However, FEPCA now provides for locality-based comparability payments based on average pay disparities between federal and non-federal workers (3) The same locality pay percentage will apply to all employees in a given local pay area, thus maintaining on a local basis the pay relationships among all jobs in the GS hierarchy of grades, consistent with the equal pay principle

By law, basic pay rates within any GS grade are set at one of 10 fixed step rates Employees performing at an acceptable level of competence progress through the rate range in accordance with statutory waiting periods (one to three years depending on the step) In addition, employees may receive additional step increases--called Quality Step Increases (QSIs)--based on outstanding performance, subject to a limit of one QSI per year While a special merit pay progression scheme applies to managerial employees

covered by the Performance Management and Recognition System (PMRS), that system expires on October 31, 1993

In recent years, several federal agencies have been conducting, with some success, special demonstration projects that tested broadbanding classification systems within the GS framework A broadbanding system involves both the consolidation of job categories (job banding) and the merging of grades or pay ranges (grade banding) Tailored within- band pay progression schemes were also developed for each project The oldest and most well-known broadbanding demonstration project is a Department of the Navy project covering two research laboratories in Southern California (commonly referred to as the China Lake project)

Need for Change

A strong case can be made that the current federal classification and basic pay system is in need of significant reform The problems with the current system are summarized below

Lack of Mission Focus. The GS classification system was premised on the idea that internal equity would help the government more effectively and efficiently accomplish its various missions by ensuring that employees are compensated based on the difficulty and responsibility of their work, by addressing employee concerns about pay fairness, by reducing interagency competition for employees based on pay, and by simplifying the pay setting process Over time, the ideal of internal equity has emerged as the supreme goal of the system, instead of being viewed as a means to attaining the larger goals associated with effective government Consistent with the focus on internal equity, system administrators have sought to achieve greater precision, even though the additional precision did not result in--and perhaps even worked against--more effective government A new and better balance is needed--a balance that can be achieved by a less precision- oriented classification system that provides for greater agency flexibility and is more supportive of agency missions without undermining the long-term governmentwide interests that originally prompted establishment of the system

As a recent National Academy of Public Administration (NAPA) report notes, "The degree of precision with which jobs are classified under this [the General Schedule classification] system is neither warranted by the methodology nor necessary to support pay equity or to organize work efficiently "(4)

Low Credibility According to a recent survey of federal employees conducted by OPM, only 31 percent of employees agree that their pay is fair considering what other people in their organization are paid (5) Thus, despite all the attempts to build precision into the system through central control and rules, the fairness of the system appears to be questioned by the vast majority of the people whose opinion is perhaps most important. Ironically, it appears that the more precision that is sought in job evaluation, the more likely that the measurements of equity will be incomplete (because equity factors that could be considered under a less precise approach have been eliminated) and open to criticism (due to the specificity of the measurements as well as the high expectations created by the precise approach) Furthermore, a precise system that cannot be easily enforced invites rule bending and breaking, which further undermines system credibility In meetings with federal managers and personnel specialists, National Performance Review (NPR) staff were repeatedly told how agency managers are able to beat the system to get the results they want There is a strong argument that the classification system would be viewed as more fair by employees if it were less precise but more honest about its reliance on human judgment

According to James E. Colvard, former Deputy Director of OPM, "The current classification system allows the manager to be precisely wrong What the manager needs is the opportunity to be roughly right."(6)

Complexity. The GS classification system is difficult to understand and to use. This prevents managers--who actually best know the work being classified and its value to the organization--from assuming the primary role in classifying jobs. Instead, the system is largely run by OPM and agency personnel specialists with classification expertise (2,000 of whom are classified in a special Position Classification job series). The system's complexity promotes excessive paperwork and slow, cumbersome administrative procedures. It also makes it difficult to maintain currency. Over 7 percent of the standards are more than 20 years old.(7)

As the NAPA report notes, "In an era of growing pressures for efficiency, productivity, flexibility, customer satisfaction, and goal-directed results, the [General Schedule] classification system is mired in expensive, time-consuming, rule-driven complexity."(8)

Fragmented Accountability. Accountability for classification is fragmented among OPM, agency personnel offices, and agency program managers. Not only does this fragmentation produce tension and conflict among the parties, but it also prevents any one party from assuming responsibility for the consequences of classification decisions. Since many federal managers do not operate under a fixed payroll budget or a total operating cost budget, they do not necessarily feel an obligation to consider the long-term cost consequences of classification actions. On the other hand, OPM and agency personnelists do not have to face the consequences that classification actions have on program missions. There is a clear need to consolidate accountability for mission and classification in one place. This suggests giving classification authority to line managers while ensuring that they are accountable for managing budget dollars prudently and paying employees fairly, in accordance with governmentwide standards.

The Federal Section of the International Personnel Management Association states that "the role of the personnel professional must be redefined to emphasize the desired shift to a consultative relationship with managers, rather than the heretofore traditional role of classification decision-maker."(9)

Inflexibility. One-size-fits-all rigidity characterizes the GS classification and pay system. Agency managers point out that agencies have diverse missions, challenges, organizational structures, values, and cultures, and that they must respond to ever-changing external conditions. The classification system must not be so immutable that it cannot respond to new ways of designing work, the changing value of jobs, or changes in the work itself. While some flexibilities have been incorporated within the pay system (e.g., special salary rates and entry pay above the minimum rate) to compensate for the classification system's rigidity, the restrictions that accompany many of these pay flexibilities severely limit their usefulness. Even if the classification system is made more flexible, additional pay flexibilities are needed to allow agencies to respond to localized labor market fluctuations and to use pay progression schemes that better fit the culture and goals of the organization.

As the Merit Systems Protection Board noted, "These [General Schedule] grade level criteria have come to be viewed as 'cast in stone' . . . [r]esulting in virtually fixed and therefore unresponsive standards. . . . Since the classification standards aren't readily adapted to changes which may occur in how society values certain kinds of work, the classification system can rarely, if ever, be a proactive tool of personnel management policy."(10)

Hierarchical Orientation. As currently administered, the GS classification system seems to facilitate or reinforce hierarchical structures. Part of the reason may lie in the reliance on specialized, narrow jobs, which tends to lead to the creation of organizational stovepipes structured by function instead of by mission. Perhaps more important is the fact that the classification system more readily provides higher grades for supervisory work than for expert-level nonsupervisory work. NPR staff heard from many different sources that supervisory positions are frequently created as a means of providing employees with higher grades. All of this suggests that a more flexible classification system designed to encourage

more broadly defined jobs and to more readily permit dual career ladders could facilitate the streamlining or delayering of federal organizations.

Billions of dollars in precious tax revenues are squandered annually to support a federal management structure that is excessively bloated and that is unavailable to perform "front line production work." These needless layers upon layers of management are not benign. They significantly delay work product getting out timely and they micromanage to justify their existence thereby ultimately creating customer (public) dissatisfaction. The related pay and classification problems have contributed to this "pyramiding" of supervisors upon supervisors to justify grade levels (11)

The interrelated problems described above point to the need for a new mission-driven classification and basic pay system--a system that achieves a better balance between flexibility and accountability, that is simpler to understand and administer, and that can be used proactively as a tool to help reshape the federal government. To achieve change in the classification and pay area without producing chaos, it is essential to develop a flexible system that allows agencies to take incremental steps based on their needs and levels of readiness to assume greater responsibilities.

Actions

1. Remove all grade-level classification criteria from the law while retaining the 15-grade structure. (3)

The director of OPM should submit proposed legislation to Congress by fall 1994 that would repeal the classification criteria for the 15 grades in the General Schedule system now codified in law.(12)

The statutory classification criteria have remained essentially unchanged since 1949 (13) The government should have the flexibility to make changes in the classification criteria in response to changes in the work world without going through the legislative process. Initially, OPM should administratively adopt the existing criteria and then make changes as warranted.

In addition to providing needed flexibility, removing the classification criteria from the law would also help reinforce the idea that, like private sector employees, federal employees do not have a statutory entitlement to a precise grade or pay level.

2. Provide agencies with flexibility to establish broadbanding systems built upon the General Schedule framework. (3)

The director of OPM should submit proposed legislation to Congress by fall 1994 that would (1) authorize OPM to approve the banding of GS grades (and associated pay ranges), subject to the condition that the content definition of any band be linked to the GS grade-level definitions, and (2) reduce the restrictions on the demonstration project authority so that it can be a more proactive management tool. The proposed legislation should also include provisions making clear that matters relating to the setting of base pay rates are not conditions of employment subject to collective bargaining. Within one year of enactment of this legislation, OPM should publish detailed information on the initial set of options available to agencies under these new authorities.

OPM should work with agencies to develop standard banding patterns that incorporate job banding, grade banding, and within-band pay progression schemes. Some of these standard patterns may permit the incorporation of blue-collar jobs now under the Federal Wage System. Agencies can choose among the menu of standard patterns without need for OPM approval. In addition, agencies will be able to request OPM approval of minor variations in the standard patterns. OPM approval of these minor variations would not be time-limited.

agency, etc.), with historical data also provided for comparison purposes.

The overall fiscal impact of the proposed changes to the classification system (i.e., broadbanding and decentralization) can be monitored and controlled within agency budget constraints. Agency decisions could produce additional costs in some areas while providing offsetting savings in other areas. As the classification system is simplified and automated and as line managers assume responsibility for classifying positions, the amount of staff years devoted to classification by personnelists (and associated administrative costs) should be significantly reduced in the long term.

No cost estimate can be assigned to the special pay flexibilities being proposed since they are discretionary. It is presumed that agencies will have to absorb within their budgets any increased costs associated with use of these discretionary authorities. It should be noted that elimination of the fixed steps in the GS pay system would prevent $80 million in conversion costs (not anticipated in the President's budget) that would otherwise result from slotting PMRS- covered managers back into a fixed-step schedule.

Cross References to Other NPR Accompanying Reports

Improving Financial Management, FM04: Increase the Use of Technology to Streamline Financial Services.

Endnotes

1. National Academy of Public Administration (NAPA), Modernizing Federal Classification: An Opportunity for Excellence (Washington, D.C., July 1991), pp. 20-21.

2. Title 5, United States Code, sec. 5305.

3. Title 5, United States Code, sec. 5304.

4. NAPA, Leading People in Change: Empowerment, Commitment, Accountability (Washington, D.C., April 1993), p. 38.

5. U.S. Office of Personnel Management, Survey of Federal Employees (Washington, D.C., May 1992), p. 60.

6. NAPA, Modernizing Federal Classification, back cover.

7. U.S. Merit Systems Protection Board (MSPB), OPM's Classification and Qualification Systems: A Renewed Emphasis, A Changing Perspective (Washington, D.C., November 1989), p. 12.

8. NAPA, Leading People in Change, p. 38.

9. International Personnel Management Association, Federal Section, "Critical Personnel Management Issues: Position Classification," February 1991, p. 6.

10. MSPB, p. 10-11.

11. Letter from John N. Sturdivant, National President of the American Federation of Government Employees, to Roy Tucker, member of the National Performance Review staff, May 14, 1993, p. 6.

12. Title 5, United States Code, sec. 5104.

13. Minor changes to the GS-5 and GS-7 definitions were made in the Federal Employees Salary Increase Act of 1958.

14. Title 5, United States Code, sec. 4703.

15. Title 5, Code of Federal Regulations, Part 470.

16. In the case of occupational fields that do not fit well in the standard GS classification and pay framework, special governmentwide occupational systems can be approved by the President's Pay Agent (i.e., the director of OPM, the director of OMB, and the Secretary of Labor) under current law. See 5 U.S.C. 5392.

17. Braddick, Carol A., Michael B. Jones, and Paul M. Shafer, "A Look at Broadbanding in Practice," Journal of Compensation and Benefits (July-August 1992), pp. 28-32; and U.S. Office of Personnel Management, Broad-banding in the Federal Government: Management Report (Washington, D.C., February 1993), pp. 14-22.

18. See also "HRM01, Create a Flexible and Responsive Hiring System," action 5.

19. Ibid.

20. Title 5, United States Code, sec. 2302.

21. See "HRM05, Strengthen Systems to Support Management in Dealing with Poor Performers," regarding proposed change that would bar a period of inadequate performance from being counted toward the waiting period for a within-grade increase.

22. Under current law, employees' special rates can be reduced or terminated, however, such employees are covered by statutory pay retention rules that may provide entitlement to partial annual increases. At the same time, the law can be read to limit agencies' discretion to not apply general increases in pay and, thus, to effect a phase-out of special rates without absolute reductions in basic pay entitlement. Under the proposal, the law would be amended to make it clear that employees are not entitled to have a special salary rate automatically adjusted when there is a general increase in General Schedule rates.

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Reinvention Comments
Technical Comments

ATTACHMENT N

SAMPLE POSITION DESCRIPTION

STATE OF HAWAII
POSITION DESCRIPTION

Approved Date:
Effective Date:

THIS POSITION DESCRIPTION IS NOT CONSIDERED OFFICIAL UNTIL ACTION IS TAKEN BY THE APPOINTING AUTHORITY

POSITION INFORMATION

POSITION NUMBER: 1234
BAND: A
CAREER GROUP: Information Technology
FUNCTIONAL TITLE: Systems Analyst
DEPARTMENT: Department of Accounting and General Services
DIVISION: ICSD
BRANCH:

SUPERVISOR POSITION NO., CAREER GROUP, & WORKING TITLE:
2356, Information Technology, Systems Analyst

MAJOR DUTIES AND RESPONSIBILITIES:
(Note: ** denotes Essential Functions)

- **Writes program instructions from diagrams developed by others.
- **Devises program logic, diagrams and instructions for programs and program segments of limited scope and difficulty.
- **Under close supervision, prepares and/or modifies simple application program test data and documentation.
- **Modifies existing routines to accommodate limited subject matter or specification changes.
- **Participates in equipment installation activities to learn specialized area(s) of work; e.g., computer operations, coding, diagramming, programming, etc.
- **Under close supervision, assists with identifying and resolving user problems involving applications installed on various platforms; and verifying system changes.

- **Under close supervision, assists with analysis of telecommunication services and user needs; and analysis of telecommunication system malfunctions.
- **Under close supervision, assists with unit, system and/or usability testing to evaluate hardware and software products to determine success in meeting user needs and/or standards.
- **Under close supervision, assists with monitoring and tracking of actual IT security risks, threats, and/or violations.
- **Performs routine debugging according to established methods and procedures to resolve problems with low impact on others.
- **Assists higher level specialists with establishing and maintaining data dictionaries and standard glossaries of terms.
- **Reviews system logs to identify events and errors; and runs basic tests on hardware/software to resolve simple problems.
- **Under close supervision, assists with creating, editing, and/or maintaining web pages.
- **Under close supervision, assists with Internet server monitoring and maintenance.
- **Installs and updates basic PC configurations; and troubleshoots hardware/networking problems of simple to moderate complexity.
- **Assists with database definition of data files and tablespaces.
- **Conducts studies of work processes, procedures, and operations of limited complexity and difficulty as they relate to the conversion of data to a computer-based information system, and analyzes and identifies problems and needs.
- **Performs various fact-finding tasks of limited complexity and difficulty and develops preliminary evaluations and recommendations; develops plans, procedures, test data and documentation for implementing a computerized system of limited complexity and difficulty.
- **Analyzes, evaluates, and makes recommendations to a higher level specialist on methods and procedures related to assigned projects.
- **Performs application maintenance and minor modifications of a program.
- **Participates with higher level specialists in designing report formats; determining data elements, data dictionary, and database design; or development and maintenance of a system.
- **Prepares system documentation, operational and user procedural manuals.

- **Assists with program coding and development to assure consistency with program design specifications.
- **Creates and modifies programs for a client/server system according to established specifications.
- **Converts generalized process or flow charts of limited complexity and difficulty into detailed plans, diagrams or charts depicting the operational sequences required for a variety of specific work processes.
- **Assists with gathering users' service and equipment needs for client applications, hardware and software product, network infrastructure and/or telecommunications activity.
- **Researches hardware/software information, and drafts specifications.
- **Coordinates equipment installations, modifications and/or changes.
- **Maintains backup, batch queuing, directory maintenance, capacity and resource management, and printing systems.
- **Performs standard maintenance, preventive maintenance, modification, testing, debugging, disaster preparedness, and testing and recovery processing according to appropriate standards.
- **Assists users in resolving simple connectivity problems, problems logging onto a system, and/or using security software.
- **Identifies, monitors, tracks and reports potential and/or actual IT security risks, threats, and/or violations.
- **Prepares standard documentation for the maintenance and processing of application programs and subsystems.
- **Develops test data and test plans for application programs and subsystems, including the backup of test data for regression testing.
- **Assists in setting up a live web cast, configuring a web server, and/or programming Internet applications.
- **Monitors and ensures user requirements and vendor operational requirements.
- **Utilizes system and database utilities to develop and maintain database test data for regression testing of changes to an application.

- Other duties as assigned.

SUBORDINATES

POSITION NUMBER, CAREER GROUP, & WORKING TITLE:

This position does not supervise.

MINIMUM QUALIFICATION REQUIREMENTS

EDUCATION AND EXPERIENCE REQUIREMENTS:

- Graduation from an accredited four (4) year college or university with a bachelor's degree; and none (0) to two (2) years of IT work experience which includes professional work experience in at least one IT specialty area; or any equivalent combination of training and experience.

COMPETENCIES:

- CUSTOMER FOCUS: Demonstrates concern for meeting internal and external customers' needs in a manner that provides customer satisfaction; builds and maintains customer satisfaction with the products and services offered by the organization.

- INITIATIVE: Initiates work independently; does more than is required or expected in the job to improve or enhance products and services; plans ahead for upcoming problems or opportunities and takes appropriate action.

- READING: Understands and interprets simple to moderately complex written material such as correspondence, charts, instructions, reports.

- WRITING: Uses correct English grammar, punctuation and spelling; communicates information in a succinct and organized manner; composes documents or correspondence involving simple, routine or moderately complex information.

- ORAL COMMUNICATION: Expresses information to individuals and groups effectively, taking into account the audience and nature of the information.

- DECISION MAKING: Makes sound and timely decisions when a limited number of alternatives are given. Decisions involve routine or moderately complex situations and impacts one's own work.

- PROBLEM SOLVING: Identifies and analyzes moderately complex problems logically and systematically; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations.
- REASONING: Identifies rules, principles or relationships that explain facts, data or other information; analyzes simple or moderately complex information; makes correct inferences and draws accurate conclusions by applying rules involving few steps.

- INFORMATION MANAGEMENT: Gathers information from one or two sources identified by others; organizes and maintains information using clearly outlined guidelines.

- INTERPERSONAL SKILLS: Deals effectively with others; establishes and maintains effective working relationships with others; treats others with courtesy and tact.

- TECHNICAL COMPETENCE: Understands and applies knowledge of information technology principles, concepts, standards, policies and procedures; computer hardware, software, languages and procedures; personal computer (PC), server, mini and/or mainframe operating systems; basic mathematics; problem solving methods and techniques; and report writing.

SUPPLEMENTAL MINIMUM QUALIFICATIONS (Includes licenses, certificates, tools, equipment, etc., required to perform the essential functions of the position):

- Excellent verbal and written communication skills, analytical ability
- Valid license to drive in the State of Hawaii

DESIRABLE QUALIFICATIONS:

- Working knowledge of JAVA

WORKING CONDITIONS:

- See Supplement to Position Description

ATTACHMENT O

Classification Report for Civil Service IT Broadbanding Pilot Project

Date: Click here to enter a date.

Position #: Click here to enter number.

Functional Title: Click here to enter Functional Title.

BU: Click here to enter BU.

Location: Click here to enter Dept/Div/Br.

Career Group: Click here to enter Career Group. Effective Date: Click here to enter a date.

Type of Action: (Check one box)
☐ New ☐ Redescription
☐ Other: Click here to enter text.

Position Status: (Check one box)
☐ Filled ☐ Vacant

Career Group Justification: (Provide your justification based on duties and responsibilities.)
Click here to explain.

Band Determination (check one band and the appropriate SR/EM box)

☐	Band A	Entry/ Trainee:	☐	SR-18	Receives on-the job training and assignments range from simple to moderately complex; receives specific instructions on all aspects of work.
		Independent Worker:	☐	SR-20	Performs moderately complex professional work in accordance with established policies, guidelines and procedures.
☐	Band B	Journey Worker:	☐	SR-22	Independently performs the full range of professional work.
			☐	SR-24	Serves as project lead, or subject matter expert.
					For both levels: Works independently; exercises discretion and judgement; interprets policies; exercises considerable authority, judgement and has decision-making responsibility.
☐	Band C	Supervisor:	☐	SR-24	Supervises at least one SR-22 subordinate
			☐	SR-26	Directly supervises or supervises through subordinate supervisor(s) at least one SR-24 subordinate.
			☐	SR-28	Supervises at least one SR-24 subordinate; responsible for a highly complex IT program (include a description of the scope of the program to the band assignment justification below)
☐	Band D	Excluded Manager:	☐	EM-05	Directly manages, assists in managing or administers a major program through subordinate managers and/or assistant managers/administrators; responsible for accomplishing program goals and objectives; involved in policy making matters with considerable discretion in resource utilization; and receives general administrative direction from higher level administrator or Department Director/Deputy Director. Also includes Foremost Technical Expert Concept; requires approval of DHRD Director in consultation with the Governor.
			☐	EM-06	
			☐	EM-08	

Band Assignment Justification: (Provide your justification based on duties and responsibilities.)
Click here to explain

I certify that the position description is in conformance with the approved organizational chart and functional statement.

Prepared by: Click here to enter e-signature.

Reviewed by: Click here to enter e-signature.

Approved by: Click here to enter e-signature.

UNIT 13 AGREEMENT

ARTICLE 14 - COMPENSATION ADJUSTMENT

A. General Provision.

1. For purpose of clarification, the provisions of this Article shall not be applicable where an Employee moves from one (1) governmental jurisdiction to another, except as specifically provided herein.

2. For purposes of this Article, "basic rate of pay" means the rate of pay assigned to the salary range and step an Employee is receiving as compensation. For an Employee whose position is not assigned to the salary range, "basic rate of pay" shall mean the actual rate of remuneration for services performed in a particular position, not including any differentials.

3. When the effective dates of more than one (1) personnel action coincide, pay adjustments shall be made in the following order:

a. Step movement;

b. Negotiated wage increase;

c. Changeover to a new pay schedule;

d. Repricing;

e. Promotion;

f. Reallocation;

g. Other personnel actions.

4. A leave of absence without pay shall end on the day before the day an Employee reports for duty, provided that if a paid leave or a holiday immediately precedes the Employee's return to duty, the leave of absence without pay shall end on the day before such paid leave or holiday.

5. An Employee who leaves the service without having worked on all scheduled working days for that month shall be compensated pursuant to the following formula: Employee's monthly basic rate of pay plus TD, CD, SD, RD or SAD as applicable x (number of days worked/number of working days in a month, including holidays).

6. An Employee who suffers a disabling personal injury arising out of and in the course of employment, except for an injury caused by the Employee's negligence, willful intention to injure the Employee or others, or by the Employee's intoxication or because of the influence of a non-prescribed controlled substance, shall be credited for a full day's work on the day of the injury regardless of the time the Employee is injured.

7. An Employee who initially was properly compensated following a promotion, the adoption of a new pay schedule, a temporary assignment, pricing or repricing, or any other personnel action affecting pay, shall not be required to make reimbursement when it is found subsequently that an overpayment in salary occurred due to the retroactive feature of a position classification action. However, the proper pay adjustment shall be made as of the first pay period following the date of notice of action by the director.

8. Employees who are receiving a shortage differential shall have their compensation adjusted by provisions contained in a separate supplemental agreement.

B. Compensation Adjustment Upon Promotion.

1. As used in this paragraph, "promotion" means the movement of a regular Employee from the position in which the Employee last held a permanent appointment to a vacant civil service position assigned to a class with a higher pay range in the salary schedule.

2. Effective July 2, 2001, a regular Employee who is promoted shall be compensated as follows:

a. For promotions involving a movement of three (3) or less pay ranges, the Employee shall be compensated at the corresponding step in the higher salary range.

b. For promotions involving a movement of more than three (3) pay ranges, the Employee shall be compensated at the step in the higher salary range which is equal to the rate for promotions involving three (3) pay ranges. If such rate falls below the minimum step, the Employee shall be compensated at the minimum step of the higher pay range.

3. Regular Employees who return to their permanent positions after a promotion on a temporary appointment basis or are released from a new probationary appointment following a promotion shall be compensated as though they had remained in their permanent positions continuously.

C. Compensation Adjustment Upon Demotion.

1. The following definitions shall be applicable to this paragraph:

a. "Demotion" means the movement of a regular Employee from the position in which the Employee last held a permanent appointment to a vacant civil service position assigned to a class with a lower pay range in the salary schedule.

b. "Demotion due to a reorganization" means a demotion of an Employee as a result of a reorganization action.

c. "Demotion to avoid layoff" means a demotion accepted by an Employee to avoid being laid off.

d. "Disciplinary demotion" means a demotion action taken by the appointing authority for disciplinary reasons.

e. "Involuntary demotion" means a demotion action taken by the appointing authority due to the Employee's inability to perform the duties and responsibilities of the Employee's position, or due to the Employee's failure to meet qualification requirements for the position.

f. "Non-service connected disability demotion" means the movement of an Employee to a vacant civil service position assigned to a class with a lower pay range in the salary schedule, due to a disability sustained by the Employee other than while performing the duties and responsibilities of the Employee's position.

g. "Service connected disability demotion" means the movement of a regular Employee or an Employee serving an initial probationary period to a vacant civil service position assigned to a class with a lower pay range in the salary schedule, due to a disability sustained by the Employee while performing the duties and responsibilities of the Employee's position.

h. "Voluntary demotion" means a demotion requested by an Employee and granted by the appointing authority.

2. Disciplinary or Involuntary Demotion.

a. A regular Employee who is involuntarily demoted or who is demoted for disciplinary reasons shall be compensated at the corresponding step in the lower salary range or any lower step in the lower salary range.

b. Upon release from a disciplinary demotion given on a temporary basis, a regular Employee shall be compensated as though the Employee had remained in the former position continuously.

3. Demotion to Avoid Layoff; Demotion Due to Reorganization; Service Connected Disability Demotion.

An Employee who accepts a demotion to avoid layoff; or is demoted due to a reorganization; or who receives a service connected disability demotion, shall retain the Employee's basic rate of pay; provided:

a. If the Employee's basic rate of pay falls between two (2) steps in the lower pay range, the Employee shall be compensated at the step in the lower pay range whose rate is immediately below the Employee's basic rate of pay and shall be entitled to a temporary differential.

b. If the Employee's basic rate of pay falls above the maximum step in the lower pay range, the Employee shall be compensated at the maximum step and shall be entitled to a temporary differential.

4. Non-Service Connected Disability Demotion.

An Employee who receives a non-service connected disability demotion shall be compensated as provided below:

a. Effective July 2, 2001, a regular Employee who has fifteen (15) or more years of continuous service in the civil service of the Employee's governmental jurisdiction shall retain the Employee's basic rate of pay; provided that:

1) If the Employee's basic rate of pay falls between two (2) steps in the lower pay range, the Employee shall be compensated at the step in the lower pay range whose rate is immediately below the Employee's basic rate of pay and shall be entitled to a temporary differential.

2) If the Employee's basic rate of pay falls above the maximum step in the lower pay range, the Employee shall be compensated at the maximum step and shall be entitled to a temporary differential.

b. A regular Employee with at least five (5) years but less than fifteen (15) years of continuous service in the civil service of the Employee's governmental jurisdiction shall retain the Employee's basic rate of pay for a period beyond the effective date of the demotion as follows:

Years of Service	Months of Compensation Retention
5	12
6	14
7	16
8	18
9	20
10	22

11	24
12	26
13	28
14	30

1) If the Employee's basic rate of pay falls between two (2) steps in the lower pay range, the Employee shall be compensated at the step in the lower pay range whose rate is immediately below the Employee's basic rate of pay and shall be entitled to a temporary differential.

2) If the Employee's basic rate of pay falls above the maximum step in the lower pay range, the Employee shall be compensated at the maximum step and shall be entitled to a temporary differential.

c. The basic rate of pay of a regular Employee with less than five (5) years of continuous service in the civil service of the Employee's governmental jurisdiction, or a regular Employee whose retention period as prescribed in clause b., has expired, shall be adjusted in the manner of adjustments for service-connected disability demotion, provided the Employee shall not be entitled to temporary differential.

5. Voluntary Demotion.

a. Effective July 2, 2001, a regular Employee who accepts a voluntary demotion shall be compensated as follows:

1) For voluntary demotions involving a movement of three (3) or less pay ranges, the Employee shall be compensated at the corresponding step in the lower pay range.

2) For voluntary demotions involving a movement of more than three (3) pay ranges, the Employee shall be compensated at the step in the lower pay range which is equal to the rate for voluntary demotions involving three (3) pay ranges. If such rate falls above the maximum step in the lower pay range, the Employee shall be compensated at the maximum step of the lower pay range.

b. Upon return to the position in which an Employee last held a permanent appointment, a regular Employee who is demoted on a temporary appointment basis or who is released from a new probationary appointment following a demotion shall be compensated as though the Employee had remained in the former position continuously.

D. Compensation Adjustment Upon Transfer.

1. "Transfer" means the movement of a regular Employee from the position in which the Employee last held a permanent appointment to a vacant civil service position which is in the same class or in a different class assigned to the same pay range in the salary schedule.

2. A regular Employee who is transferred shall continue at the same basic rate of pay.

E. Compensation Adjustment Upon Reallocation.

1. The following definitions shall be applicable to this paragraph:

a. "Reallocation downward" means the reallocation of a position to a class assigned to a lower pay range in the salary schedule.

b. "Reallocation upward" means the reallocation of a position to a class assigned to a higher pay range in the salary schedule.

2. Compensation following reallocation upwards shall be adjusted in the manner as adjustments for promotion.

3. Compensation adjustment for a reallocation downwards shall be in the manner prescribed in paragraph C.3. However, when downward reallocations are due to disciplinary, involuntary, or voluntary reasons, the Employee's basic rate of pay shall be adjusted in the manner as adjustments for disciplinary, involuntary, or voluntary demotions, as applicable.

4. Compensation following reallocation of a position in a class to the same pay range shall be adjusted in the manner of adjustments for transfer.

5. Upon return to the original classification of the Employee's position after a temporary reallocation upward, the Employee shall be compensated at the rate the Employee would have received were it not for the temporary reallocation.

F. Compensation Adjustment Upon Repricing.

1. The basic rate of pay of an Employee whose position is in a class which is repriced to a higher pay range shall be adjusted in the manner as adjustments for promotion.

2. The basic rate of pay of an Employee whose position is in a class which is repriced to a lower pay range shall be adjusted in the manner as adjustments are prescribed in paragraph C.3.

G. Compensation of Employees Selected from an Open Competitive List Resulting from a Recruitment Above the Minimum.

Notwithstanding any paragraph in this Article, Employees selected through an open competitive recruitment which permits hiring above the first step may be compensated at a rate determined by the Employer upon their appointment from the open competitive list; provided that the amount the Employee will receive is not less than the amount the Employee would have received if the Employees were compensated in accordance with the applicable paragraph.

H. Permanent Differential.

1. An Employee may be eligible for a permanent differential as may be provided by Article 51.

2. The permanent differential shall not be considered part of an Employee's basic rate of pay.

3. The differential shall not be further adjusted by subsequent salary adjustments.

4. When an Employee with a permanent differential is promoted, demoted or transferred, or whose position is reallocated to a class in a higher, the same or lower pay range, the permanent differential shall be continued in the new pay range.

I. Compensation for Temporary Assignment Performed.

Compensation for temporary assignment shall be as follows:

1. Except as provided in subparagraph 6, the basic rate of an Employee who performs temporary assignment involving a position assigned to a class in a higher pay range in the salary schedule shall be adjusted in the manner as adjustments for promotion except that any temporary differential which the Employee was receiving shall not be added to the basic rate of pay but shall be retained by the Employee while performing the temporary assignment.

2. An Employee who performs a temporary assignment involving a position assigned to the same or lower pay range in the salary schedule shall continue to be compensated at the Employee's basic rate of pay prior to the temporary assignment.

3. Whenever a temporary assignment involves the assumption of duties and responsibilities of an exempt position not assigned to a salary range (regardless of whether the exempt position is within the bargaining unit or outside of the bargaining unit), Employees will be compensated at the prescribed statutory rate of pay if such rate is higher than the Employee's existing basic rate of pay. If there is no prescribed statutory rate, the appointing authority may exercise discretion in setting compensation for the temporary assignment; provided, the compensation shall be no less than the Employee's basic rate of pay.

4. Whenever a temporary assignment is made for an exempt Employee whose position is not assigned to the salary schedule, and whose temporary assignment involves the assumption of the significant duties and responsibilities of a position assigned to a salary schedule outside of the bargaining unit, the following will be used to determine whether the assignment is to a higher pay range.

The maximum rate for the class to which temporary assignment is made is higher than the Employee's existing rate; provided, the dollar difference between the two is more than five percent (5%) of the Employee's existing basic rate of pay.

If the temporary assignment is to a position in a higher pay range, as determined above, the Employee will be compensated at that step in the higher pay range which exceeds the Employee's existing rate by five percent (5%). If there is no step in the higher pay range which rate exceeds the Employee's basic rate of pay by at least five percent (5%), the Employee shall be compensated at the maximum step in the higher pay range or at the Employee's basic rate of compensation, whichever is greater.

If the temporary assignment does not involve a higher pay range as determined above, the Employee shall be compensated pursuant to subparagraph 2.

5. Whenever a temporary assignment involves the assumption of the duties and responsibilities of a position in the Excluded Managerial Compensation Plan (EMCP), such assignment shall be compensated in accordance with the provisions that are applicable to Excluded Managerial (EM) Employees.

If the temporary assignment does not involve a higher pay range as determined above, the Employee shall be compensated pursuant to subparagraph 2.

6. Compensation adjustments shall not be provided for the following:

a. An Employee whose position includes assuming the duties and responsibilities of the Employee's superior in the absence of the superior and which assignment is recognized in the Employee's position classification and pricing.

b. An Employee who performs duties in accordance with the terms of a formal training agreement entered into with the Employee's department head and approved by the director.

J. Temporary Differential Pay.

1. An Employee shall be eligible for temporary differential pay as may be provided in this Article. The amount of TD pay shall be the difference between the Employee's basic rate of pay prior to the action taken and the Employee's new basic rate of pay.

2. The TD pay shall not be considered part of an Employee's basic rate of pay.

3. The TD pay shall be reduced by an amount equal to any adjustment in the Employee's basic rate of pay due to promotion, upward reallocation, or repricing upward actions. When the adjustment due to these actions is greater than or equal to the TD pay, the TD pay shall be terminated.

4. When an Employee with TD pay is demoted or transferred, or whose position is reallocated to a class in the same or lower pay range, the TD shall be continued in the new pay range.

K. Compensation Adjustment for Non-Regular Employees.

1. Movements of non-regular Employees to other civil service positions shall not be classified as promotions, transfers, or demotions, but shall be considered as new appointments and compensation adjustments upon these new appointments shall be as prescribed in this paragraph.

2. A non-regular Employee who is moved from the position in which the Employee was serving a probational appointment to another position assigned to the same salary range shall continue at the same basic rate of pay.

3. A non-regular Employee who is moved from the position in which the Employee was serving a temporary appointment to another position in the same salary range and salary schedule and in the same department shall continue at the same basic rate of pay.

4. Non-regular Employees serving temporary appointments who are converted to initial probational or permanent appointments in the same positions that the Employees were serving temporary appointments will continue to receive the same basic rate of pay they were receiving while serving temporary appointment.

5. The compensation of a non-regular Employee after a personnel transaction other than as described in subparagraphs 2, 3, and 4, shall be at the initial step of the salary range.

L. Compensation Adjustment for Exempt Employees Accepting Civil Service Appointments, or Whose Exempt Positions are Converted to Civil Service Positions.

1. Exempt Employees who move to civil service positions or who are granted civil service status pursuant to legislation shall not have the transaction considered as promotions, transfers, or demotion. Such transactions shall be considered new appointments and pay adjustments upon these new appointments shall be as prescribed in this paragraph.

2. An exempt Employee who is granted civil service status pursuant to legislation shall retain the basic rate of pay the Employee was receiving immediately prior to being granted civil service status; provided:

a. If the Employee's rate of pay falls between two (2) steps in the salary schedule, the Employee shall be compensated at the lower step.

b. If the Employee's rate of pay falls below the minimum step of the salary schedule, the Employee shall be compensated at the minimum step.

c. If the Employee's rate of pay falls above the maximum step of the salary schedule, the Employee shall be compensated at the maximum step.

3. Exempt Employees selected from an open competitive list to civil service positions other than as described in subparagraph 1, shall be compensated at the initial step of the salary range.

M. Compensation Adjustment for Employees Moving to Exempt Appointments.

Movements of Employees to exempt positions shall not be classified as promotions, transfers, or demotions, but shall be considered as new appointments and compensation adjustments upon these new appointments shall be as follows:

1. The Employee shall be compensated at the prescribed statutory rate for the exempt position; or,

2. If there is no prescribed statutory rate, then the rate determined by the appointing authority.

N. Compensation Adjustments for Regular Employees Serving Limited Term Appointments, Temporary Appointments, or New Probational Appointments, in Another Position.

1. Regular Employees serving limited term appointments, temporary appointments, or new probational appointments, who are promoted, transferred, or demoted, or whose permanent position is reallocated or repriced shall have their compensation adjusted from their permanent positions pursuant to paragraphs B, C, D, E, or F, as applicable, except as follows:

a. An Employee who is moved from the position in which the Employee was serving a probational appointment to another position assigned to the same salary range shall continue at the same basic rate of pay.

b. An Employee who is moved from the position in which the Employee was serving a temporary appointment to another position in the same class and in the same department shall continue at the same basic rate of pay.

2. Regular Employees serving limited term or other temporary appointments who are converted to probational or permanent appointments in the same positions that they were serving on a limited term or other temporary appointment basis shall continue to receive the same basic rate of pay they were receiving while serving the limited term or temporary appointment.

O. Compensation Adjustments Following an Intergovernmental Movement Made Pursuant to Law.

When an intergovernmental movement has been made pursuant to law, the compensation of the regular Employee involved shall be adjusted as follows:

1. If the result of the intergovernmental movement is that the Employee moves to a position assigned to a class with a higher pay range in the salary schedule than the previous pay range, the Employee's compensation shall be adjusted in the manner as adjustments for promotion.

2. If the result of the intergovernmental movement is that the Employee moves to a position assigned to a class with the same pay range in the salary schedule as the previous pay range, the Employee's compensation shall be adjusted in the manner of adjustments for transfer.

3. If the result of the intergovernmental movement is that the Employee moves to a position assigned to a class with a lower pay range in the salary schedule than the previous pay range, the Employee's compensation shall be adjusted in the manner as adjustments for voluntary demotion.

P. Step Movements.

1. All step movement costs under this paragraph shall be included in the costs of collective bargaining and submitted to the respective legislative bodies for approval at the appropriate time.

2. The following definitions shall be applicable to this paragraph:

a. "Step movement" means the movement of an Employee to the next step, within the same pay range which rate immediately exceeds the Employee's basic rate of pay.

b. "Step movement date" means the date the Employee is to be granted a step movement after rendering the minimum number of years of creditable service.

3. In determining creditable service for step movement, the following shall apply:

a. "Service" means employment service on a step in any Employer jurisdiction in an existing or former position, which is or has been included in bargaining unit 13 or which would have been included in bargaining unit 13 were it not excluded there from, provided there is no break in service.

b. "Break in service" for purposes of this paragraph, means a separation from service or a movement out of the bargaining unit; provided that a new appointment within the bargaining unit on the next consecutive work day shall not constitute a break in service.

c. Service throughout a work year shall be creditable for a step movement provided that the following shall be considered time not creditable:

1) absences without pay, except as provided in subparagraph 3.d below;

2) absences due to suspension; or

3) any period of substandard performance.

d. A period of authorized leave without pay for the following purposes shall be construed as creditable service:

1) to be on sabbatical leave,

2) to recuperate from an injury for which workers' compensation weekly payments are made, or

3) to be on military service where the President of the United States or the governor of the State has called the Employee to active duty.

4. Determining Step Movement Date.

a. Subject to adjustment for all periods of time not creditable as provided in subparagraph 3.c, the step movement date shall be determined as follows:

1) For Employees in the bargaining unit as of June 30, 1993, the step movement date shall be determined by the most recent date of hire.

2) For Employees who enter a position in the bargaining unit after June 30, 1993, the step movement date shall be determined by the date the Employee initially entered a position in the bargaining unit.

3) For Employees who re-enter a position in the bargaining unit after June 30, 1993, the step movement date shall be determined by the date the Employee re-entered a position in the bargaining unit.

b. The Employee's step movement date determined under 4.a shall not be adjusted upon movement to another position in the bargaining unit without a break in service, regardless of Employer jurisdiction.

5. Eligibility for Step Movement.

a. Any Employee who is at a step or rate below the maximum step of the pay range shall be eligible for and shall receive a step movement on the Employee's step movement date, provided the Employee has completed the minimum number of years of satisfactory creditable service required for advancement to the next higher step.

Effective July 1, 1995, the minimum number of years of satisfactory creditable service required for advancement to the next higher step shall be amended as specified in the following; provided that time earned at a step, shall be credited toward eligibility for a step movement in the following:

Existing Step	Minimum No. of Years of Creditable Service at Existing Step Before Movement to Next Step
C	2
D	2
E	2
F	3
G	3
H	3
I	3
J	3
K	3

Effective July 1, 2008, the minimum number of years of satisfactory creditable service required for advancement to the next higher step shall be amended as specified in the following; provided that time earned at a step in the above shall be credited toward eligibility for a step movement in the following:

Existing Step	Minimum No. of Years of Creditable Service at Existing Step Before Movement to Next Step
C	2
D	2

E	2
F	3
G	3
H	3
I	3
J	3
K	3
L	3 and also 27 or more years of creditable service in the bargaining unit

b. The Employee shall not be entitled to receive a step movement on a date earlier than the Employee's step movement date and any time earned in excess of the minimum time required for the step movement is voided upon movement to the next higher step in the same pay range.

6. Effect of Personnel Actions.

a. Promotion, Demotion, Reallocation or Repricing

Notwithstanding subparagraph 5 above, an Employee who is promoted, demoted or whose position is reallocated or repriced to another pay range shall be credited with time earned in the former pay range or pay ranges toward eligibility for a step movement in the new pay range.

b. Transfer or Reallocation to a Class at Same Pay Range

An Employee who is transferred or whose position is reallocated to a class in the same pay range shall not lose time earned toward eligibility for a step movement increase.

c. Return to Position Following Release from Limited Term, Provisional or New Probationary Appointment

An Employee who returns to the Employee's permanent position following release from a limited term, provisional or new probationary appointment, whether from a position within the bargaining unit or from a position outside the bargaining unit, shall be credited with service rendered as though the Employee had remained in the former position continuously.

7. Crediting Service Applicable for Step Movement Beginning July 1, 1995.

a. For Employees in the bargaining unit as of June 30, 1993, time earned toward eligibility for a step movement under this paragraph shall begin with service rendered as of July 1, 1993.

b. For Employees who entered the bargaining unit on or after July 1, 1993, time earned toward eligibility for a step movement under this paragraph shall begin with service rendered from the date the Employee entered the bargaining unit.

c. Step movements under this paragraph shall take place no earlier than July 1, 1995.

8. Crediting Service Applicable for Step Movement Beginning July 1, 2003 for Employees who received shredding adjustments from July 2, 2001 to June 30, 2003.

Employees who received shredding adjustments on July 2, 2001 (Mass Shred) and/or their step movement dates from July 2, 2001 to June 30, 2003 (individual shred) shall be credited with time earned toward eligibility for step movement under Paragraph P of Article 14, Compensation Adjustments from service rendered as of the later of the following dates:

a. the date from July 1, 1999 to July 1, 2001 that the Employee met the minimum years of creditable service for the step on which the Employee was placed in the mass shred on July 2, 2001.

OR

b. the service anniversary date from July 2, 2001 to June 30, 2003 that the Employee received an individual shred adjustment.

Q. Other Compensation Adjustments.

Compensation adjustments not expressly provided for by this Agreement but necessitated by authorized personnel movements or situations shall be made by the chief personnel or human resources executive, as applicable; provided that consultation shall take place with the Union prior to effecting any adjustments under this paragraph.

Attachment Q

Compensation Adjustments
For Civil Service IT Broadbanding Pilot Project

"In-band maximum" refers to the maximum compensation allowed for the applicable pay range in the IT Broadbanding Pilot Project, including base pay, shortage differential, and in-band amounts. The in-band maximum shall equal 8% above the salary range maximum (rounded down to the nearest dollar). The salary range maximum up to the in-band maximum shall be reserved for in-band amounts only.

Part I – Compensation Adjustments Within the Civil Service IT Broadbanding Pilot Project

Type of Adjustment	Pay Adjustment
Across-the-board Pay Adjustment	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's shortage differential (SD) and in-band amount(s) shall remain the same.
Step Movement (For Bands A, B and C)	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same provided the sum of the new basic rate of pay + SD + in-band amount(s) is less than or equal to the in-band maximum. 4. If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the in-band maximum, the employee's total in-band amount shall be reduced to equal the difference between the in-band maximum minus the sum of the employee's new basic rate of pay + SD. 5. If the employee's total in-band amount is required to be reduced, the in-band amount(s) shall be reduced in the following order: • Retention • Internal Alignment • Change in the DNHR • Professional Growth
Transfer, Promotion	1. Adjust the employee's basic rate of pay: a) As provided in the contract or applicable authority; or b) To a step not to exceed the salary matrix amount, provided it is not less than the pay adjustment as provided in the contract or applicable authority.

Attachment Q

	2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same provided the sum of the new basic rate of pay + SD + in-band amount(s) is less than or equal to the in-band maximum. 4. If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the in-band maximum, the employee's total in-band amount shall be reduced to equal the difference between the in-band maximum minus the sum of the employee's new basic rate of pay + SD. 5. If the employee's total in-band amount is required to be reduced, the in-band amount(s) shall be reduced in the following order: • Retention • Internal Alignment • Change in the DNHR • Professional Growth
Demotion • To Avoid Layoff • Due to Reorganization • Service Connected Disability	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same.
Demotion • Disciplinary • Involuntary • Voluntary	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same provided the sum of the new basic rate of pay + SD + in-band amount(s) is less than or equal to the in-band maximum. 4. If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the in-band maximum, the employee's total in-band amount shall be reduced to equal the difference between the in-band maximum minus the sum of the employee's new basic rate of pay + SD. 5. If the employee's total in-band amount is required to be reduced, the in-band amount(s) shall be reduced in the following order: • Retention • Internal Alignment • Change in the DNHR • Professional Growth

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Reallocation Upward/ Rebanding Upward (Permanent or Temporary)	1. Adjust the employee's basic rate of pay: a) As provided in the contract or applicable authority; or b) In extraordinary cases, an exception beyond the standard compensation adjustment for permanent or temporary, reallocation upward or rebanding upward, may be approved by the Appointing Authority provided it does not exceed the maximum of the salary range. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same provided the sum of the new basic rate of pay + SD + in-band amount(s) is less than or equal to the in-band maximum. 4. If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the in-band maximum, the employee's total in-band amount shall be reduced to equal the difference between the in-band maximum minus the sum of the employee's new basic rate of pay + SD. 5. If the employee's total in-band amount is required to be reduced, the in-band amount(s) shall be reduced in the following order: • Retention • Internal Alignment • Change in the DNHR • Professional Growth
Reallocation Downward/ Rebanding Downward • To Avoid Layoff , • Due to Reorganization • Service Connected Disability	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same.
Reallocation Downward/ Rebanding Downward • Disciplinary • Involuntary • Voluntary	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall remain the same provided the sum of the new basic rate of pay + SD + in-band amount(s) is less than or equal to the in-band maximum.

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	4. If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the in-band maximum, the employee's total in-band amount shall be reduced to equal the difference between the in-band maximum minus the sum of the employee's new basic rate of pay + SD. 5. If the employee's total in-band amount is required to be reduced, the in-band amount(s) shall be reduced in the following order: • Retention • Internal Alignment • Change in the DNHR • Professional Growth
Temporary Assignment to a Higher Pay Range	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The salary matrix shall not apply for temporary assignment. 3. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 4. The employee's in-band amount(s), if any, shall remain the same.
Retention In-band Adjustment (HRMS Code: RA)	1. The employee's existing basic rate of pay, SD, if applicable, and in-band amount(s), if any, shall remain the same. 2. The counteroffer to the employee cannot exceed the offer made by the prospective employer and cannot exceed the in-band maximum. 3. The retention in-band adjustment shall be the difference between the counteroffer minus the sum of the employee's basic rate of pay + SD + in-band amount(s).
Internal Alignment In-band Adjustment (HRMS Code: IA)	1. The employee's existing basic rate of pay, SD, if applicable, and in-band amount(s), if any, shall remain the same. 2. The internal alignment in-band adjustment shall equal the difference between the (Comparable employee's basic rate of pay + SD + in-band amount(s)) - (Subject employee's existing basic rate of pay + SD + in-band amount(s)) The comparable employee's basic rate of pay + SD + in-band amount(s) should not be greater than the in-band maximum.

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Professional Growth In-band Adjustment (HRMS Code: PA)	1. The employee's existing basic rate of pay, SD, if applicable, and in-band amount(s), if any, shall remain the same. 2. Calculate the professional growth in-band adjustment by multiplying the employee's basic rate of pay x .04 (rounded to the nearest dollar). 3. The result shall be the employee's professional growth in-band adjustment, provided that the sum of the employee's basic rate of pay + SD + in-band amount(s) + professional growth in-band adjustment is less than or equal to the in-band maximum. 4. If the sum of the employee's basic rate of pay + SD + in-band amount(s) + professional growth in-band adjustment is greater than the in-band maximum, the employee's professional growth in-band adjustment shall be the difference between the in-band maximum minus the sum of the employee's existing basic rate of pay + SD + in-band amount(s).
Change in the Designated New Hire Rate (DNHR) In-band Adjustment (HRMS Code: DA)	1. The employee's existing basic rate of pay, SD, if applicable, and in-band amount(s), if any, shall remain the same. 2. The change in the DNHR in-band adjustment shall be determined by the appointing authority and shall not exceed the difference between the DNHR + SD, if applicable, and the employee's existing basic rate of pay + SD.

Part II – Compensation Adjustments for Personnel Transactions Out of the Civil Service IT Broadbanding Pilot Project

Type of Adjustment	Pay Adjustment
Personnel Transactions Out of the Civil Service IT Broadbanding Pilot Project	1. Adjust the employee's basic rate of pay as provided in the contract or applicable authority. 2. The employee's SD, if applicable, shall be adjusted according to the applicable supplemental agreement for Compensation Adjustments for Individuals Receiving a Shortage Differential. 3. The employee's in-band amount(s), if any, shall terminate.

Information Technology Broadbanding Pilot Project

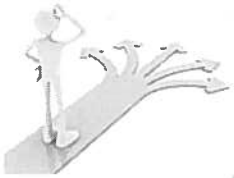
DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT
Revised October 16, 2016

WHAT ARE THE PILOT PROJECT'S GUIDING PRINCIPLES?

- SIMPLICITY – Easy to understand and administer
- FLEXIBILITY – Attract and retain skilled employees
- QUALITY ASSURANCE – Create criteria, processes and safeguards to ensure the integrity of the system; fair and consistent administration.
- COMPENSATION– Create new compensation methodologies to recognize & reward employee knowledge, skills, abilities and growth in the job.
- TRANSPARENCY – In an inclusive, collaborative and open process, create a pilot broadbanding system for information technology related positions in the context of, and respectful of, collective bargaining.
- BUDGET NEUTRAL CONVERSION – New broadbanding system to be budget neutral on conversion with appointing authority able to use new compensation mechanisms, e.g., in-band adjustments, with existing budget.

WHAT IS THE FOCUS OF THE IT BROADBANDING PILOT PROJECT?

- The Pilot Project focuses on the uniqueness of information technology positions and the high demand for specialized knowledge and skills associated with such positions
- Positions in the current IT Specialist I, II, III, IV, V, VI and VII classes, the current IT Manager class, ICS Administrator and Assistant Administrator ICS classes
- Experiences gained from the Pilot Project are to serve as the basis for adjustments and enhancements of the new broadbanding system; and as preparation for expansion of broadbanding to other civil service classes



WHAT CHANGES WILL OCCUR WITH THE IT BROADBANDING PILOT PROJECT?

- From 10 Information Technology Specialist/Manager classes to 1 career group.
- From 10 pay ranges to 4 broad pay bands.
  - Band A: Entry/Independent Worker
  - Band B: Journey Worker/Project Lead/Subject Matter Expert
  - Band C: Supervisor
  - Band D: Manager/Foremost Technical Expert

- Create a new factor-based methodology to determine compensation
- Create new employee based compensation adjustments that considers employee professional growth in the job, retention, and internal alignment.
- Pilot Project to be implemented on a budget neutral basis, with the appointing authority able to apply new compensation adjustments with budgeted funds

WHY INITIATE BROADBANDING FOR INFORMATION TECHNOLOGY POSITIONS?

- Current classification system over 40 years old.
- The existing classification system is inflexible, complex, labor intensive and unresponsive to changing needs, particularly as it relates to information technology positions
- Broadbanding will create a new more flexible framework to classify jobs and provide mechanisms to determine employee-focused compensation
- The University of Hawai'i has had 15 years of successful experience in administering and managing a broadband compensation system for all University professional and technical employees

PROJECT TIMELINE AND TARGET MILESTONES

- April 2015 – Pilot project design initiated
- May 2015 – Pilot project conceptualized and draft of working document initiated
- June 2015 – Draft concepts and definitions completed – dialogue continued with development team and advisory subject matter consultants
- July 2015 – Initiate circulation of working document draft to constituency groups, e.g., Department Directors, HGEA, subject matter experts, etc.
- August 2015 – Continue refinement of working document and re-circulate
- August 2015 – Design training module, develop implementation policies, procedures, forms, and conversion plan
- September 2015 – Refine pilot project plan, policies, procedures, and associated understandings and implementation agreements
- October 2015 – Phase I Pilot Project roll-out

Attachment R

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