

Licensed Health Care Professionals Pilot Project

October 2016

State of Hawaii
Department of Human Resources
Development

EXECUTIVE SUMMARY

This pilot project has been developed in response to challenges reported by the Department of Health (DOH) and the Department of Public Safety (PSD) in recruiting and retaining certain licensed health care professionals that are essential to their departmental operations. The project will initially involve assigning these licensed health care professionals to one of three career groups – physician (including psychiatrists), dentist, or clinical psychologist, and then implementing a new “pay band” that will encompass the pay of all three groups. Successful implementation of the project will enhance the ability of the departments to provide needed services and may also forestall intervention in departmental operations by the U.S. Department of Justice. The focus of the project will be on the following factors: competitive salaries, flexibility in hiring rates, and retention of existing employees.

The project will be referred to as the “Licensed Health Care Professionals (LHCP) Pilot Project.” Besides the traditional practices of promotion and transfer to effectuate pay adjustments for employees, the LHCP Pilot Project will offer new compensation tools to allow for discretionary, employer-initiated pay adjustments based on employee-focused factors such as job-related professional development, incremental changes in assigned duties and responsibilities, internal alignment, and retention. While these new employer-initiated compensation tools are the focal point, collective bargaining will continue to provide the licensed health care professionals with en-masse negotiated pay adjustments.

The Department of Human Resources Development has developed this project as an experimental modernization project pursuant to HRS, Section 78-3.5, in collaboration with the Hawaii Government Employees Association.

Initial implementation of the LHCP Pilot Project is intended to be on a budget-neutral basis; that is, no additional funding will be required to implement the project (with the exception of the exempt psychiatrists at DOH and employees whose current pay is below the minimum of the applicable subzone). Should the compensation provisions contained in the project be applied by DOH or PSD, it is the expectation that the departments will be responsible for any associated costs.

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SECTION I

INTRODUCTION AND BACKGROUND

This pilot project has been developed in response to challenges reported by the Department of Health (DOH) and the Department of Public Safety (PSD) in recruiting and retaining certain licensed health care professionals that are essential to their departmental operations. The purpose of the project is to move away from the traditional methods of classification and compensation and implement a different model that is intended to enhance the departments' ability to recruit/retain physicians (including psychiatrists), dentists and clinical psychologists, which has historically been very difficult. Successful implementation of the project will enhance the ability of the departments to provide needed services and may also forestall intervention in departmental operations by the U.S. Department of Justice. The focus of the project will be on the following factors: competitive salaries, flexibility in hiring rates, and retention of existing employees.

This effort to implement a new compensation methodology for licensed health care professionals is consistent with the current trend in the private sector toward value-based compensation models for physicians that encourage productivity and increased effort/effectiveness, rather than focusing solely upon the volume of services. In a 2013 article entitled, *Strategies for Value-Based Physician Compensation*, authors Jeffrey Milburn and Mary Maurar noted that, "The reimbursement systems are moving from reimbursing on a fee-for-service (FFS) basis to include incentives for quality, outcomes, improved patient experience, and reduced costs. The shift can be summarized as: Paying for value, not volume." Although application of a value-based model is not

exactly the same between the private and public sectors, the general concepts or philosophy can be implemented in both arenas.

Department of Health: For DOH, the affected positions for purposes of the LHCP Pilot Project include positions in the Adult Mental Health Division (AMHD) and the Hawaii State Hospital (HSH), as well as other programs. For the HSH, the facility continues to experience a high census exceeding licensed capacity, which affects the quality of patient care and the safety of patients and staff at the HSH. The physicians at the HSH are responsible for addressing the physical health needs of a patient population that has been court-ordered to the care and custody of the Director of Health for the assessment and restoration of psychiatric fitness to stand trial or for mental health treatment following a verdict of “not guilty by reason of insanity.”

The complexity of the medical conditions treated by the internists at the HSH has significantly changed over the last 10 years. In prior years, the HSH’s population was mainly civilly-committed patients, most of whom were healthy adults except for their psychiatric condition. In contrast, the health condition of current patients at the HSH requires treatment for a plethora of maladies, including drug use-related hepatitis, kidney failure, diabetes, obesity, neurological disorders, dementia, pregnancy complications, and lung disease. The HSH internists thus must be well-trained in urgent care issues, not just routine care.

With regard to positions within AMHD, the forensic psychologist positions are particularly critical. The DOH plays an important role in the State’s justice system with regard to a criminal defendant’s fitness to stand trial and penal responsibility, as well as monitoring individuals on conditional release. Ensuring the timeliness and quality of

forensic analyses in the State judicial system and establishing a system of accountability and efficiency in the administration of forensic examinations are essential components in supporting fair access to justice for the citizens of Hawaii.

Within the past year, a complaint was lodged with the Special Litigation Section of the U.S. Department of Justice, alleging a violation of the Civil Rights of Institutional Persons Act (CRIPA) due to lengthy delays in court-ordered examinations attributable to vacant forensic psychologist positions at the DOH. If not remedied, the Office of Civil Rights may launch an investigation that could culminate in legal action and oversight.

Because of the difficulties experienced in recruiting and retaining licensed health professionals, the DOH has sought exemptions from the civil service for these positions. The proposed LHCP Pilot Project will enable DOH to participate in an organized program with associated methods and documentation that will provide the department with necessary flexibility, while ensuring a consistent application of procedures that have been collaboratively developed with the exclusive collective bargaining representative.

Department of Public Safety: For PSD, the affected positions for purposes of the LHCP Pilot Project are physicians, clinical psychologists and dentists that provide constitutionally-mandated services to the inmate population. Positions in the correctional health care field have historically been difficult to fill due to low compensation rates as compared to community rates and the perceived dangers of the correctional environment.

The recently-dismissed Oahu Community Correctional Center (OCCC) Mental Health Settlement Agreement with the Department of Justice (DOJ) provided PSD with

the opportunity to develop and implement DOJ-approved mental health treatment standards at OCCC. PSD is working to implement these tested treatment standards, incorporated as the Corrections Mental Health Care Reform Program, in the department's other seven facilities as well, for which the legislature previously provided the necessary mental health positions. Thus far, however, PSD's efforts to comply with the DOJ mandate have been delayed due to difficulties encountered in recruiting qualified staff for these critical positions.

Like the DOH, PSD has similarly experienced difficulties in the recruitment and retention of licensed health care professionals. The proposed LHCP Pilot Project will enable PSD to participate in an organized program with associated methods and documentation that will provide the department with necessary flexibility, while ensuring a consistent application of procedures that have been collaboratively developed with the exclusive collective bargaining representative.

SECTION II

BASIC TENETS OF THE PROJECT

1. APPLICABILITY

The LHCP Pilot Project will cover physicians (including psychiatrists), dentists and clinical psychologists at DOH and PSD, both civil service and exempt.

2. COSTS ASSOCIATED WITH THE PROJECT/BUDGET NEUTRALITY

The LHCP Pilot Project includes employer-initiated, employee-focused compensation tools that are designed to increase the departments' flexibility in determining compensation for their licensed medical professionals. Current employees will retain their current rates of pay during the conversion process from the existing classification and compensation system to the proposed system under the LHCP Pilot Project, with such conversion being on a budget neutral basis; that is, at no additional cost and with no compensation adjustments. There will be an exception for the exempt psychiatrists at DOH, who will be converted to pay rates determined by a specific salary schedule developed by the DOH.¹

Following the conversion, DOH and PSD may begin use of the project's compensation adjustment provisions, with the foreknowledge that any and all additional costs associated with implementation of the project shall be the responsibility of the department. Such additional costs may include initial appointments (at rates of

¹ There will also be an exception for employees whose current base salaries fall below the minimum of the applicable subzone. Upon implementation of the project, the salaries (including differentials) of these employees will be increased to the subzone minimum.

compensation in excess of budgeted amounts), retention incentives, internal alignment adjustments, or in-band adjustments awarded to employees.

3. EVALUATION OF THE PROJECT

The LHCP Pilot Project will be evaluated by the extent to which it meets its goal, which is to increase the ability of DOH and PSD to hire and retain physicians, dentists and clinical psychologists to perform critical functions within their departments.

It is anticipated that monthly meetings will be held which will include representatives from DHRD, DOH and PSD to discuss issues regarding implementation of the project, including identifying any needed modifications. The HGEA will be included in the discussion should it be determined that any modifications are of a nature that require consultation and/or negotiation with the union.

4. DURATION OF THE PROJECT

Subject to negotiation with the HGEA, it is anticipated that the LHCP Pilot Project will have a duration of one (1) year, unless terminated earlier by either the State or the HGEA, or extended by mutual agreement. The target effective date is July 2016.

5. MAINTENANCE OF SALARY ADJUSTMENTS

Although the LHCP Pilot Project is a “pilot” and thus may be discontinued in the future, it is the policy and expectation that any salary adjustments made as a result of the project will be maintained, provided the employee remains in a position that was included in the LHCP Pilot Project, even if there is a return to the traditional classification and compensation system.

SECTION III

COMPONENTS OF THE PROJECT

A. CAREER GROUPS

The existing class specifications for the physician, dentist and clinical psychologist series will be replaced with three career groups: Physician, Dentist, and Clinical Psychologist. Any existing levels in the current class specifications will be collapsed; for instance, the four existing classes for clinical psychologists (Clinical Psychologist V – VIII) will be collapsed into two classes – worker and supervisor. There will also no longer be any recognized specialty areas for physicians (e.g., Tuberculosis Physician, Hansen’s Disease Physician, Pediatrician), since all will be subsumed into the generic “Physician” career group.

The new career group specifications for Clinical Psychologist, Dentist and Physician are attached hereto as Attachment A.

B. PAY BAND

The LHCP Pilot Project will implement a single pay band that will encompass all three career groups, which will be referred to as the “Licensed Health Care Professionals (LHCP) Pay Band.” The band will have a minimum annual salary of \$59,736 and a maximum annual salary of \$290,652. Within the band, however, there will be three “zones” reflecting minimum to maximum placement for the three different career groups:

Zone A	Clinical Psychologists
Zone B	Dentists
Zone C	Physicians

(1) Zone A (Clinical Psychologists)

The minimum annual salary for this zone will be \$59,736, with a maximum annual salary of \$148,644. Zone A will be partitioned into subzones LHA1 and LHA2 for workers and supervisors, respectively. Subzone LHA1 will range from \$59,736 to \$148,644 and subzone LHA2 will range from \$67,188 to \$148,644.

(2) Zone B (Dentists)

The minimum annual salary for this zone will be \$76,572, with a maximum annual salary of \$215,424. Zone B will be partitioned into subzones LHB1 and LHB2 for workers and managers, respectively. Subzone LHB1 will range from \$76,572 to \$215,424 and subzone LHB2 will range from \$88,056 to \$215,424.

(3) Zone C (Physicians, including Psychiatrists)

The minimum annual salary for this zone will be \$103,308, with a maximum

annual salary of \$290,652. Zone C will be partitioned into subzones LHC1 and LHC2 for non-psychiatrist workers and managers/administrators, respectively; and subzones LHC3 and LHC4 for psychiatrist workers and managers/administrators, respectively. Subzone LHC1 will range from \$103,308 to \$290,652; subzone LHC2 will range from \$118,800 to \$290,652; subzone LHC3 will range from \$177,672 to \$290,652; and subzone LHC4 will range from \$204,324 to \$290,652.

A depiction of the pay band, zone and subzone information are attached hereto as Attachment B.

C. COMPENSATION

1. Hiring Rates

In the existing system, employees are typically hired at the minimum step of the applicable salary range. Under the LHCP Pilot Project, the determination and recommendation of a new employee's salary will be based upon a salary matrix that focuses on three factors: education, work experience, and work performed. The salary matrix provides a mechanism for rating the employee, with points given for each factor. The salary matrix guidelines for the LHCP Pilot Project are attached hereto as Attachment C. The salary matrix form and schedule are attached hereto as Attachment D.

Taking into account available funding, managers will have the flexibility to offer a new employee a salary ranging from the minimum of the applicable subzone up to the salary matrix amount. Consideration should be given to the salaries of existing employees in similar positions with similar experience, education, training, knowledge, skills, abilities and competencies.

The salary matrix can also serve as an aid in determining appropriate salaries for employees who transfer from one position to another, or employees who are promoted.

2. In-Band Adjustments

In the existing system, employees typically receive salary increases as a result of collective bargaining or through the process of reallocation or promotion to a higher level class. While employees may enjoy the benefit of negotiated

collective bargaining increases, such increases are beyond the control of supervisors, programs or departments.

Under the LHCP Pilot Project, “in-band adjustments” will offer new tools for effectuating salary adjustments when circumstances warrant it, and when funding is available. In-band adjustments are non-competitive pay practices which provide managers with flexibility to adjust employees’ salaries within their applicable subzones (not applicable to employees hired for 89 days or less). The intent is that these adjustments will assist in attracting and retaining competent employees and in rewarding employees for professional growth. Employees will no longer have to move to a higher class in order to receive increased compensation. The in-band adjustments will be in addition to, and will not supplant, pay adjustments negotiated through the collective bargaining process.

The LHCP Pilot Project will include the following in-band adjustments:

- In-Band Adjustment for Retention. This is a pay adjustment that may be used to retain a key employee with knowledge, skills, abilities and competencies that are critical to departmental operations. To be eligible for a retention adjustment, an employee must have received a bona fide job offer at a higher rate of pay from another employer either within or outside of State government.
- In-Band Adjustment for Internal Alignment. This is a pay adjustment that may be used to adjust the pay rate of an existing employee when it is determined that the employee’s rate of pay is significantly less than that of other employees in the same subzone

who have similar duties and responsibilities, and who have comparable levels of education, training, experience, knowledge, skills, abilities and competencies.

- In-Band Adjustment for Professional Growth. This is a pay adjustment that recognizes and rewards an employee for permanent or temporary changes in his/her duties and responsibilities that reflect either an increase in the scope and complexity of work, or the assumption of new duties and responsibilities. For instance, a professional growth adjustment may be warranted when an employee completes a job-related technical training program and then applies the newly-acquired knowledge and skills to the performance of his/her assigned duties and responsibilities.

A detailed description of the procedures that should be followed in order to implement the in-band adjustments contained in the LHCP Pilot Project is attached hereto as Attachment E.

3. Compensation Adjustments for Civil Service Employees Only

Compensation adjustments such as promotion, transfer, demotion, reallocation, and temporary assignment for civil service positions will continue in the LHCP Pilot Project. However, the language for these compensation adjustments has been adjusted to address the new pay band concepts such as zones and subzones. The compensation adjustments for civil service employees can be found in Attachment F.

In addition, the pay band and zones for the LHCP Pilot Project do not include steps like the BU 13 salary schedule. Therefore, if the legislature approves funds for BU 13 step movements, an “in-zone adjustment” shall be provided to civil service employees covered by the project in lieu of step movements. See Attachment F for further explanation of these “in-zone” adjustments.²

² See Attachments G and H for technical instructions on implementing the compensation adjustments for both civil service and exempt employees.

SECTION IV

ATTACHMENTS

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| Attachment A | Career Group Specifications for Clinical Psychologist, Dentist, and Physician |
| Attachment B | Depiction of Pay Band
Pay Band/Zone Information |
| Attachment C | Salary Matrix Guidelines |
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DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT	83.511
STATE OF HAWAII	83.512

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Career Group Specifications
for:

CLINICAL PSYCHOLOGIST

83.511 – Clinical Psychologist: Positions perform professional services in the field of clinical psychology such as psychotherapy, and consultation; and also perform work in prevention, education, training and/or research. Some positions, as a primary function, provide professional consultation, rendering authoritative advice as a recognized expert (A recognized expert typically has achieved recognition through grants, publications, etc., for demonstrated productivity) on the solution of problems, or on the feasibility and evaluation of projects, programs and plans in order to guide and facilitate the professional work performed by clinical psychologists; or serve as a mental health consultant to program administrators.

83.512 – Clinical Psychologist Supervisor: Positions perform work as a supervisor over other clinical psychologists and other multidisciplinary professional staff; serving as chief psychologist or program director of a program of psychological services. This responsibility may also include work performing psychotherapy, consultation, and work in prevention, education, training and/or research; or may include work as an expert consultant.

COMPETENCIES

Job Related Competencies: Knowledge of clinical psychology theories including normal, abnormal, social, experimental and physiological psychology; the use and interpretation of diagnostic tests; principles and practices of psychotherapy; research methodology; and ability to apply theoretical knowledge to practical situations.

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.

CLINICAL PSYCHOLOGIST
CLINICAL PSYCHOLOGIST SUPERVISOR

83.511
83.512

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.

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.

In addition to the above competencies, applicants for CLINICAL PSYCHOLOGIST SUPERVISOR positions must possess the following competency:

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

MINIMUM QUALIFICATION REQUIREMENTS

Applicants must possess the requirements specified in either A, B, C, D or E below:

- A. Successful completion of all requirements for a doctoral degree from an accredited college in clinical psychology which included an internship in clinical psychology. In lieu of the internship requirement, applicants may substitute one year of professional work experience in the field of clinical psychology.
- B. Successful completion of all requirements for a doctoral degree from an accredited college in a specialty related to clinical psychology. The doctoral program must have included an internship in clinical psychology or must have been supplemented by a post-doctoral clinical internship. In lieu of the clinical internship requirement, applicants may substitute one year of post-doctoral clinical psychology experience under competent professional supervision.

CLINICAL PSYCHOLOGIST
CLINICAL PSYCHOLOGIST SUPERVISOR

83.511
83.512

- C. Holds a doctoral degree from a training program approved by the American Psychological Association (APA), or holds a doctoral degree from a regionally accredited institution of higher education and also meets the experiential requirements for inclusion in the National Register of Health Service Providers in Psychology, as described in Chapter 465, Hawaii Revised Statutes (HRS).
- D. Holds a diplomate certificate in good standing granted by the American Board of Examiners in Professional Psychology, as described in Chapter 465, HRS.
- E. A valid license to practice psychology in the State of Hawaii, as described in Chapter 465, HRS.

License Required

Within two (2) years from the date of appointment as a Clinical Psychologist or Clinical Psychologist Supervisor, applicant(s) hired must meet the requirements for licensure and obtain a license issued by the Hawaii State Board of Psychology, as required by Chapter 465, HRS.

Experience Requirement

For some positions applicants must possess work experience as a clinical psychologist. Some positions may require experience in a specialized field of clinical psychology.

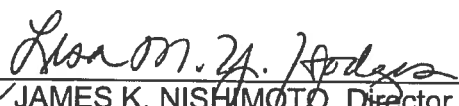
Physical and Medical Requirements

Applicants must be able to perform the essential duties and responsibilities of the position effectively and safely, with or without reasonable accommodation.

This is the first career group specifications for the CLINICAL PSYCHOLOGIST career group.

EFFECTIVE DATE: October 16, 2016

DATE APPROVED: 9/29/16


for JAMES K. NISHIMOTO, Director
Department of Human Resources Development

DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT 83.121
STATE OF HAWAII 83.122

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Career Group Specifications
for

DENTIST

83.121 – Dentist: Positions perform professional dental work in the treatment of dental diseases or dental health problems requiring corrective, restorative or preventive measures. Work is performed in State hospitals, institutions and other facilities, for a variety of patients, some of whom present behavioral and communication problems. A position in this class typically works under the general direction of a higher-level dental officer, or other medical administrator, who handles administrative and policy matters and who is available for consultation in cases of unusually severe disease or abnormalities.

83.122 – Dentist Manager: Position serves as branch chief and is responsible for planning, organizing, directing, coordinating and evaluating a statewide direct clinical dental health service program. Such responsibility involves the formulation of policies and procedures for the provision of dental services through community- and institution-based dental clinics; determining budget and staffing requirements; and supervising a staff of dentists and dental assistants. Services are provided to institutionalized and community-placed developmentally disabled clients, mentally ill and communicable disease patients, frail elderly and long-term care residents, and homeless and low income individuals and families.

COMPETENCIES

Job Related Competencies: Knowledge of the principles and practices of dentistry, including operative dentistry, oral surgery, prosthetic dentistry; and the examination, diagnosis, correction and treatment of defects of the teeth and investing tissues.

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.

DENTIST & DENTIST MANAGER
83.121 & 83.122

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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.

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.

In addition to the above competencies, applicants for DENTIST MANAGER must possess the following competencies:

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

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.

DENTIST & DENTIST MANAGER
83.121 & 83.122

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.

MINIMUM QUALIFICATION REQUIREMENTS

License Required

Applicants must possess a valid license to practice dentistry in the State of Hawaii.

Experience Requirement

Experience: Some positions require professional dentistry experience.

In addition, applicants for DENTIST MANAGER must possess 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.

Managerial Aptitude: Managerial aptitude will be considered to have been met 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 problems and the ability to solve them; completion of educational or training courses in the areas 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 to managerial and/or administrative tasks.

DENTIST & DENTIST MANAGER
83.121 & 83.122

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Physical and Medical Requirements

Applicants must be able to perform the essential duties and responsibilities of the position effectively and safely, with or without reasonable accommodation.

This is the first career group specifications for the DENTIST career group.

EFFECTIVE DATE: October 16, 2016

DATE APPROVED: 9/29/16



JAMES K. NISHIMOTO, Director
Department of Human Resources Development

DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT	83.111
STATE OF HAWAII	83.112

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Career Group Specifications
for

PHYSICIAN

83.111 - Physician: Diagnoses and treats medical illnesses, diseases and disorders of the human body. Renders professional medical services covering a variety of medical problems in patients of all ages; or renders professional medical services in a specialized field of medicine. In addition to rendering professional medical services, positions may also direct medical and auxiliary services such as laboratory, dental, nursing, etc.

83.112 - Physician Manager/Administrator: Manages or administers one or more health programs (e.g., Hansen's disease, tuberculosis control, emergency medical services, district or county health services, etc.).

COMPETENCIES

Job Related Competencies: Knowledge of principles and practices of medicine including clinical pathology, the diagnoses of physical disorders, pathological anatomy, surgical techniques, therapeutics and toxicology and the etiology of disease; and the ability to perform patient-care services in various settings; and maintain medical records.

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.

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PHYSICIAN

83.111

PHYSICIAN MANAGER/ADMINISTRATOR

83.112

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.

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.

In addition to the above competencies, applicants for PHYSICIAN MANAGER/ADMINISTRATOR positions 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.

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PHYSICIAN

83.111

PHYSICIAN MANAGER/ADMINISTRATOR

83.112

Administration & Management: Directs and executes business functions, resource allocation and production.

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

MINIMUM QUALIFICATION REQUIREMENTS

License Required

Applicants must possess a valid license to practice medicine or osteopathy in the State of Hawaii.

Experience Requirement

Some positions require work experience as a physician. Some positions may require experience in a specialized field of medicine.

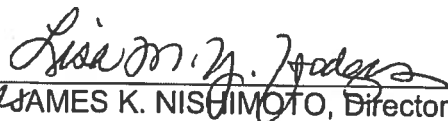
Physical and Medical Requirements

Applicants must be able to perform the essential duties and responsibilities of the position effectively and safely, with or without reasonable accommodation.

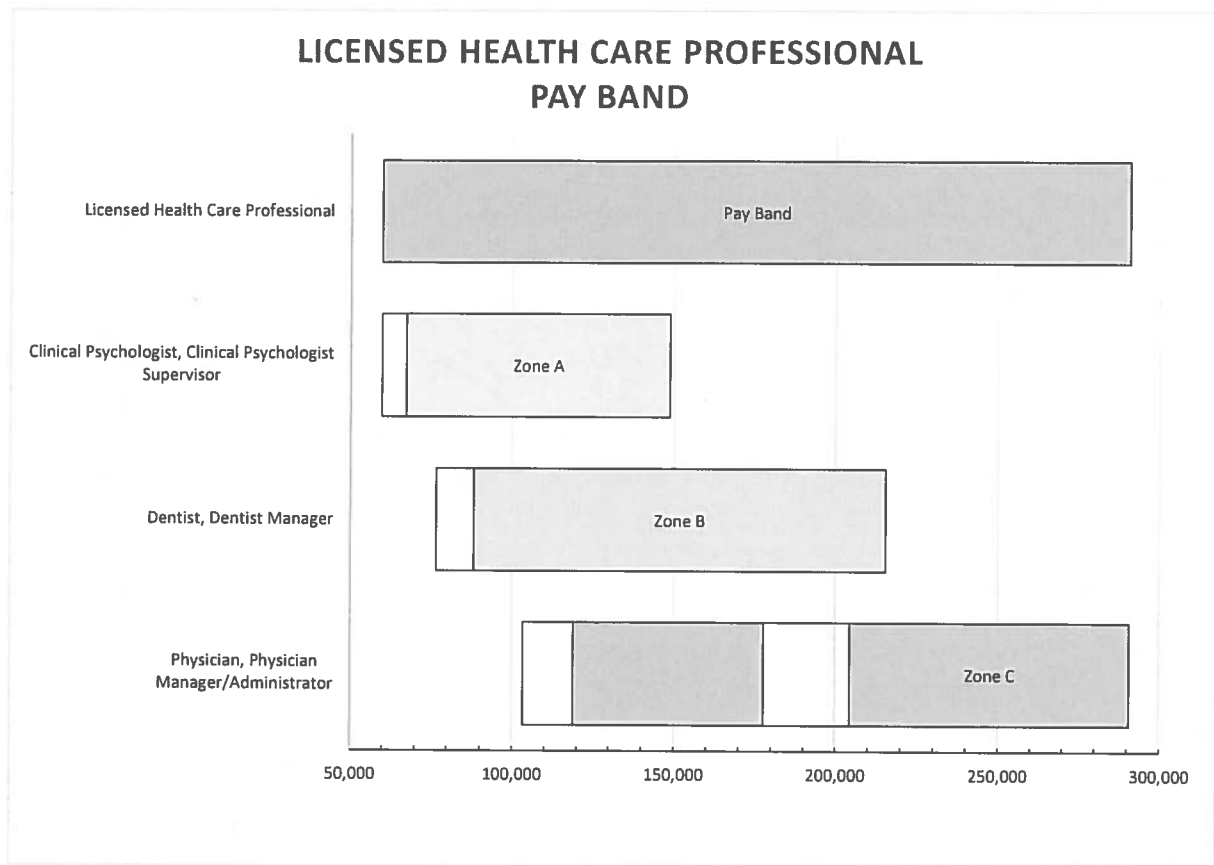
This is the first career group specifications for the PHYSICIAN career group.

EFFECTIVE DATE: October 16, 2016

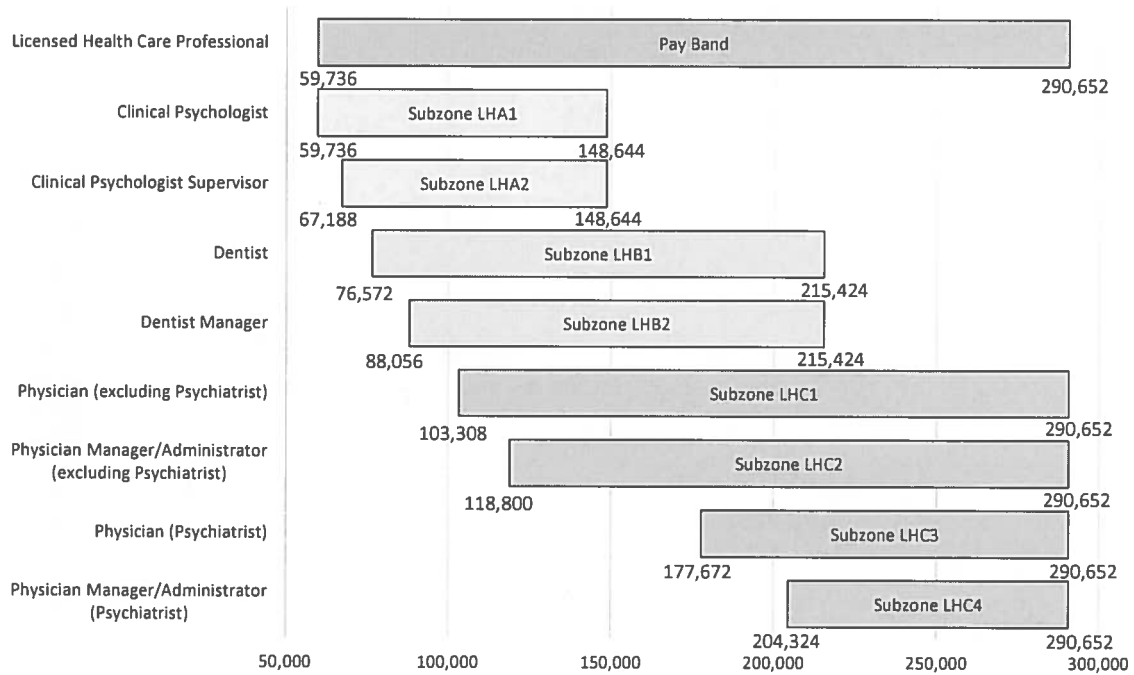
DATE APPROVED: 9/29/16


JAMES K. NISHIMOTO, Director

Department of Human Resources Development



LICENSED HEALTH CARE PROFESSIONAL PAY BAND



Licensed Health Care Professional Pay Band

	<u>Annual</u>		<u>Monthly</u>	
	<u>Minimum</u>	<u>Maximum</u>	<u>Minimum</u>	<u>Maximum</u>
Licensed Health Care Professional Pay Band	59,736	290,652	4,978	24,221

Job Title	Zone	Subzone	<u>Annual</u>		<u>Monthly</u>	
			<u>Minimum</u>	<u>Maximum</u>	<u>Minimum</u>	<u>Maximum</u>
Clinical Psychologist	A	LHA1	59,736	148,644	4,978	12,387
Clinical Psychologist Supervisor	A	LHA2	67,188	148,644	5,599	12,387
Dentist	B	LHB1	76,572	215,424	6,381	17,952
Dentist Manager	B	LHB2	88,056	215,424	7,338	17,952
Physician (excluding Psychiatrist)	C	LHC1	103,308	290,652	8,609	24,221
Physician Manager/Administrator (excluding Psychiatrist)	C	LHC2	118,800	290,652	9,900	24,221
Physician (Psychiatrist)	C	LHC3	177,672	290,652	14,806	24,221
Physician Manager/Administrator (Psychiatrist)	C	LHC4	204,324	290,652	17,027	24,221

Salary Matrix Guidelines – Licensed Health Care Professionals

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
<i>Relevant formally recognized industry based certification(s)</i>	1
<i>Associate's degree in related field</i>	2
<i>Bachelor's degree in related field</i>	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

Salary Matrix Guidelines – Licensed Health Care Professionals

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 going to.

	Work Performed (Nature of Work, Recommendations, Decisions and Contacts)	Points
<u>Licensed Health Care Professional –</u> Subzones LHA1, LHB1, LHC1, LHC3	Moderate/Limited complexity	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 <i>simple to complex</i> . More difficult assignments require interpretations and adaptations of existing precedents, policies, procedures, and decisions in order to achieve desired results. Contacts vary from <i>routine</i> 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 <i>usually complex</i> 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 <i>highly complex</i> 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

Salary Matrix Guidelines – Licensed Health Care Professionals

	Work Performed (Nature of Work, Recommendations, Decisions and Contacts)	Points
Supervisor – Subzone LHA2	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
Manager – Subzones LHB2, LHC2, LHC4	No supervisory experience	0
	Supervisory experience - Experience which included: 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 involved 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 involved 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

**Licensed Health Care Professionals Pilot Project
Salary Matrix Form**

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

Employee Name: _____		Position Number: _____																					
Dept/Div/Br: _____		Subzone: _____																					
Title: _____		Effective date: _____																					
Jobcode: _____																							
<input type="checkbox"/> New Hire <input type="checkbox"/> Rehire <input type="checkbox"/> Promotion <input type="checkbox"/> Transfer																							
For Promotions & Transfers ONLY: Current Subzone: _____ Current Monthly: _____ SD (if applicable): _____ Total In-band(s)(if any): _____ Total Salary: _____		SALARY MATRIX <table style="width:100%;"> <tr> <th></th> <th align="right">Points</th> </tr> <tr> <td>I. Education</td> <td align="right">4</td> </tr> <tr> <td>II. Experience</td> <td align="right">0</td> </tr> <tr> <td>III. Work Performed</td> <td align="right">0</td> </tr> <tr> <td align="right">Total Points I to III:</td> <td align="right">4</td> </tr> <tr> <td>Salary Matrix (based on points):</td> <td align="right">\$ _____</td> </tr> <tr> <td>IV. Exception Beyond Salary Matrix</td> <td align="right">\$ -</td> </tr> <tr> <td>Total (Salary Matrix + Exception):</td> <td align="right">\$ -</td> </tr> <tr> <td>SD (if applicable):</td> <td align="right">\$ _____</td> </tr> <tr> <td>Total In-band(s)(if any):</td> <td align="right">\$ _____</td> </tr> </table>			Points	I. Education	4	II. Experience	0	III. Work Performed	0	Total Points I to III:	4	Salary Matrix (based on points):	\$ _____	IV. Exception Beyond Salary Matrix	\$ -	Total (Salary Matrix + Exception):	\$ -	SD (if applicable):	\$ _____	Total In-band(s)(if any):	\$ _____
	Points																						
I. Education	4																						
II. Experience	0																						
III. Work Performed	0																						
Total Points I to III:	4																						
Salary Matrix (based on points):	\$ _____																						
IV. Exception Beyond Salary Matrix	\$ -																						
Total (Salary Matrix + Exception):	\$ -																						
SD (if applicable):	\$ _____																						
Total In-band(s)(if any):	\$ _____																						
		Final Total Salary Recommendation: \$ 0																					
(Shall not exceed the subzone maximum)																							
*Does the final total 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? <input type="checkbox"/> Yes <input type="checkbox"/> No																							
*Is the final salary recommendation less than the salary that has been determined by the salary matrix? <input type="checkbox"/> Yes <input type="checkbox"/> 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: <input type="checkbox"/> Recommend Approval <input type="checkbox"/> Recommend Approval with Changes Monthly Rate: _____ <input type="checkbox"/> Approval Not Recommended																							
Comments: _____ _____																							
Name of DPO		Signature	Date																				
_____		_____	_____																				
<input type="checkbox"/> Approved <input type="checkbox"/> Approved with Changes Monthly Rate: _____ <input type="checkbox"/> Not Approved																							
Comments: _____ _____																							
Name of Director		Signature	Date																				
_____		_____	_____																				
DPO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.																							

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 criteria must be directly related to the subject position.**

Criteria	Guidelines for Exception Beyond Salary Matrix Amount		
	4%	8%	12% or More
Education, Training, Certification and/or License	Official transcripts, current license, certifications, etc. that <u>exceed</u> the salary matrix and are related to the job.	Official transcripts, current license, certifications, etc. that <u>significantly exceed</u> the salary matrix and are related to the job.	Official transcripts, current license, certifications, etc. that <u>far exceed</u> 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 <u>exceed</u> 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 <u>far exceed</u> performance expectations and be highly successful in the job.	Job related experience, knowledge, skills, abilities and/or competencies that <u>significantly exceed</u> 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 <u>dramatically</u> 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 <u>far exceed</u> 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
% increase	
This is the recommended <u>additional monthly amount</u> beyond the salary matrix amount.	

Licensed Health Care Professional Pilot Project
Salary Matrix Schedule

Points	Clinical Psychologist LHA1		Clinical Psychologist Supervisor LHA2	
	Monthly	Annual	Monthly	Annual
4-5	4,978	59,736	5,599	67,188
6-7	5,176	62,112	5,823	69,876
8-9	5,384	64,608	6,054	72,648
10-11	5,599	67,188	6,299	75,588
12-13	5,823	69,876	6,552	78,624
14-15	6,054	72,648	6,813	81,756
16-17	6,299	75,588	7,085	85,020
18-19	6,552	78,624	7,367	88,404
20	6,813	81,756	7,663	91,956
Maximum	12,387	148,644	12,387	148,644

Points	Dentist LHB1		Dentist Manager LHB2	
	Monthly	Annual	Monthly	Annual
4-5	6,381	76,572	7,338	88,056
6-7	6,636	79,632	7,632	91,584
8-9	6,902	82,824	7,937	95,244
10-11	7,178	86,136	8,254	99,048
12-13	7,465	89,580	8,584	103,008
14-15	7,763	93,156	8,928	107,136
16-17	8,074	96,888	9,285	111,420
18-19	8,397	100,764	9,656	115,872
20	8,733	104,796	10,043	120,516
Maximum	17,952	215,424	17,952	215,424

Points	Physician LHC1		Physician Manager/Administrator LHC2	
	Monthly	Annual	Monthly	Annual
4-5	8,609	103,308	9,900	118,800
6-7	8,953	107,436	10,296	123,552
8-9	9,311	111,732	10,708	128,496
10-11	9,684	116,208	11,136	133,632
12-13	10,071	120,852	11,582	138,984
14-15	10,474	125,688	12,045	144,540
16-17	10,893	130,716	12,527	150,324
18-19	11,329	135,948	13,028	156,336
20	11,782	141,384	13,549	162,588
Maximum	24,221	290,652	24,221	290,652

Points	Psychiatrist LHC3		Psychiatrist Manager LHC4	
	Monthly	Annual	Monthly	Annual
4-7	14,806	177,672	17,027	204,324
8-10	15,250	183,000	17,538	210,456
11-13	15,708	188,496	18,064	216,768
14-15	16,179	194,148	18,606	223,272
16-17	16,664	199,968	19,164	229,968
18-19	17,164	205,968	19,739	236,868
20	17,679	212,148	20,331	243,972
Maximum	24,221	290,652	24,221	290,652

**Compensation Concepts, Guidelines and Procedures for
Licensed Health Care Professionals Pilot Project
(Clinical Psychologist, Dentist and Physician)**

I. Pay Band, Career Groups, Zones and Subzones

The Licensed Health Care Professionals Pilot Project pay band consist of 3 career groups. Each career group consists of separate pay zones with subzones.

Clinical Psychologist	Zone A
Clinical Psychologist	Subzone LHA1
Clinical Psychologist Supervisor	Subzone LHA2
Dentist	Zone B
Dentist	Subzone LHB1
Dentist Manager	Subzone LHB2
Physician	Zone C
Physician (Excluding Psychiatrist)	Subzone LHC1
Physician Manager/Administrator (Excluding Psychiatrist)	Subzone LHC2
Physician (Psychiatrist)	Subzone LHC3
Physician Manager/Administrator (Psychiatrist)	Subzone LHC4

II. Hiring Rate

This Licensed Health Care Professionals Pilot Project provides flexibility in setting hiring rates in order to attract highly skilled and competent candidates to the State's workforce. Starting pay decisions are the responsibility of the individual departments/agencies.

The starting pay practice is competitive and adjustable. New hires shall be compensated at the minimum entry rate of the applicable subzone. However, the Appointing Authority may offer a salary to a candidate ranging from the minimum entry rate 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 applicable subzone maximum.

A. Guidelines

1. A Salary Matrix Form shall be completed when a request is made for appointment above the minimum entry rate. 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 subzone for the individual.
2. 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 Attachments C and D for Salary Matrix Guidelines and Form.
3. 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.

- a. Consider the individual's education, number of years of experience and work performed relevant to the position. The salary matrix will provide guidelines to rate the individual and assigns points based on his/her education, work experience, and previous work performed. See Attachments C and D for the Salary Matrix Guidelines and Form.

- b. 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.
- c. 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.
- d. 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.
- e. 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.

4. 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. Procedures

1. The requesting supervisor/manager shall electronically complete a Salary Matrix Form (Attachment D) and provide supporting rationale and justification for the request for appointment above the minimum entry rate.
2. The requesting supervisor/manager shall submit the completed form and obtain approval from the Appointing Authority, via the Departmental Human Resource Officer (DHRO), prior to making an official offer.
3. The Appointing Authority shall review and as appropriate approve or deny the request for appointment above the minimum entry rate. Requests that are denied shall be returned to the submitting supervisor/manager with an explanation for the denial, via the DHRO.
4. The effective date of hire shall be no earlier than the approval date of the Salary Matrix Form.
5. Copies of all approved and disapproved requests shall be forwarded by the DHRO to DHRD, and to the exclusive collective bargaining representative (if the employee is included).
6. The program shall keep the following documentation on file for three years:
 - a. A copy of the position vacancy announcement.
 - b. The completed Salary Matrix Form.
 - c. The selectee's completed application.
 - d. Other relevant documentation to support the request.
 - e. Documentation confirming that the appropriate process was followed, such as copies of email notifications and responses;

facsimile or other correspondence that reflects the name of the affected individual; the position number; the career group and subzone designation of the position; the organizational location; the proposed rate to be offered; and notification to the exclusive collective bargaining representative of the request.

7. Funding of appointment above the minimum entry rate shall be the responsibility of the program.
8. A Salary Matrix Form is not required when a selectee is hired at the minimum entry rate.

III. In-Band Adjustments

(Not Applicable to Employees Hired for 89-Days or Less)

A. 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 of the agency. This adjustment is especially valuable in occupations that are competitive in the labor market or when 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. They 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 up to the amount of the job offer from the other employer, provided that the:

- 1) Counteroffer shall not exceed the subzone maximum; and
- 2) Counteroffer is greater than the employee's existing salary (including shortage differential (SD) + in-band amount(s), if any).

d. 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 subzone, provided the counteroffer shall not exceed the existing subzone maximum. 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, at the counteroffer salary made by the original agency, or at the salary offered by the other state department/agency; provided it is within 30 calendar days of the

date the employee moved to the other State department/agency.

e. 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 shall not exceed the amount of the job offer from the external organization and shall not exceed the existing subzone maximum. Note that the State calculates pay on a monthly basis so if the offer is made on an annual basis, the counteroffer should be evenly divisible by 12 months (no cents).

- f. Effective Date of the 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.
- g. Funding of the Award – Funding for retention adjustment awards shall be subject to the availability of funds and shall be the responsibility of the program.
- h. Method of Award Payment – The retention adjustment shall be made in the form of an in-band adjustment amount.
- i. Decision-making – The Appointing Authority shall review submitted requests for retention adjustments and either approve or deny the requests.
- j. 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 and submit it to the Appointing Authority, via the DHRO, for review and as appropriate, approval or disapproval.
- b. 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.
- c. Request for retention adjustments denied by the Appointing Authority shall be returned to the submitting supervisor/manager with an explanation for the denial, via the DHRO.
 - d. The DHRO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.
 - e. The DHRO shall initiate appropriate action to authorize payment of approved retention adjustments.
3. Compensation Adjustment

The employee's compensation shall be adjusted in accordance with the provisions for retention in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service and Exempt Employees* (Attachment H).

B. Internal Alignment In-band Adjustment

Internal Alignment in-band adjustments 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 other similarly situated employees. The program shall consider the following factors when comparing employees in comparable and relevant positions: assignment to the same type of position (e.g., civil service to civil service, exempt to exempt); assignment to the same subzone; within the relevant work unit; and 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, an internal alignment review may be initiated to examine employees' salaries.
- b. The proposed internal alignment in-band adjustment + existing salary (including SD + in-band amount(s), if any) of the employee, shall not exceed the salary (including SD + in-band amount(s), if any) of other employee(s) in comparable and relevant positions.
- c. A program may request a salary equity review from the DHRO, who shall consult with the Appointing Authority and departmental EEO Office, if applicable. In conducting the review, the DHRO 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 the 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 and submit it to the Appointing Authority, via the DHRO.
- 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 type of position (e.g., civil service to civil service, exempt to exempt); assigned to the same subzone; within the relevant work unit; 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 in the same class which include:

- Salaries
- Years of service in the State and in the bargaining unit
- Education
- Relevant work experience (number of years, type and quality)
- Other qualification requirements
- Any approved compensation above the minimum entry rate
- Any approved reallocation and/or in-band adjustment
- 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 + existing salary (including SD + in-band amount(s), if any) of the employee, shall not exceed the salary (including SD + 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. 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 DHRO.
- d. The DHRO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.

- e. The DHRO shall initiate appropriate action to authorize payment of the approved internal alignment adjustment.

3. Compensation Adjustment

The employee's compensation shall be adjusted in accordance with the provisions for internal alignment in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service and Exempt Employees* (Attachment H).

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

The Licensed Health Care Professionals Pilot Project is designed to promote growth and professional development. For example, a worker 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 subzone.

1. Guidelines Applicable to All Professional Growth In-band Adjustments

- a. 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 class but 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.
- b. 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 professional growth adjustment.

- c. 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.
- d. The duties and responsibilities may be assigned on a permanent or temporary basis.
- e. A professional growth in-band adjustment shall be equivalent to 4% of the employee's monthly basic rate of pay (rounded to the nearest dollar), provided the sum of the new professional growth in-band adjustment + employee's existing salary (including SD and in-band amount(s), if any) shall not exceed the subzone maximum.
- f. The employee's compensation shall be adjusted in accordance with the provisions for professional growth in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service and Exempt Employees* (Attachment H).
- g. Employees may be awarded a permanent professional growth adjustment once every 12 months from the last permanent professional growth in-band adjustment or permanent reallocation. Appointing Authorities may on an exception and special circumstances basis waive the 12 month requirement with documented supporting rationale.
- h. Funding for professional growth adjustment awards shall be subject to the availability of funds and shall be the responsibility of the program. Certification of availability of funding is required.

- i. 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. Professional Growth In-band Adjustment for Increased Scope and Complexity of Work
 - a. Guidelines
 - 1) This adjustment may be used when there is a significant change in responsibilities, 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.
 - 2) 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.
 - 3) 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.
 - 4) Significant change in complexity of work that is quantifiable,

demonstrated on an on-going basis, and documented in the position description of record.

- 5) 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.
- 6) 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.
- 7) Effective Date of the Award – 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.
- 8) 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.

Criteria	Guidelines for Professional Growth In-Band Adjustment
Scope of responsibility and accountability	<p>For example, but not limited to:</p> <ul style="list-style-type: none"> ○ 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	<p>For example, but not limited to:</p> <ul style="list-style-type: none"> ○ 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 adaptations 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	<p>For example, but not limited to:</p> <ul style="list-style-type: none"> ○ 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	<p>For example, but not limited to:</p> <ul style="list-style-type: none"> ○ New and/or more complex knowledge, skills and expertise are required to perform assigned duties and responsibilities.
Communications	<p>For example, but not limited to:</p> <ul style="list-style-type: none"> ○ 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

	<p>the intent to influence more senior decision-makers;</p> <ul style="list-style-type: none"> ○ Contact requires considerable tact, discretion, and persuasion to obtain results; ○ Presents new methods, programs, and/or controversial issues.
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b. Procedures

- 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) Supervisors/Managers shall complete the Professional Growth In-band Adjustment Form and submit it to the Appointing Authority via the DHRO.
- 3) The Appointing Authority shall review and as appropriate approve or deny the request. All denied requests shall be returned to the submitting supervisor/manager with an explanation for the denial.
- 4) The DHRO shall forward copies of all approved and disapproved requests to DHRD and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.
- 5) The DHRO shall initiate appropriate action to effect payment of the approved professional growth adjustment.

c. Compensation Adjustment

The employee's compensation shall be adjusted in accordance with the provisions for professional growth in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health*

Care Professionals Pilot Project for Civil Service and Exempt Employees (Attachment H).

3. Professional Growth In-band Adjustment for Increased Competencies

a. Guidelines

- 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 attainment of an additional training or certification 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.
- 3) Professional growth in-band adjustment effective dates shall be the first day of the pay period immediately following the date of the Appointing Authority's approval.
- 4) 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.

b. Procedures

- 1) Supervisors/Managers shall complete the Professional Growth In-band Adjustment Form and submit it to the Appointing Authority via the DHRO.
- 2) The Appointing Authority shall review and as appropriate

approve or deny the request. All denied requests shall be returned to the submitting supervisor/manager with an explanation for the denial.

- 3) The DHRO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.
- 4) The DHRO shall initiate appropriate action to effect payment of the approved professional growth adjustment.

c. Compensation Adjustment

The employee's compensation shall be adjusted in accordance with the provisions for professional growth in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service and Exempt Employees* (Attachment H).

4. 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 and/or increased competencies equivalent to 4% of the employee's existing monthly basic rate of pay (rounded to the nearest dollar), provided the sum of the new temporary in-band adjustment + employee's existing salary (including SD and in-band amounts, if any) shall not exceed the applicable subzone maximum.
- b. Temporary in-band adjustment within the subzone 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.
- e. 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.
- f. The employee's compensation shall be adjusted in accordance with the provisions for professional growth in-band adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professional Pilot Project for Civil Service and Exempt Employees* (Attachment H).
- g. See Procedures for professional growth in-band adjustment for
 - 1) Increased scope and complexity of work in C.2.b., or
 - 2) Increased competencies in C.3.b.

D. In-band Compensation Appeal Process

- 1. Directors and DHROs are encouraged to communicate openly and clearly with managers, supervisors and employees regarding the Licensed Health Care Professionals Pilot Project, as well as the

department/agency's compensation priorities and challenges.

Communication should be an open dialogue between all parties.

2. Compensation decisions such as in-band adjustments for professional growth, retention and internal alignment are made solely at the discretion of the Appointing Authority.
3. 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.
4. If employees do not resolve their issue(s) informally with their supervisor, manager, and/or program administrator, employees may submit an In-band Compensation Appeal Form to request a review to the DHRO within 20 working days of receipt of written notification regarding the compensation decision or within 20 working days after the issue first became known.
5. The DHRO shall consult with the employee's supervisor and relevant management, e.g., Branch Chief, Division Chief. The DHRO shall make a decision and respond in writing to the employee within 20 working days of receipt of the request for review.
6. If the decision of the DHRO 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 DHRO's decision. The Appointing Authority shall consult with the Director of DHRD before rendering a decision within 20 working days. The decision of the Appointing Authority is final and shall not be subject to appeal, either through the grievance process or through the internal complaint/Merit Appeals Board process.

Compensation Adjustments for Civil Service Employees Only

The following compensation adjustments shall be used to compute pay for civil service positions in the Licensed Health Care Professionals Pilot Project for promotions, transfers, demotions, reallocations and temporary assignments.

I. Compensation Adjustment Upon Promotion

A. "Promotion" for the purpose of this pilot project shall mean 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 higher subzone as shown on the table in I.B.1. below.

B. The Appointing Authority may offer an increase to the employee's monthly basic rate of pay:

1. The following standard compensation adjustment for the applicable promotion, provided the new monthly basic rate of pay shall not exceed the maximum rate of the applicable subzone; or

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist	Clinical Psychologist Supervisor	10%
Dentist	Dentist Manager	15%
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%

2. Up to the amount determined by the salary matrix, provided the amount is not less than the standard compensation adjustment for a promotion.

C. Procedures

1. When the supervisor/manager recommends a basic rate of pay in accordance with the standard compensation adjustment for a promotion,

the department's standard procedure for processing the adjustment shall be followed.

2. When the supervisor/manager recommends a basic rate of pay in accordance with the salary matrix guidelines, a Salary Matrix Form (Attachment D) shall be completed.
3. The supervisor/manager shall submit the completed form to the Appointing Authority, via the DHRO, prior to making an official offer.
4. 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 DHRO.
5. The DHRO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included); within ten (10) calendar days of the Appointing Authority's decision.

D. Compensation Adjustment

The employee's compensation shall be adjusted in accordance with the provisions for promotion in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).

II. Compensation Adjustment Upon Transfer

- A. "Transfer" for the purpose of this pilot project shall mean 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 the same subzone.

- B. The appointing authority may offer a basic rate of pay:
 - 1. That is the same as the employee's existing basic rate of pay; or
 - 2. Up to the amount determined by the salary matrix, provided the amount is not less than the employee's existing basic rate of pay.
- C. When the supervisor/manager recommends a basic rate of pay that is the same as the employee's existing basic rate of pay, the department's standard procedure for processing the adjustment shall be followed.
- D. See Procedures in I.C.2. above when the supervisor/manager recommends a basic rate of pay using the salary matrix form.
- E. The employee's compensation shall be adjusted in accordance with the provisions for transfer in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).

III. Compensation Adjustment Upon Demotion

- A. "Demotion" for the purpose of this pilot project shall mean 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 lower subzone as shown on the table in III.B. below.
 - 1. "Disciplinary demotion" means the demotion action taken by the employer for disciplinary reasons.
 - 2. "Involuntary demotion" means 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. "Voluntary demotion" means the movement requested by an employee

and granted by the appointing authority, 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 lower subzone.

4. "Demotion to avoid layoff" means a demotion accepted by an employee to avoid being laid off.
5. "Demotion due to a reorganization" means a demotion of an employee as a result of a reorganization action.
6. "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 lower subzone, due to a disability sustained by the employee while performing the duties and responsibilities of the employee's position.

B. Demotion due to Disciplinary, Involuntary or Voluntary

For demotions due to Disciplinary, Involuntary or Voluntary reasons, the employee's existing monthly basic rate of pay shall be adjusted as follows for the applicable demotion:

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist Supervisor	Clinical Psychologist	-10%
Dentist Manager	Dentist	-15%
Physician Manager/Administrator (excluding Psychiatrist)	Physician (excluding Psychiatrist)	-15%

C. Demotion to Avoid Layoff, Due to Reorganization or Service Connected Disability

For demotions to Avoid Layoff, Due to Reorganization or Service Connected Disability, the employee's monthly basic rate of pay shall remain the same.

- D. The department's standard procedure for processing demotions shall be followed.
- E. The employee's compensation shall be adjusted in accordance with the applicable provisions for demotion in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).

IV. Compensation Adjustment Upon Reallocation

A. Upward Reallocation

1. "Reallocation upward" for purposes of this pilot project shall mean the reallocation of a position to a higher subzone as shown on the table in IV.A.2. below.
2. The regular employee's existing monthly basic rate of pay shall be adjusted as follows for the applicable reallocation upward, provided the new monthly basic rate of pay shall not exceed the maximum rate of the applicable subzone:

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist	Clinical Psychologist Supervisor	10%
Dentist	Dentist Manager	15%
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%

3. In extraordinary cases, supervisors/managers may request an exception to the standard compensation adjustment for reallocation upward 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 subzone maximum of the position assigned.

4. 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. See Reallocation Exception Form for guidelines.
5. The employee's compensation shall be adjusted in accordance with the provisions for reallocation upward in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).
6. See Procedures in IV.D. below.

B. Downward Reallocation Action

1. "Reallocation downward" for purposes of this pilot project shall mean the reallocation of a position to a lower subzone as shown on the chart in IV.B.2. below.
2. Reallocation downward due to Disciplinary, Involuntary and Voluntary Reasons

For reallocation downward due to Disciplinary, Involuntary and Voluntary reasons, the regular employee's existing monthly basic rate of pay shall be adjusted as follows for the applicable reallocation downward:

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist Supervisor	Clinical Psychologist	-10%
Dentist Manager	Dentist	-15%
Physician Manager/Administrator (excluding Psychiatrist)	Physician (excluding Psychiatrist)	-15%

3. Reallocation downward to Avoid Layoff, Due to Reorganization, Service Connected Disability

For reallocation downward to Avoid Layoff, Due to Reorganization or Service Connected Disability, the employees existing basic rate of pay shall remain the same.

4. The employee's compensation shall be adjusted in accordance with the applicable provisions for reallocation downward in *Instructions for Compensation Adjustments for Licensed Medical Professional Pilot Project for Civil Service Employees* (Attachment G).
5. See Procedures in IV.D. below.

C. Temporary Reallocation

1. "Temporary reallocation upward" for purposes of this pilot project shall mean the temporary redescription of a position to reflect the concept of a higher subzone as shown on the table in IV.C.3. below.
2. A position may be temporarily reallocated when it is assigned on a temporary basis, duties and responsibilities reflective of a change in the position concept reflective of a higher subzone (see table in IV.C.3. below).
3. The employee's existing monthly basic rate of pay shall be adjusted as follows for the applicable temporary reallocation upward, provided the new monthly basic rate of pay shall not exceed the maximum rate of the applicable subzone:

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist	Clinical Psychologist Supervisor	10%
Dentist	Dentist Manager	15%
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%

4. In extraordinary cases, supervisors/managers may request an exception

to the standard compensation adjustment for temporary reallocation 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 subzone maximum of the position assigned.

5. 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. See Reallocation Exception Form for guidelines.
6. The compensation for a temporary reallocation upward shall be terminated when the position ceases to be assigned duties and responsibilities characteristics of the higher class.
7. The temporary reallocation upward may be requested for a specific period, not to exceed one year.
8. A temporary reallocation 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.
9. The effective dates for the beginning and ending of temporary reallocation upward actions shall conform to the dates the temporary duties are actually assigned, assumed, and subsequently removed.
10. Upon termination of a temporary reallocation upward, the position shall return to its former class and the previous position description shall be reinstated as the official position description.
11. When the temporary reallocation upward is terminated, the employee's

compensation shall be at the rate the employee would have received were it not for the temporary reallocation.

12. The employee's compensation shall be adjusted in accordance with the provisions for temporary reallocation upward in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).
13. See Procedures in IV.D. below.

D. Procedures

1. The supervisor/manager shall submit an updated position description that includes the new duties assigned to the position to the Appointing Authority, via the DHRO.
2. When the supervisor/manager recommends a basic rate of pay in accordance with the standard compensation adjustment, the department's standard procedure for processing the adjustment shall be followed.
3. When the supervisor/manager recommends a basic rate of pay in accordance with the exception to the standard compensation adjustment for reallocation, a Reallocation Exception Form shall be completed and submitted to the Appointing Authority, via the DHRO.
4. 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 DHRO.
5. The DHRO shall forward copies of all approved and disapproved requests to DHRD, and to the exclusive collective bargaining representative (if the employee is included).

V. Compensation for Temporary Assignment to a Position in a Higher Subzone

- A. A temporary assignment to a position in a higher subzone is when an employee temporarily assumes duties and responsibilities characteristic of a higher class as shown on the table in V.B. below.
- B. The employee's existing monthly basic rate of pay shall be adjusted as follows for the applicable temporary assignment, provided the new monthly basic rate of pay shall not exceed the maximum rate of the applicable subzone:

From:	To:	Pay Adjustment (round to the nearest dollar)
Clinical Psychologist	Clinical Psychologist Supervisor	10%
Dentist	Dentist Manager	15%
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%

- C. The employee's compensation shall be adjusted in accordance with the provisions for temporary assignment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).
- D. The department's standard procedure for processing the adjustment shall be followed.

VI. In-Zone Adjustments

- A. The costs under this paragraph shall be included in the costs of collective bargaining and submitted to the legislature for approval at the appropriate time.
- B. The pay band and zones for this pilot project do not include steps like the BU 13 salary schedule. Therefore, if the legislature approves funds for BU

13 step movements, an "in-zone adjustment" shall be provided to employees of this pilot project in lieu of step movements.

- C. The following definitions shall be applicable to this paragraph:
1. "In-zone adjustment" means a 4% increase to the employee's monthly basic rate of pay (rounded to the nearest dollar), provided the employee's new monthly basic rate of pay does not exceed the subzone maximum.
 2. "In-zone adjustment date" means the date the employee is to be granted an in-zone adjustment after rendering the minimum number of years of creditable service.
- D. In determining creditable service for in-zone adjustment, the following shall apply:
1. "Service" means employment service on a step or in a civil service position 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.
 2. "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.
 3. Service throughout a work year shall be creditable for an in-zone adjustment provided that the following shall be considered time not creditable:
 - a. Absences without pay, except as provided in subparagraph 4. below;
 - b. Absences due to suspension; or
 - c. Any period of substandard performance.

4. A period of authorized leave without pay for the following purposes shall be construed as creditable service:
 - a. To be on sabbatical leave,
 - b. To recuperate from an injury for which workers' compensation weekly payments are made, or
 - c. 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.
- E. Subject to adjustment for all periods of time not creditable as provided in subparagraph D.3., the in-zone adjustment date shall be determined as follows:
 1. For employees in the bargaining unit as <the day before the effective date of the pilot project>, in a position which will be included in the pilot project, the in-zone adjustment date shall be the employee's step movement date as of <the day before the effective date of the pilot project>.
 2. For employees who are not in a position which will be included in the pilot project as of <the day before the effective date of the pilot project>, who enters a position in the pilot project after <the day before the effective date of the pilot project>, the in-zone adjustment date shall be determined by the date the employee entered a position in the pilot project.
 3. For employees who re-enter a position in the pilot project after <the effective date of the pilot project>, the in-zone adjustment date shall be determined by the date the employee re-entered a position in the pilot project.
- F. In-zone adjustments shall be provided after 3 years of satisfactory creditable service from the employee's date of hire or last in-zone (or step movement) adjustment (see exceptions during the implementation period

in G. below), provided the employee's new monthly basic rate of pay does not exceed the subzone maximum.

G. Exceptions: During the implementation and transition period, employees on steps C, D and E as of <the day before the effective date of this pilot project> shall receive in-zone adjustments as follows:

1. Step C

- a. 4% increase to the employee's monthly basic rate of pay (rounded to the nearest dollar) effective the employee's step movement date as of <the day before the effective date of this pilot project>.
- b. Following the in-zone adjustment in subparagraph G.1.a. above, the next two (2) in-zone adjustment dates shall be every 2 years.

2. Step D

- a. 4% increase to the employee's monthly basic rate of pay (rounded to the nearest dollar) effective the employee's step movement date as of <the day before the effective date of this pilot project>.
- b. Following the in-zone adjustment in subparagraph G.2.a. above, the next in-zone adjustment date shall be 2 years later.

3. Step E

- a. 4% increase to the employee's monthly basic rate of pay (rounded to the nearest dollar) effective the employee's step movement date as of <the day before the effective date of this pilot project>

Following the above, employee's in-zone adjustment date shall be every 3 years.

- H. The employee's compensation shall be adjusted in accordance with the provisions for in-zone adjustment in *Instructions for Compensation Adjustments for Licensed Health Care Professionals Pilot Project for Civil Service Employees* (Attachment G).

For Civil Service Employees Only

Instructions for Compensation Adjustments For Licensed Health Care Professionals Pilot Project (Clinical Psychologist, Dentist and Physician)

"Subzone maximum" refers to the maximum compensation allowed in the applicable subzone in the Licensed Health Care Professionals Pilot Project, including base pay, shortage differential, and in-band amounts.

"Shortage group" refers to the class, specialty, or group of positions for which the shortage differential was authorized.

Compensation Adjustments Within the Licensed Health Care Professionals Pilot Project

Type of Adjustment	Pay Adjustment
<p>In-zone Adjustment</p> <p><i>(Civil Service only)</i></p>	<ol style="list-style-type: none"> 1. Adjust the employee's existing monthly basic rate of pay by 4% (rounded to the nearest dollar), provided the new monthly basic rate of pay shall not exceed the subzone maximum. 2. The employee's SD and in-band amount(s), if any, shall remain the same provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum. <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth
<p>Promotion</p> <p><i>(Civil Service only)</i></p>	<ol style="list-style-type: none"> 1. Adjust the employee's existing monthly basic rate of pay: <ol style="list-style-type: none"> a. Using the following standard compensation adjustment, provided the new monthly basic rate of pay shall not exceed the subzone maximum;

Type of Adjustment	Pay Adjustment														
	<table><tr><th>From:</th><th>To:</th><th>Pay Adjustment (round to the nearest dollar)</th></tr><tr><td>Clinical Psychologist</td><td>Clinical Psychologist Supervisor</td><td>10%</td></tr><tr><td>Dentist</td><td>Dentist Manager</td><td>15%</td></tr><tr><td>Physician (excluding Psychiatrist)</td><td>Physician Manager/Administrator (excluding Psychiatrist)</td><td>15%</td></tr></table>	From:	To:	Pay Adjustment (round to the nearest dollar)	Clinical Psychologist	Clinical Psychologist Supervisor	10%	Dentist	Dentist Manager	15%	Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%		
From:	To:	Pay Adjustment (round to the nearest dollar)													
Clinical Psychologist	Clinical Psychologist Supervisor	10%													
Dentist	Dentist Manager	15%													
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%													
	or														
	b. Up to the amount determined by the salary matrix, provided the amount shall not be less than the pay calculated by the standard compensation adjustment.														
	2. Shortage Differential and In-band Amount(s)														
	a. <i>When the SD at the minimum of the new shortage group is greater than or equal to the SD at the minimum of the existing shortage group</i>														
	1) The employee's SD, if any, shall equal the greater of:														
	a) The SD listed on the shortage table for the new shortage group, or														
	b) The employee's existing SD; and														
	2) The employee's in-band amount(s) shall remain the same;														
	provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.														
	If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.														
	If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:														
	<ul style="list-style-type: none">• SD• Retention• Internal Alignment• Professional Growth														

Type of Adjustment	Pay Adjustment
	<p><i>b. When the SD at the minimum of the new shortage group is less than the SD at the minimum of the existing shortage group</i></p> <p>1) The employee's SD shall equal the differential listed on the shortage table for the new shortage group, and</p> <p>2) The in-band amount(s) shall remain the same,</p> <p>provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth
<p>Transfer – Within the Existing Shortage Group</p> <p><i>(Civil Service only)</i></p>	<p>1. The employee's monthly basic rate of pay shall:</p> <p>a. Remain the same; or</p> <p>b. Be adjusted up to the amount determined by the salary matrix, provided the amount shall not be less than the employee's existing basic rate of pay.</p> <p>2. The employee's SD and in-band amount(s), if any, shall remain the same, provided the sum of the employee's basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's basic rate of pay.</p>

Type of Adjustment	Pay Adjustment
	<p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth
<p>Transfer – Out of the Existing Shortage Group</p> <ul style="list-style-type: none"> • To Avoid Layoff • Due to Reorganization • Service Connected Disability <p>(Civil Service only)</p>	<ol style="list-style-type: none"> 1. The employee's monthly basic rate of pay shall: <ol style="list-style-type: none"> a. Remain the same; or b. Be adjusted up to the amount determined by the salary matrix, provided the amount shall not be less than the employee's existing basic rate of pay. 2. Shortage Differential and In-band Amount(s) <ol style="list-style-type: none"> a. The employee's SD, if any, shall equal the greater of: <ol style="list-style-type: none"> 1) The SD listed on the shortage table for the new shortage group; or 2) The employee's existing SD; and b. The employee's in-band amount(s) shall remain the same; <p>provided the sum of the employee's basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth

Type of Adjustment	Pay Adjustment
<p>Transfer – Out of the Existing Shortage Group</p> <ul style="list-style-type: none"> • Disciplinary • Involuntary • Voluntary <p>(Civil Service only)</p>	<ol style="list-style-type: none"> 1. The employee's monthly basic rate of pay shall: <ol style="list-style-type: none"> a. Remain the same; or b. Be adjusted up to the amount determined by the salary matrix, provided the amount shall not be less than the employee's existing basic rate of pay. 2. Shortage Differential and In-band Amount(s) <ol style="list-style-type: none"> a. <i>When the SD at the minimum of the new shortage group is greater than or equal to the SD at the minimum of the existing shortage group</i> <ol style="list-style-type: none"> 1) If the SD at the minimum of the new shortage group is greater than \$0, <ol style="list-style-type: none"> a) The employee's SD shall equal the greater of: <ul style="list-style-type: none"> – The SD listed on the shortage table for the new shortage group, or – the employee's existing SD; and b) The in-band amount(s) shall remain the same; <p>provided the sum of the employee's basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth

Type of Adjustment	Pay Adjustment
	<p>2) If the SD at the minimum of the new shortage group is equal to \$0 and the SD at the minimum of the existing shortage group is equal to \$0,</p> <p>a) The employee's existing SD shall terminate, and</p> <p>b) The employee's existing in-band amount(s) shall remain the same;</p> <p>provided the sum of the employee's basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth <p><i>b. When the SD at the minimum of the new shortage group is less than the SD at the minimum of the existing shortage group</i></p> <p>1) The employee's SD shall equal the differential listed on the shortage table for the new shortage group, and</p> <p>2) The employee's in-band amount(s) shall remain the same;</p> <p>provided the sum of the employee's basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's basic rate of pay.</p>

Type of Adjustment	Pay Adjustment												
	<p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none">• SD• Retention• Internal Alignment• Professional Growth												
<p>Demotion</p> <ul style="list-style-type: none">• To Avoid Layoff• Due to Reorganization• Service Connected Disability <p>Reallocation Downward</p> <ul style="list-style-type: none">• To Avoid Layoff• Due to Reorganization• Service Connected Disability <p>(Civil Service only)</p>	<ol style="list-style-type: none">1. The employee's basic rate of pay shall remain the same, provided it shall not exceed the subzone maximum. If the basic rate of pay falls above the maximum of the lower subzone, the employee shall be compensated at the maximum and shall be entitled to a temporary differential.2. Shortage Differential and In-band Amount(s)<ol style="list-style-type: none">a. The employee's SD shall equal the greater of:<ol style="list-style-type: none">1) The SD listed on the shortage table for the new shortage group; or2) The employee's existing SD; andb. The employee's in-band amount(s) shall remain the same.												
<p>Demotion</p> <ul style="list-style-type: none">• Disciplinary• Involuntary• Voluntary <p>Reallocation Downward</p> <ul style="list-style-type: none">• Disciplinary• Involuntary• Voluntary <p>(Civil Service only)</p>	<ol style="list-style-type: none">1. Adjust the employee's existing monthly basic rate of pay using the following standard compensation adjustment, provided it shall not exceed the subzone maximum:<table><tr><th>From:</th><th>To:</th><th>Pay Adjustment (round to the nearest dollar)</th></tr><tr><td>Clinical Psychologist</td><td>Clinical Psychologist Supervisor</td><td>-10%</td></tr><tr><td>Dentist</td><td>Dental Health Program Manager</td><td>-15%</td></tr><tr><td>Physician (excluding Psychiatrist)</td><td>Physician Manager/Administrator (excluding Psychiatrist)</td><td>-15%</td></tr></table>2. Shortage Differential and In-band Amount(s)<ol style="list-style-type: none">a. The employee's SD shall equal the applicable SD on the shortage table, and	From:	To:	Pay Adjustment (round to the nearest dollar)	Clinical Psychologist	Clinical Psychologist Supervisor	-10%	Dentist	Dental Health Program Manager	-15%	Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	-15%
From:	To:	Pay Adjustment (round to the nearest dollar)											
Clinical Psychologist	Clinical Psychologist Supervisor	-10%											
Dentist	Dental Health Program Manager	-15%											
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	-15%											

Type of Adjustment	Pay Adjustment												
	<p>b. The employee's in-band amount(s) shall remain the same;</p> <p>provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none">• SD• Retention• Internal Alignment• Professional Growth												
<p>Reallocation Upward (Permanent or Temporary)</p> <p>(Civil Service only)</p>	<p>1. Adjust the employee's existing monthly basic rate of pay:</p> <p>a. Using the following standard compensation adjustment, provided it shall not exceed the subzone maximum; or</p> <table><tr><th>From:</th><th>To:</th><th>Pay Adjustment (round to the nearest dollar)</th></tr><tr><td>Clinical Psychologist</td><td>Clinical Psychologist Supervisor</td><td>10%</td></tr><tr><td>Dentist</td><td>Dental Health Program Manager</td><td>15%</td></tr><tr><td>Physician (excluding Psychiatrist)</td><td>Physician Manager/Administrator (excluding Psychiatrist)</td><td>15%</td></tr></table> <p>b. In extraordinary cases, an exception beyond the standard compensation adjustment for permanent or temporary reallocation upward, may be approved by the Appointing Authority provided it shall not exceed the subzone maximum.</p> <p>2. Shortage Differential and In-band Amount(s)</p> <p>a. <i>When the SD at the minimum of the new shortage group is greater than or equal to the SD at the minimum of the existing shortage group</i></p> <p>1) The employee's SD, if any, shall equal the greater of:</p>	From:	To:	Pay Adjustment (round to the nearest dollar)	Clinical Psychologist	Clinical Psychologist Supervisor	10%	Dentist	Dental Health Program Manager	15%	Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%
From:	To:	Pay Adjustment (round to the nearest dollar)											
Clinical Psychologist	Clinical Psychologist Supervisor	10%											
Dentist	Dental Health Program Manager	15%											
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%											

Type of Adjustment	Pay Adjustment
	<p>a) The SD listed on the shortage table for the new shortage group, or</p> <p>b) The employee's existing SD; and</p> <p>2) The in-band adjustment(s) shall remain the same;</p> <p>provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth <p><i>b. When the SD at the minimum of the new shortage group is less than the SD at the minimum of the existing shortage group</i></p> <p>1) The employee's SD shall equal the differential listed on the shortage table for the new shortage group, and</p> <p>2) The employee's in-band amount(s) shall remain the same;</p> <p>provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p>

Type of Adjustment	Pay Adjustment												
	<ul style="list-style-type: none">• SD• Retention• Internal Alignment• Professional Growth												
Temporary Assignment to a Higher Class (Civil Service only)	<p>1. Adjust the employee's existing monthly basic rate of pay to the following standard compensation adjustment, provided it shall not exceed the subzone maximum and 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:</p> <table><tr><th>From:</th><th>To:</th><th>Pay Adjustment (round to the nearest dollar)</th></tr><tr><td>Clinical Psychologist</td><td>Clinical Psychologist Supervisor</td><td>10%</td></tr><tr><td>Dentist</td><td>Dental Health Program Manager</td><td>15%</td></tr><tr><td>Physician (excluding Psychiatrist)</td><td>Physician Manager/Administrator (excluding Psychiatrist)</td><td>15%</td></tr></table> <p>2. The salary matrix shall not apply for temporary assignment.</p> <p>3. <i>When the SD at the minimum of the new shortage group is greater than or equal to the SD at the minimum of the existing shortage group</i></p> <p>a. The employee's SD, if any, shall equal the greater of:</p> <p>1) The SD listed on the shortage table for the new shortage group, or</p> <p>2) The employee's existing SD; and</p> <p>b. The employee's in-band amount(s) shall remain the same;</p> <p>provided the sum of the employee's new basic rate of pay + SD + in-band amount(s) is less than or equal to the subzone maximum.</p> <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p>	From:	To:	Pay Adjustment (round to the nearest dollar)	Clinical Psychologist	Clinical Psychologist Supervisor	10%	Dentist	Dental Health Program Manager	15%	Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%
From:	To:	Pay Adjustment (round to the nearest dollar)											
Clinical Psychologist	Clinical Psychologist Supervisor	10%											
Dentist	Dental Health Program Manager	15%											
Physician (excluding Psychiatrist)	Physician Manager/Administrator (excluding Psychiatrist)	15%											

Type of Adjustment	Pay Adjustment
	<ul style="list-style-type: none">• SD• Retention• Internal Alignment• Professional Growth

**For Civil Service and Exempt Employees
(Not Applicable to Employees Hired for 89-Days or Less)**

**Instructions for Compensation Adjustments For
Licensed Health Care Professionals Pilot Project
(Clinical Psychologist, Dentist and Physician)**

"Subzone Maximum" refers to the maximum compensation allowed in the applicable subzone in the Licensed Health Care Professionals Pilot Project, including base pay, shortage differential, and in-band amounts.

**Part I – Compensation Adjustments Within the
Licensed Health Care Professionals Pilot Project**

Type of Adjustment	Pay Adjustment
<p>Across-the-board Pay Adjustment</p> <p><i>(Civil Service and Exempt)</i></p>	<ol style="list-style-type: none"> 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/or in-band amount(s), if any, shall remain the same; provided the employee's basic rate of pay + SD + in-band amount(s) does not exceed the subzone maximum. <p>If the sum of the employee's new basic rate of pay + SD + in-band amount(s) is greater than the subzone maximum, the sum of the employee's SD and in-band amount(s) shall be reduced to equal the difference between the subzone maximum minus the employee's new basic rate of pay.</p> <p>If the employee's SD and/or in-band amount(s) must be reduced, they shall be reduced in the following order:</p> <ul style="list-style-type: none"> • SD • Retention • Internal Alignment • Professional Growth
<p>Retention In-band Adjustment (HRMS Code: RA)</p> <p><i>(Civil Service and Exempt)</i></p>	<ol style="list-style-type: none"> 1. The employee's existing basic rate of pay, SD and/or 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 subzone 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).

<p>Internal Alignment In-band Adjustment (HRMS Code: IA)</p> <p><i>(Civil Service and Exempt)</i></p>	<ol style="list-style-type: none"> 1. The employee's existing basic rate of pay, SD and/or in-band amount(s), if any, shall remain the same. 2. The internal alignment in-band adjustment shall equal the difference between the $\left(\begin{array}{l} \text{Comparable employee's} \\ \text{basic rate of pay + SD +} \\ \text{in-band amount(s)} \end{array} \right) - \left(\begin{array}{l} \text{Subject employee's} \\ \text{existing basic rate of pay +} \\ \text{SD + in-band amount(s)} \end{array} \right)$ <p>The comparable employee's basic rate of pay + SD + in-band amount(s) should not be greater than the subzone maximum.</p>
<p>Professional Growth In-band Adjustment (HRMS Code: PA)</p> <p><i>(Civil Service and Exempt)</i></p>	<ol style="list-style-type: none"> 1. The employee's existing basic rate of pay, SD and/or in-band amount(s), if any, shall remain the same. 2. Calculate the professional growth in-band adjustment by multiplying the employee's monthly basic rate of pay by .04 (rounded to the nearest dollar). 3. The result shall be the employee's new professional growth in-band adjustment, provided the sum of the employee's basic rate of pay + SD + in-band amount(s) + new professional growth in-band adjustment is less than or equal to the subzone maximum. <p>If the sum of the employee's basic rate of pay + SD + in-band amount(s) + new professional growth in-band adjustment is greater than the subzone maximum, the employee's new professional growth in-band adjustment shall be the difference between the subzone maximum minus the sum of the employee's existing basic rate of pay + SD + in-band amount(s).</p>

Part II – Compensation Adjustments for Personnel Transactions
Out of the Licensed Health Care Professionals Pilot Project

Type of Adjustment	Pay Adjustment
<p>Personnel Transactions Out of the Licensed Health Care Professionals Pilot Project</p> <p><i>(Civil Service and Exempt)</i></p>	<ol style="list-style-type: none"> 1. The employee shall receive the SD for the new shortage group, if any, otherwise the employee's SD shall terminate. 2. The employee's in-band amount(s), if any, shall terminate.