

# In-Band Adjustment Policies and Procedures *for Classified and Wage Employees*

University of Mary Washington  
Office of Human Resources

Fall 2016

## Course Objectives



- **Definition of an In-Band Adjustment**
- **UMW and State Policy**
  - General eligibility criteria
  - Change in Duties (new higher level duties)
- **Process and Timelines**
- **Supervisor's Role**
- **Designated Inband Supervisor's Role**
- **Questions and Answers**

## What is an In-band Adjustment?

An in-band salary adjustment is a non-competitive pay practice which allows supervisors the flexibility to adjust individual salaries within their current pay band based on a change in duties (higher level).

## State Pay Band Crosswalk

(effective 08/10/2015)

Statewide PAY BANDS EFFECTIVE 08/10/2015		
BANDS	Grades	Maximum
• 1	1,2,3	\$ 38,820
• 2	4,5	\$ 48,370
• 3	6,7,8	\$ 58,146
• 4	9,10,11	\$ 74,617
• 5	12,13,14	\$ 96,134
• 6	15,16, 17	\$ 124,244
• 7	18,19,20	\$ 160,972

## Why the In-Band Process

The In-Band Process...

- Provides management with flexibility to adjust individual employee's salaries based on a change in duties (higher level).
- Provides individual employees with potential salary growth by recognizing career progression
- Provides management with tools to resolve specific salary issues

## Keep in mind...



- In-Band adjustments are not performance awards
- Does not compensate for volume (more of the same level work)
- Not "across the board" increases
- Operational factors will be considered:
  - Agency Business Need
  - Knowledge, Skills, and Abilities
  - Performance
  - Budget Implications
  - Current Salary
- Long Term impact
- Duties and Responsibilities
- Internal Salary Alignment

## Key Points of Policy: ELIGIBILITY

### Non Probationary Classified Employees

- Must have a current “Contributor” performance evaluation rating
- Must not have received Written Notice under DHRM Policy No. 1.60, *Standards of Conduct* within six months of effective date.

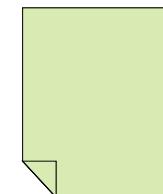
### Probationary Classified Employees

- Eligible after 9 months of continuous employment
- Received an interim “Contributor” performance evaluation rating

### Wage Employees

- Eligible after 9 months of continuous employment

## Supervisor's Worksheet/PAW for In-Band Adjustment Requests



HR Form R-1

## Maximum Adjustment Allowed

- Under state policy, total in-band adjustments within a fiscal year, including inband bonuses may not exceed 10% of the base salary.
- Employees at maximum of pay band are not eligible for in-band adjustments or bonuses.



## Justification for In-band Adjustment



- Higher level duties assigned on or after 4/25/2014
- Performed higher level duties for at least 6 months

## Request Process



- **How can a request be initiated?**

1. Supervisors who conduct classified employee evaluations and/or have authority to hire/terminate wage employees may submit requests to their area Designated Inband Supervisor on HR Form R-1.
2. The Designated Inband Supervisor and the Cabinet Vice President (GLC member) from the area must review, approve or decline, and sign the request form (R-1).
3. Cabinet Vice Presidents will submit all requests to HR for compliance review
4. Note: All requests, approved or declined, must be submitted to HR for record keeping purposes.

## Required Documentation *Supervisor Request Process:*



### Make Sure...

- To attach a hard copy of the old EWP to the Form R-1
- To update the new EWP in Careers, indicating % of time devoted to new higher level duties

## Supervisor Worksheet (Form R-1) *Supervisor Request Process:*



- Supervisor's Worksheet (see handout)
  - Complete thoroughly
  - Provide details and supporting facts where applicable
  - Emphasize "higher level" changes
- Completed request must be received by established deadlines
- ALL requests must be submitted to HR even if denied

## HR Compliance Review

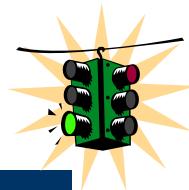
- Review for appropriate signatures and documentation by deadline
- Incomplete requests will be returned to Cabinet Vice Presidents for completion
- Only completed requests submitted by the deadline will be forwarded to GLC for review
- HR prepares a summary of requests for GLC review



## Green Light Committee

Rick Pearce	Administration, Finance & IT
Sabrina Johnson	Human Resources
Juliette Landphair	Student Affairs
Jonathan Levin Kimberley Williams	Provost Enrollment Management
Ken Steen Anna Billingsley	Advancement UREL
Marty Wilder	President's Office & CoS
Leah Cox Jeff Rountree	Diversity & Inclusion Foundation

## Green Light Committee (GLC)



- Conducts reviews and makes final recommendations
- Ensures consistency across divisions
- Recommends decisions based on agency need and funding



## Communication of Results

- HR sends GLC decision to Designated In band Supervisors and Cabinet Vice Presidents
  - HR sends pay increase letters to employee receiving an adjustment with a copy to immediate supervisor



## Key Dates

## Fall 2016 Review

## Deadline for Request to HR

November 18, 2016

## Green Light Committee

To be Determined

### Adjustment Effective Date

February 25, 2017

## Supervisor's Approach to the Process



### Supervisor's Approach

1. Determine if any positions have evolved with higher level duties.
2. Analyze role of compensation in meeting business needs.
3. Be prepared to communicate with employees about approach to job assignments and compensation.
4. Utilize recognition tools.



## Higher Level Duties “???”

Actual new duties (Job Evaluation Factors)

### PLUS

Percentage of time devoted to new duties

Impact of new duties

How many job factors have changed?

How does this job compare to other jobs in my area?



## Indicators of Higher Level Duties

### Job Evaluation Factors

“Accountability, Complexity and Results”

- Complexity
- Discretion
- Scope and Effect
- Supervision Received
- Supervisory Duties
- Personal Contacts: Nature and Purpose



## Indicators of Higher Level Duties

### Job Evaluation Factors

**Complexity:** increased intricacy of tasks ( more complicated, convoluted, involvedness); increased difficulty to identify what work needs to be done; increase in level of analytical skill to carry out the work  
**from** repetitive predetermined tasks with well defined methods for achieving results  
**to** determining which methods to use to achieve results and task priorities  
  
**from** verifying, coding, compiling  
**to** computations, data analysis, extrapolating meaning



## Indicators of Higher Level Duties

### Job Evaluation Factors

**Discretion:** increase in authority to exercise judgment in carrying out the work and assessing success or failure  
**from** preliminary eligibility determination based on checklist of preset objective criteria  
**to** applying judgment to subjective criteria (investigating, reviewing and interpreting)  
  
**from** providing factual, “directory” level assistance  
**to** handling unusual or emergency situations, interpreting guidelines or resolving problems



## Indicators of Higher Level Duties

### Job Evaluation Factors

**Scope and effect:** gauges the breadth of work and its impact within and outside the organization

from performing routine work, the influence of which does not extend beyond the immediate organizational unit or department

to planning, developing, and carrying out programs that have significant or major impact on the mission of the university



## Indicators of Higher Level Duties

### Job Evaluation Factors

**Supervision received:** more autonomy with respect to a supervisor; increased accountability, responsibility ,or liability

**Supervisory duties:** new responsibility for the work of others ( hiring, performance management and disciplinary authority)



## Indicators of Higher Level Duties

### Job Evaluation Factors

#### Nature and Purpose of Personal Contacts:

##### Nature of Contact

**from** working only with others within a department or the public, in a highly structured manner, with little discretion  
**to** working with high ranking officials outside the university in unstructured settings



## Indicators of Higher Level Duties

### Job Evaluation Factors

#### Nature and Purpose of Personal Contacts:

##### Purpose of Contact

**from** obtaining and providing factual information  
**to** justifying, defending, negotiating, or settling matters involving significant or controversial issues

## Is Compensation the right tool?

1. Should this issue be addressed through other means?

For example, through:

- Restructuring
- Training
- Employee Relations

- If compensation becomes a relevant tool, then... which compensation tool would be most effective?

## Compensation Tools

- Temporary Pay
- Competitive Offers
- Retention Bonuses
- In-Band Salary Adjustments

## If an employee requests to be recommended...



### Be prepared:

- Set an appointment to meet with the employee
- Prior to the meeting
  - Become familiar with the employee's EWP.
  - Be sure you understand the in-band guidelines for higher level duties.

## Tips in a Dialogue



- Listen (there may be other non-salary issues)
- Communicate your understanding of the employee's concern
- Be able to explain how the definition of higher level duties apply
- Explain the criteria in terms of agency business need/not personal terms.
- Be able to distinguish between performance and in-band adjustment criteria
- Give an appropriate and honest response (don't "pass the buck")

## Possible Responses

- That you will be mindful of what you learned in your discussion with them as you decide which recommendations to forward.
- That you intend to forward a recommendation, and that university wide priorities will determine which are awarded.
- That based on your understanding of the policy, this does not meet the criteria for an in-band adjustment.
- If it is a non-salary issue, begin to address it at that time.

## If all else fails...

If necessary, remind the employee of other ways to address their concerns about the process:

- Discuss with others in “chain of command”
- Consult with HR

## Utilize Recognition Tools



## Informal Recognition Ideas

- Personal thank you
- Thank you note
- Make an informal award
- Acknowledgement of Extraordinary Contribution
- Create a “Hall of Fame” wall
- Office “Appreciation” box

## Tips on how to give Recognition

Be...

- Timely
- Specific
- Sincere
- Personal
- Proportional

## UMW Recognition Awards

- WOW Cards
  - \$35 (classified and wage)
  - Leave cards (classified only)
- Virginia Public Service Week
- Charles Coleman Service Memorial



## Designated In Band Supervisors



### DIBS determine:

- Area guidelines for receiving supervisor requests
- Whether requests meet eligibility requirements
- Whether documentation is proper and complete
- Whether justification is adequate



## Designated In band Supervisors



### DIBS determine:

- Whether this is the most effective management tool to address the issue
- Determine the effect of this request on all employees in area has been considered; and
- Whether the decision is based on agency operational needs



## Designated In band Supervisors



### DIBS Internal Guidelines:

- Internal deadline submission dates?
- Cabinet level report (approvals and /or denials?)
- In person or paper review of supervisor requests?
- Intra division calibration with other area DIBS?
- Division level appeal for denials?

## Key Points

- Follow any internal division guidelines.
  - Consider overall impact of individual decisions and internal procedures.
  - Strive for consistency in consideration of requests.
  - Determine and articulate objective policy and business related reasons for recommendations.
  - Follow process requirements carefully.
    - Supervisor Worksheet with copy of old EWP
    - Updated EWP with new duties in Careers
- Prepare yourself to address concerns of employees.

## Questions and Answers

