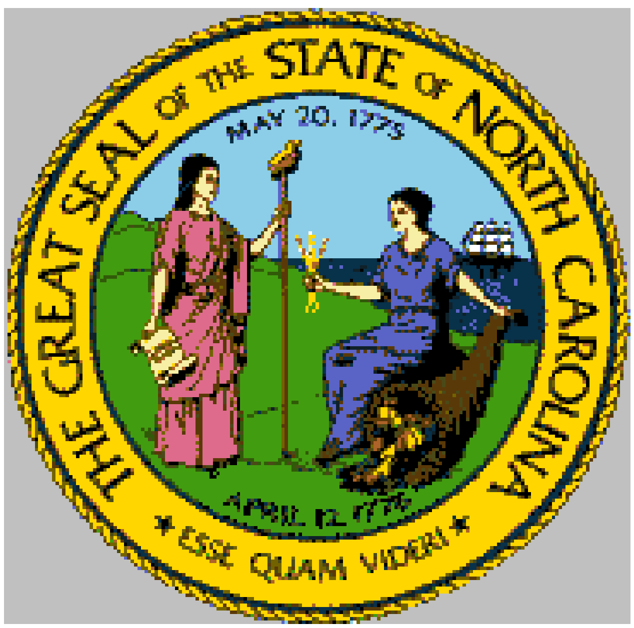
CAREER-BANDING

HANDBOOK for MANAGERS and HUMAN RESOURCES PROFESSIONALS



NC OFFICE OF STATE PERSONNEL
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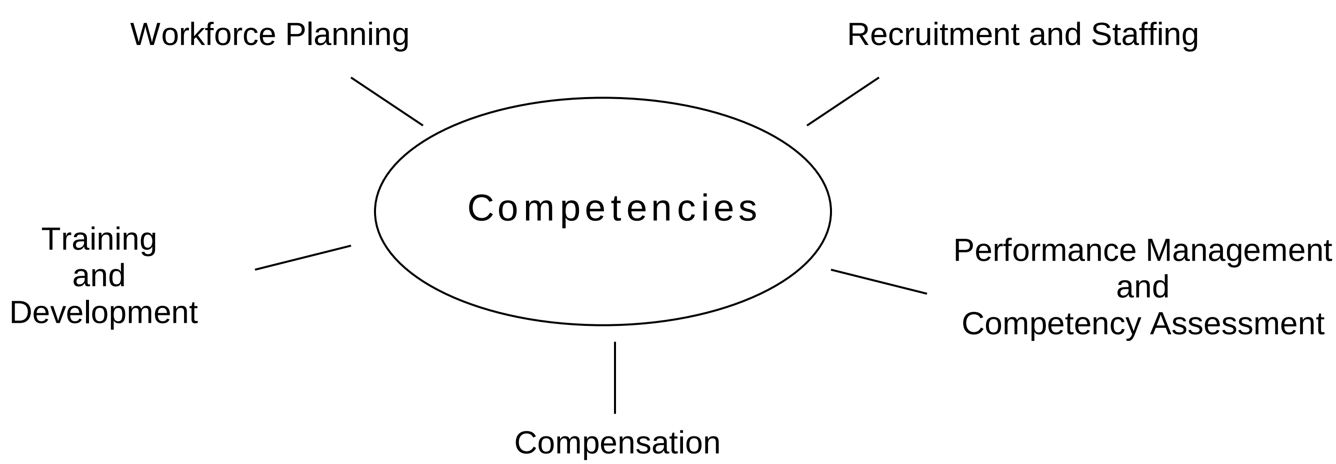
Introduction

A competency-based human resources system is one that is specifically designed to identify competencies needed by an organization to accomplish its goals and objectives and to promote the development of those competencies in the workforce. Competencies are defined in the State Personnel Manual (Section 4, Page 109) as "Sets of knowledge, skills, and abilities that employees need to successfully do their job. Competencies must be demonstrated on the job, measured according to standards set by the organization, and required of the job based on the organization's needs."

The following chart illustrates the various human resources areas that competencies drive.

Competency-Based Human Resources System



Once an employee's competencies are assessed, career development plans can be established by the employee and the manager. Training and development programs can be modified and expanded to enhance needed competencies. Employees can be recruited and promoted based on whether their competencies match job requirements. Compensation decisions can support employee development and market competitiveness. Workforce plans can be developed to assure organizational success in the future.

Career-banding is a system in which similar kinds of work are identified and organized into broad classes of jobs (banded classes). Wider pay ranges and career paths are based on these broader classes. Pay movement is based on the development and demonstration of competencies - knowledge, skills, and abilities - needed to perform the work.

Each banded class is part of a Job Family. There are ten Job Families in North Carolina State Government:

- Administrative and Managerial
- Information Technology
- Law Enforcement and Public Safety
- Information and Education
- Human Services
- Medical and Health
- Institutional Services
- Operations and Skilled Trades
- Engineering and Architecture
- Environment, Natural Resources and Scientific

The Career-banding system has many key features critical to the continued success of agencies and universities throughout the state. It provides the following advantages:

- Identifies employees' competencies - knowledge, skills, and abilities needed to successfully do the job;

- Bases employees' pay on their level of contribution and relevant labor market information;

- Allows an employee to move within their pay range based on developing and using new competencies needed in the work unit;

- Provides a way for managers and employees to create development plans that will enhance the employees' careers;

- Encourages employees to develop skills necessary for the organization to succeed;

- Sets pay ranges for job families based on the average market pay for occupations;

- Involves managers in compensation decisions and holds them accountable; and

- Reduces the number of job titles and simplifies the administrative process.

This Career-banding **Handbook for Managers and Human Resources Professionals** provides information on how to manage and operate in the Career-banding human resources system. It explains the role and responsibilities of the manager and provides helpful information and tools for key management responsibilities including recruitment and selection, competency assessment, career development planning, pay management, employee relations, and budgeting.

Implementation Process

The development of the first five job families began in January 2004. Each agency/university will have a specific implementation plan with different timeframes. As each job family is implemented, employees will be placed into a banded class and assigned to a job family. Typically, employees will move into the Career-banded system with no change in pay. Managers will manage employee pay to the appropriate market rate based on budget resources, demonstrated competencies and business needs of the organization.

Role of Transition Teams

Transition Teams have been or will be established by the Office of State Personnel for each job family or subset of a job family. The Transition Teams are composed of representatives from agencies, universities and the Office of State Personnel. The Transition Teams are responsible for:

- Validating the Job Family **Crosswalk**;
- Developing the **Banded Class Specifications** (competency definitions);
- Developing the **Competency Profile** for each Competency (description of work at the Contributing, Journey and Advanced levels);
- Validating the Banded Class Specifications and the Competency Profile through the use of focus groups with agency/university representatives, both employees and managers, working within the job family; and
- Working with the OSP Compensation staff to determine the **market rates**.

After approval of these items by the State Personnel Commission, the Transition Team will provide **Job Family/Branch Class Concept Training** for Agency/University HR staff.

Role of Job Family Implementation Teams and HR staff

After Job Family/Branch Class Concept Training each Agency/University will establish an **Implementation Project Plan** including an implementation schedule for that job family. The Career-banding Coordinator at each Agency/University will establish and/or lead an **Implementation Team**. It will typically be comprised of a project leader from Human Resources and representatives from varying HR functions and management from the occupational job family. It may also include a representative of the Agency/University budget office to understand the impact to the budget process or funding resources.

During the first Implementation Team meeting, general orientation on Career-banding should be provided to the team members and the team should agree on the following items:

- Scope of project - Using a job/position inventory, determine the positions or groups of positions to be included in the project.
- Roles of all parties (i.e., HR Office, steering committee, work groups, etc.)
- Assistance needed from OSP
- Communication Plan

The Implementation Team then develops a Project Plan including an implementation schedule.

Implementation Steps
The process for implementing a job family/branch at an agency/university will typically involve the following steps:

Step 1: Communication
Step 2: Competency Validation
Step 3: Market Rate Validation
Step 4: Initial Allocation List
Step 5: Employee and Manager Training
Step 6: Competency Assessments
Step 7: Final Allocation List
Step 8: Project Report

Managers may be involved in all steps of the implementation process but will be especially involved in Step 5: Employee and Manager Training and Step 6: Competency Assessments.

During Step 5: Employee and Manager Training, managers will be trained in how to prepare a Competency Assessment, how to prepare career development plans with employees, recruitment and selection (including behavioral interviewing), and other new features in a Career-banding system. Managers may be asked to assist in conducting employee training sessions. Managers need to be prepared to answer questions that the employees may have regarding the implementation process and general questions about Career-banding.

During Step 6: Competency Assessments, managers will:

- confirm the banded class placement for each position,
- determine the initial competency level for each employee (contributing, journey or advanced), and
- begin preparing career development plans with employees.

Managers may be asked to participate in the job family/branch implementation in a variety of other ways including participation in the Implementation Team, participation in focus groups, providing assistance at training presentations, peer review of competency assessments, and mentoring other managers.

Chapter 1

Role and Responsibilities

Understanding the roles and responsibilities of each party – employee, manager, agency/university human resources staff and OSP - in the Career-banding system is critical. Roles and responsibility for each are identified as follows:

Role of the Employee

- To take responsibility for career development
- To develop competencies
- To contribute to the accomplishment of the organization’s mission through continued demonstration and development of required competencies

Role of the Manager

- To introduce, educate, and train employees to the Career-banding system
- To recruit, select and develop a qualified, motivated and diverse workforce
- To assess the competencies of employees
- To assist employees as they develop competencies that are needed and valued by the organization
- To advise employees on career development and jointly develop an individualized career development plan
- To use pay factors in recommending and managing employee pay
- To document and explain pay recommendations

Role of Agency/University Human Resources Staff

- To orient employees and managers
- To implement the Career-banding program
- To train and consult with managers on compensation issues
- To monitor application of the organization’s pay philosophy
- To monitor for fairness, consistency and effectiveness
- To evaluate the need for updated or new Market Reference Rates

Role of Office of State Personnel

- To lead and manage the Career-banding process
- To establish job family structure and banded classification specifications
- To establish market rates and salary guidelines
- To monitor for fairness, consistency, and effectiveness
- To provide training and consultation
- To provide labor market information

Chapter 2

Recruitment and Selection

The recruitment and selection process in a Career-banded environment maintains a focus on the competencies required to perform the work and the specific competencies of the applicants. The basic steps in the process remain the same:

- Posting the Vacancy
- Screening Applicants
- Interviewing
- Selecting the Candidate
- Determining the Salary

Each of these steps is reviewed below and factors requiring particular attention in a Career-banding environment are highlighted. The desired outcome of the recruitment and selection process is to find the **best match** between the applicant and the position, i.e. find the applicant whose competencies represent the closest match possible with the competencies required for the position.

Each agency/university utilizes a merit-based recruitment and selection process that is documented in their respective Recruitment/Selection Plan. Recruitment/Selection Plans are reviewed and approved by the State Personnel Commission through the OSP HR Partner in consultation with the OSP Recruitment and Selection Program Specialist. Plans should be reviewed as Career-banding implementation begins and periodically, thereafter, to confirm consistency between the Plan and on-going recruiting activities.

Posting the Vacancy

State law and policy require that positions for which management will openly recruit be posted. The established posting options (internal to the agency/university, state government employees only, or external candidates) and respective timeframes remain unchanged in a Career-banding environment. The purpose of posting is to:

- Sell the job
- Attract applicants who can do the job
- Provide information for applicants to use in determining whether to apply or not
- Justify and defend hiring decisions.

It is important to prepare and plan carefully before posting a position. Management will need to determine, prior to posting, the competencies needed for work to be accomplished in the banded position. This decision will depend on the work demands, competencies needed to successfully perform assigned responsibilities, competencies of other employees in the work unit, as well as financial/budget constraints.

Steps in developing a posting include:

Step 1: Define the business need and determine Competency Level (Contributing, Journey, or Advanced)

- Consider departmental goals and objectives
- Consider workforce planning needs
- Consider the availability of workers
- Consider availability of funds

Step 2: Describe the work

- Identify the primary responsibilities of the position
- Update the Position Description, if needed

Step 3: Identify the Required Competencies

- Review the Position Description
- Review the current Workplan (for an existing position).
- Review the Competency Profile for the banded class.
- Meet with hiring manager to confirm Required Competencies and Preferred Competencies, if any, for the posting (see page 12)

  Note: Most jobs typically have 4-6 key competencies.
  Note: The job tasks should have a direct relationship to the required competencies for the position.

Step 4: Include the training and experience (T&E) requirements for the banded class (Human Resources staff can provide these requirements)

Step 5: Establish the recruitment range

- Consider the four pay factors (financial resources, appropriate market rate, internal pay alignment and required competencies)
- Have relationship with competency level

- If you are willing to accept an entry level candidate, ensure the recruitment range includes the minimum of the class range
- If there is a limit on available funding or equity concerns, work with HR staff to set a recruitment range.

Step 6: Establish the salary range

- Generally the entire banded class pay range
- If there is a limit on the level of duties possible for a job, work with HR staff to set a range maximum below the salary range maximum.

Step 7: Take care of the details

- Competency Level: "Work is identified at the (C, J, or A) Competency Level" (see below)
- To Consider Lower Level Candidates: "If no applicants apply who meet the required competency and T&E requirements, then management may consider other applicants. Salary will be determined based on competencies, equity, budget, and market considerations."
- Priority Statement: "For current State employees during the implementation of Career-banding, this job is considered at salary grade ___." (see page 12)

Each career banded vacancy shall include the identified competency level and salary grade of reference. Vacancies must be posted at one competency level

If management determines that recruitment at the identified competency level may be difficult, a statement may be added to the vacancy announcement that would enable management to consider candidates at a lower competency level if no qualified candidates are identified. If recruiting at the journey or advanced levels and management would like to respectively consider contributing or journey level candidates should candidates not be identified at the full competency level, the following statement is added to the vacancy announcements:

"If no applicants apply who meet the required competencies and training & experience requirements, then management may consider other applicants. Salary will be determined based on competencies, equity, budget and market considerations."

The administrative rules and policy continue to require specific elements within a vacancy announcement. Vacancy announcements should have the following components:

Position number – The assigned number unique to the position.

Position title – The official banded class title is required.

Working title – A title that more specifically and descriptively describes the job. As the banded classes are intentionally broad, encompassing several existing job titles, a working title is needed to provide a better understanding and recognition of the job responsibilities.

Competency level – Management should identify, based on the competencies necessary to complete the assigned work tasks and responsibilities, the competency level for the position opportunity (Contributing, Journey, or Advanced).

Salary range – The banded class salary range is defined as the entire pay range (minimum to maximum) of the banded class.

Recruitment range - A recruitment range can be used to define and present a realistic expectation of the salary range corresponding to the selected competency level. In addition to the identified competency level, consider the other pay factors (financial resources, appropriate market rate, and internal pay alignment) to determine the recruitment range for the vacancy.

Salary grade reference – The salary grade reference is necessary to properly consider and apply employment and re-employment priorities (see “Salary Grade Reference Inventory” on the OSP CB website). Note: The salary grade reference is only used to determine recruitment priorities for transfers between graded and banded classes. It is not used to determine priority for transfers from a banded class to another banded class. The salary grade reference is also not used to determine pay.

Essential functions – The essential functions or key duties of the position should be clearly stated. While it is impossible to include all functions, the key duties/responsibilities should provide a clear description of the position. The essential functions should directly relate to the required competencies listed on the vacancy announcement.

Minimum competency requirements – In a Career-banding system, competencies are a key component used to determine the pool of qualified applicants. It is imperative that management determines the competencies needed for a position and include that information on the vacancy announcement. Basic competencies for each competency level within a banded class are identified on the class specification and/or the Competency Profile. Additional competencies, targeted specifically to the position and directly related to the position duties, may be added. Remember, the competencies listed reflect the minimum competencies that candidates must have to be considered qualified.

Preferred competencies are not required to perform the assigned job responsibilities. They are, however, directly related to the job and would be beneficial to accomplishing assigned work tasks.

Minimum training and experience requirements – There is an established minimum training and experience requirement for each banded class as determined by the job family transition team. The minimum training and experience requirement will capture the basic level of training and experience needed for the entry level of the banded class.

Banded classes may also have “training & experience guidelines” developed by the job family transition team. The guidelines will be specific to the three competency levels in the banded class.

Agencies and universities must decide if they will use the minimum class requirement **or** the "training and experience guidelines"; <u>once determined, the agency/university is committed to consistently using either the banded class minimum requirement or the chosen "training and experience guidelines" for recruitment of **all vacancies in all the banded classes within that job family**</u>.

<u>It is important to remember that salary determinations are based on the level of competencies possessed by an applicant and not years of training and experience.</u>

Posting period - A position must be posted for at least the minimum number of working days currently required by State policy.

Contact information/How to apply - This section should explain how candidates may apply for the selected vacancy and whom to contact if they have questions.

The vacancy announcement is the primary mechanism to inform potential candidates about the available career opportunity within the agency/university. It should spark interest in the position, realistically portray the duties/responsibilities of the position, clearly articulate the competencies needed for successful performance, and list any special, necessary requirements such as licensure, registration, certification, residency requirement.

State Application - The State Application for Employment (or its equivalent) is the official, legal document to apply for a specific position within North Carolina State Government. The information contained in the State Application is used in screening applications to determine if the applicant is qualified based on the posted requirements for the specific opportunity. It is incumbent on the applicant to articulate the competencies and related work experiences that demonstrate their qualifications.

Supplemental Application Tools - There may be a need to utilize supplemental application tools to help applicants identify, document, and describe their competencies related to the position. Additional application tools may also assist HR in determining the pool of qualified candidates.

Supplemental application tools are specific to the vacancy and target the required competencies. Once developed, these tools can be modified for similar positions.

Tools that can be developed include a competency questionnaire and skills inventory. These tools can be used to help determine the qualified pool (i.e. tool used with the initial submission of the application) or to further refine the pool to determine the pool of most qualified.

<u>Screening Applicants</u>

<u>Existing state law and policy require that applications received for a job posting be screened in order that a selection decision be made from among the pool of most qualified candidates.</u> Each applicant's qualifications must be reviewed and compared to the required competencies and the minimum training and experience requirements stated on the vacancy announcement. This review will establish the pool of qualified candidates.

The purpose of screening is to:

- Determine Qualified vs. Not Qualified
- Determine Most Qualified Pool from Qualified Pool
- Identify Candidates for Interview

Steps in the screening process should include:

Step 1: Know the job

Step 2: Know the job requirements (required competencies and T&E) as stated in vacancy announcement

Step 3: Review applications to determine if they meet minimum requirements (competencies and T&E). **When in doubt, screen candidates in!**

Step 4: Review applicants to determine the pool of Most Qualified; candidates selected for interviews must be from the Most Qualified Pool.

Competency evaluation – The vacancy announcement must contain the competencies needed for successful performance of the specific job opportunity. Reasonable and defensible judgment is necessary to determine if an applicant possesses the required competencies and to what extent the competencies are evident. Each application is reviewed and a determination made whether or not there is a demonstrated relationship between stated experience on the application and the necessary competencies.

Competency requirements - Candidates must possess the competencies as stated in the vacancy announcement.

Minimum training & experience requirements – Candidates must possess the minimum training and experience requirements as noted on the vacancy announcement.

Remember, the banded class specification will list the minimum training and experience requirements for the entry level; the optional training and experience guidelines for the Contributing, Journey and Advanced level, if used, will be stronger. Consideration of related education and work experience above the minimum requirements for a class will continue to be included in the overall screening process, but <u>primary consideration will be given to competencies.</u>

Management Preferences/Preferred Qualifications – Specific to the identified vacancy, management may identify additional competencies or training that would be beneficial for the applicant to possess. However, these **<u>management preferences are not</u>**

<u>requirements</u> for the position, and **<u>applicants are not to be screened using management preferences</u>**.

Management may use supplemental selection tools (questionnaires, skills inventories, etc.) to target specific competencies necessary for a position. These tools may be used with the initial submission of the completed State Application, or they may be used to help identify the most qualified pool from the larger pool of qualified applicants. Supplemental selection tools should be used consistently. Supplemental selection tools should be required of all applicants in the pool at that phase of the screening process. Supplemental selection tools are especially beneficial when recruiting for technical positions.

To minimally qualify for a specific vacancy, the applicant must meet the stated required competencies <u>and</u> minimum training and experience requirements listed on the vacancy announcement. Once a pool of <u>qualified applicants</u> is identified that meets the minimum requirements, an additional review is necessary to determine the pool of <u>most qualified candidates</u>. This second analysis determines the extent to which applicants clearly exceed the required competencies and training and experience requirements. This will identify the pool of most qualified candidates. If the vacancy announcement includes management preferences, remember that candidates do not have to possess the identified management preferences to be included in either the pool of qualified or most qualified applicants.

See the “Applicant Selection Matrix” tool on the OSP Career-banding website.

Employment and Re-Employment Priorities - Existing statutory and policy provisions outline the framework for application of employment/re-employment priorities. Implementation of the Career-banding system requires a revision of processes and procedures to ensure appropriate and consistent application of the various employment/re-employment priorities.

Exempt policy-making/exempt managerial – One of the key components in administering this re-employment priority for individuals identified as exempt policy-making or exempt managerial is the salary grade to which the employee has priority. The Career-banding system does not utilize the salary grade structure. Therefore, a salary grade equivalency has been assigned for each banded class (see “Salary Grade Reference Inventory” on OSP CB website.) Other components of the priority must continue to be satisfied. Should an exempt policy-making/managerial employee be removed for reasons other than cause and the need to address re-employment is required, priority will be granted as discussed in the policy, using the approved Salary Grade Reference Inventory.

Reduction-in-force (RIF) – As with the above priority, employees officially notified in writing of a reduction-in-force will maintain the existing re-employment priority. However, the level to which priority is extended to employees in a banded class will be determined by the Salary Grade Reference Inventory. Other established components of the priority must be satisfied. One of the components requires that a RIF candidate meet the minimum qualifications for the vacancy. As the banded classes will be large and incorporate several existing classes, it is important to emphasize that all candidates, including RIF applicants, meet the competencies <u>and</u> training and experience requirements stated on the vacancy announcement.

Promotional – A vacancy announcement for a banded position should include the salary grade reference for the specific job opportunity (see “Salary Grade Reference Inventory” on the OSP CB website). The salary grade reference will enable potential applicants to determine if the career opportunity would represent upward movement. Once a salary grade reference is established, the existing promotional policy elements are applied. It is important to note that the employee’s pay will be based on the pay factors with no guaranteed percentage increase due to the promotion.

Veterans Preference – Implementation of Career-banding does not impact the application of veterans preference. The eligibility requirements have not changed. Credit will still be given for unrelated military service as noted in the State Personnel Manual. The policy elements for veterans preference will still be applied.

Interviewing

The selection decision is one of the most important decisions made by managers. The goal of every manager during the selection process is to select the candidate who will most positively impact the future success of the work unit and, in turn, the organization. Individual differences in the capabilities of candidates result in some candidates being substantially better qualified to perform than others. A critical part of the selection process involves structuring an interview process that allows the organization to assess the contribution a candidate is capable of making to the organization. This is known as competency-based or behavioral interviewing.

Competency-based interviewing provides many advantages:

1. It requires candidates to report on actual behavior.
2. It reduces "faking." Many candidates are prepared for traditional interviews in which the questions can be vague or theoretical and do not require the candidate to remember actual events. It can be much harder to recall past examples to illustrate one's skills.
3. It reduces misunderstanding of job responsibilities. Frequently, the interviewers may explain why a question is being asked.

Competency-based or behavioral interviewing relies on the use of behavior to make inferences about a candidate's suitability. This type of interviewing allows for an efficient way to evaluate candidate characteristics against the position requirements including competencies. This process relies on the following principles:

1. The best predictor of future behavior is past behavior and performance in similar circumstances. This means that the interview should focus on presenting questions and situations that come as close as possible to the activities and competencies of the target position.
2. The more recent the past behavior, the greater it predicts future behavior. The longer standing the behavior, the better it predicts future behavior.
3. The interview should contain only sound, job-relevant questions. Interviewers should design questions to seek information on demonstrated past performance that reflects competencies.
4. Open-ended questions that cannot be answered "yes" or "no" should be asked. "Who, what, when, why, where, how, which," and "tell me" are good beginnings for questions that encourage longer, more detailed, more informative answers.
5. Avoid ineffective questions:
   - Don't ask questions that rarely produce an honest answer.
   - Don't ask leading questions.
   - Don't ask theoretical questions.
   - Don't ask questions with obvious answers.
6. Evaluate the candidate's responses against the requirements of the vacancy.

See the Appendix for a Structured Interview Guide, Behavior-based Structured Interview Questions and Interview Questions - Legal Considerations. See the Appendix for more about behavioral interviewing – "Behavioral Interviewing Details".

Selecting the Candidate

Documentation of the selection decision in the Career-banding system should target the competencies and training/experience that substantiate the hiring recommendation. The candidate's competencies and training/experience must meet or exceed the advertised competency requirements. Further documentation should address additional information obtained through the interview, other selection tools, and reference checks that contributed to the recommendation decision. Again, all the information should focus on the competencies and training/experience needed for successful performance of the position. Documentation should also include the assessment and application, if needed, of applicants with employment/re-employment priority.

See the Applicant Assessment form and Initial Functional Competency Assessment form in the Appendix.

Determining the Salary

Determining the salary that will be offered to the selected candidate is the final step in the recruitment process. It is important to “plan the work, and then work the plan”. Planning should include the following:

Gather the necessary tools

- Posting information
- Salary range posted
- Job Description
- Work Plan
- Application of selected candidate
- Competency Profile
- Assigned competency level of work
- Assessed competencies of selected applicant
- Interview notes and supplements
- Work unit information
- $ amount available for this action
- A/U Policy on Reserves
- A/U Policy on Awarding Pay

Consider the consistent use of policy/procedure

- Any special A/U uses of reserves?
- Other salary needs already in the work unit?
- Other employees in work unit already working towards new competencies?
- When does A/U award for competency improvements?
  - Once a year
  - Only when hired?
  - Coming off of probation?
  - Hiring, probation, annually?

The salary should be determined using the following process:

Step 1: Level the selected candidate. Determine the overall competency level for the candidate - contributing, journey, or advanced (see Appendix for Initial Functional Competency Assessment form).

- Identify key competencies of job
- Compare those to the candidate using the application, the interview notes, the skills/sample ratings, and the telephone reference check

Step 2: Apply ALL Pay Factors. Carefully consider the following factors to determine the appropriate starting salary.

- Financial Resources: The amount of funding that a manager has available when making pay decisions.
- Appropriate Market Rate: The market rate applicable to the functional competencies demonstrated by the employee.
- Internal Pay Alignment: The consistent alignment of salaries for employees who demonstrate similar required competencies in the same banded class within a work unit or organization.
- Required Competencies: The functional competencies and associated levels that are required based on organizational business need and subsequently demonstrated on the job by the employee.

Step 3: Justify/Document. Use the following tools/forms to document your decision for future reference:

- Salary Assessor information
- Salary Decision Worksheet
- Competency Assessment form

Step 4: Obtain appropriate A/U approval

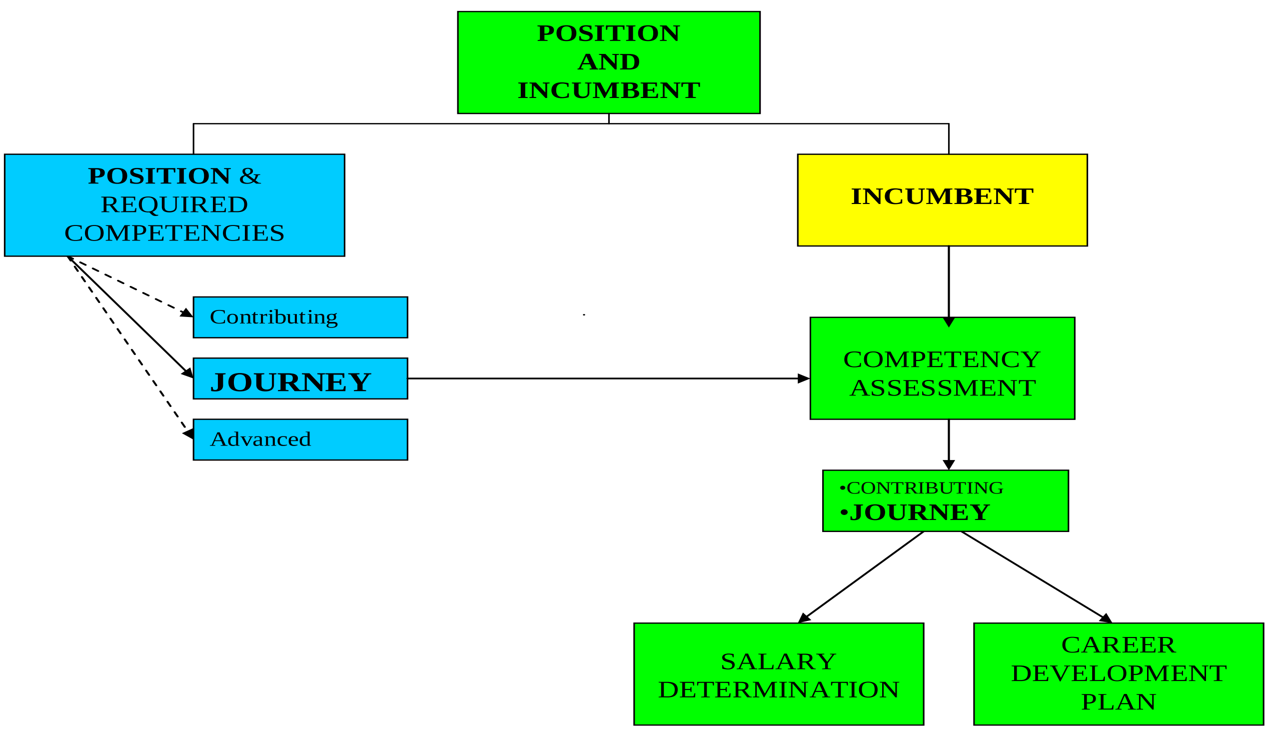
Step 5: Make offer to selected candidate

Chapter 3

Competency Assessment and Career Development Planning

A key part of the Career-banding human resources system is the assessment of each employee's demonstrated competencies. The competency assessment process ensures that employees possess and are demonstrating the knowledge, skills, and abilities required to make the organization successful. Discussion of the Employee Competency Assessment with the employee begins a continuing discussion about further development of competencies. In turn, career development planning - an activity jointly done by the employee and manager - provides a systematic way to build critical competencies for the organization and provide mutually beneficial opportunities for employees to develop further competencies.

The diagram below illustrates how an employee's competencies are assessed compared to the required competencies of the position. In this example, the overall competency level of the position is Journey. The manager provides specific examples of how the employee has demonstrated each required competency compared to the Journey-level definition. The employee's overall Competency Assessment would, therefore, be Journey since the requirements of the position are at the Journey level. If the employee has demonstrated competencies at the Contributing level the Employee's Competency Assessment level would be documented and recorded at the Contributing level with specific notation of planned development activities.



How to Complete an Employee Competency Assessment

Step 1: Identify competencies – name and definition

- Determine what is required for the position
- Use the appropriate Competency Profile located on the A/U website or OSP Career-banding website

For example, "Data Collection – Ability to observe, monitor, collect and record data to assess accuracy, validity and integrity of data."

Step 2: Define expectations

- Consider what is expected of the position (not the person)
- Describe what is expected using language form the Competency Profile; add additional detail as needed
- Indicate the level of the position expectation – Contributing, Journey or Advanced

For example, "Ability to organize and tabulate data; ability to ensure quality control of data collection."

Step 3: Document results

- Write an assessment statement that describes how the employee has demonstrated the competency – give specific examples.
- Be sure to match the statement to the expectation set in Step 2.

For example, "Jill collected data for the XXXXX research project. She maintained consistent and accurate calculations of plant growth and other variable measurements. Jill has identified variances in data collection for one of the key control variables."

Step 4: Determine level for that competency

- Review the assessment statements to determine what level they are describing – Contributing, Journey, or Advanced
- Note the appropriate level

For example. "J".

Step 5: Determine overall competency level

- Generally, the overall competency level is the same level as the level of the majority of individual competencies.
- If one (or more) competencies is more critical to the organization and, thus, may carry more "weight" in determining the overall competency level, explain and justify in the "Comments" section.

For example, C-1, J-3, A-0 for an overall competency level of "J".

Step 6: Note Career Development activities (See Career Development section below.)

Note: Since employees are assessed against the required competencies of the position, the employee's **overall** competency level will either be the same level as the position's competency level or lower. The employee cannot be assessed at a higher level than the position since they are assessed based on competencies required of the position. (Individual competencies can be assessed at a higher level, but not the overall level.)

Position Level	Overall Level for Employee Assessment		
C	C	J=Not valid	A=Not valid
J	C	J	A=Not valid
A	C*	J	A

* Manager should discuss with HR; could indicate position level should be reevaluated.

How are Competency Assessments different from Performance Evaluations?

It is important that each manager understands the difference between performance and competencies and is able to explain the difference to employees.

An Employee Competency Assessment documents that the employee has demonstrated that he/she has the knowledge, skills, and abilities needed to do the work. It is based on the specific competencies required to do the work.

A Performance Evaluation measures the achievement of individual goals set annually by the manager. Each employee has measurable goals and performance targets. The Performance Evaluation documents whether or not the assigned worked was completed and if the goals were met. A performance management process is linked to strategic goals and objectives of the organization and focuses on the measurement of results.

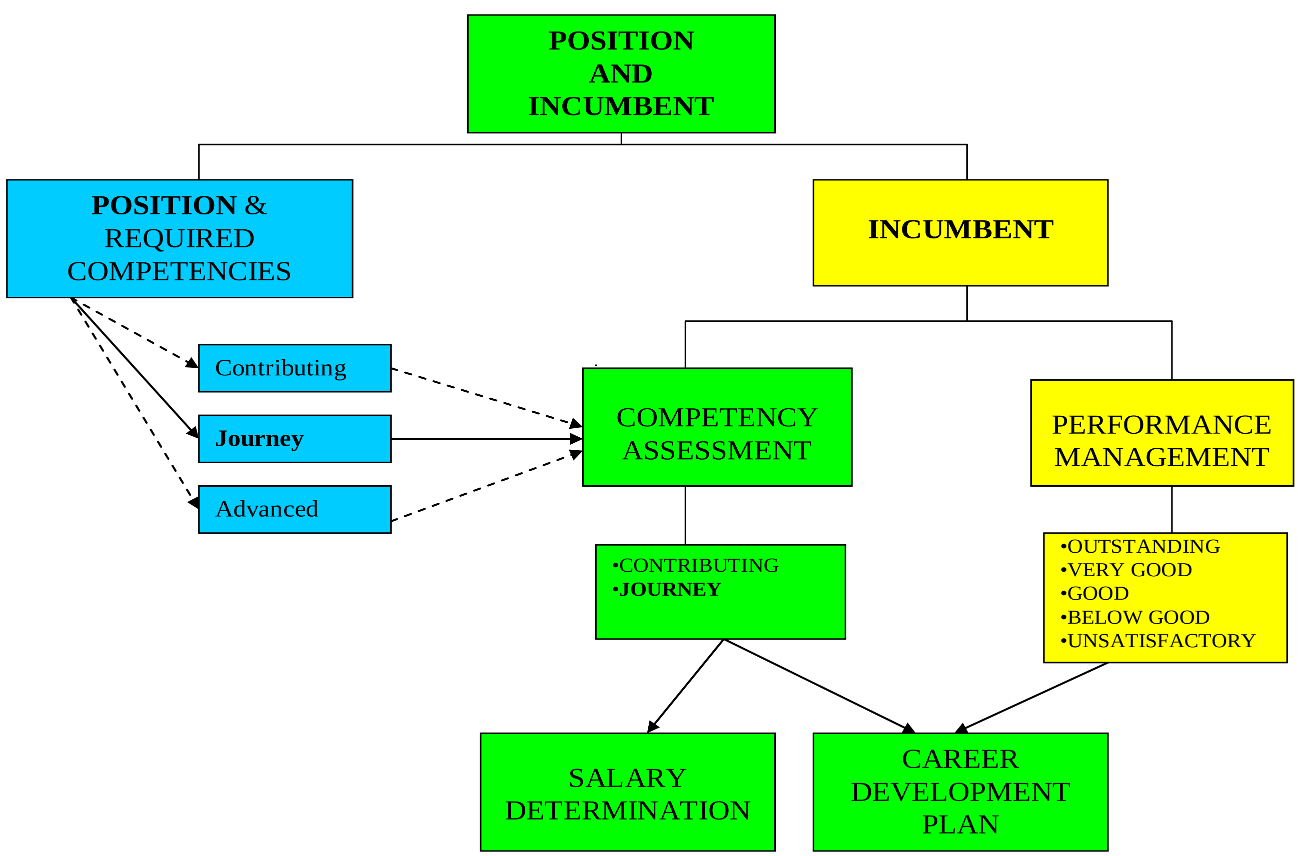
Remember:

- Employee Competency Assessment documents the employee's **possession and demonstration** of a competency.
- Performance Evaluation documents the **results** of the employee using these competencies.

For example, an Administrative Support Associate position requires the incumbent to demonstrate Verbal Communication competencies at the Journey level. The manager writes in the Employee Competency Assessment …… "the employee routinely responds to program-related questions independently. The employee also initiates contact with others within the organization to obtain other information that is needed by customers." Therefore, the employee is considered at the Journey level for the "Verbal Communication" competency.

The same employee, however, may not be meeting the goal that has been set for answering these program-related questions received via email or telephone be answered within 24 hours for 95% of the inquiries. The employee, while responding accurately, is consistently late with the answers. Therefore, the employee's Performance Management rating for that particular job function may be "Below Good."

The diagram below illustrates that an employee with an overall Competency Assessment of Journey can have any one of the following Performance ratings: outstanding, very good, good, below good, or unsatisfactory. The employee may possess and demonstrate the skill but may not have met the performance targets.



Employee Competency Assessments should be completed/updated on a regular cycle as set by the Agency/University, but at least once every three (3) years. Since the Competency Assessment is used to set pay in the Career-banding system, it may also be updated at other intervals as dictated by organizational business needs.

A model Competency Assessment form is available on the OSP Career-banding website. Agencies and universities may use another form as long as it follows OSP guidelines and has been reviewed with the OSP HR Partner.

Career Development

Managers will establish career development plans and provide coaching to all employees within the work unit. The goal of career development is to enhance each employee's contribution to the organization's success at the highest level possible within the agency/university's business plan and available resources.

The manager should answer the following questions when developing a Career Development Plan with an employee:

- What is the organizational need?
- What employee competencies need development or strengthening to accomplish the organizational need?
- What competencies does the employee wish to develop/strengthen?
- Are these attainable within the current position and work unit?
- If so, are training resources available and what is a reasonable timeframe?
- What specific training and/or education should increase the competency level?
- Have the responsibilities of the employee and supervisor been documented and discussed with the employee?

> Remember:
>
> **Employee** *takes responsibility for Career Development*
>
> **Manager** *provides coaching and assignments to develop competencies*
>
> **Organization** *provides opportunities, programs, resources, and support*

Chapter 4

Pay Management

The compensation philosophy of North Carolina State Government is as follows:

> *Competitive pay for employees will reinforce high standards of work and positively impact the state's ability to recruit, retain and develop a qualified, motivated and diverse workforce, emphasize employee competencies and reward demonstrated skills and abilities on the job.*

Each banded classification has a salary range with applicable minimum and maximum, and statewide market rates defined as: contributing market rate, journey market rate, and advanced market rate. A manager has the responsibility and accountability to "manage" each employee's pay to the agency/university's market rate target. Pay management will be conducive to fair and equitable treatment as indicated in the agency/university's salary administration plan.

Pay decisions are made in conjunction with scheduled employee competency assessments, as well as with employee activity such as new hires, promotions, reallocations, and reassignments as defined in the Career Banding Salary Administration Policy. Throughout the process of determining pay for new employees or for current employees, the **Pay Factors** listed below should be consistently applied:

Financial Resources - The amount of funding that a manager has available when making pay decisions.

- Agency business need (budget)

Appropriate Market Rate - The market rate applicable to the functional competencies demonstrated by the employee.

- Journey market rate guidelines/market reference rate guidelines and related market information
- Market dynamics

Internal Pay Alignment – The consistent alignment of salaries among employees who demonstrate similar required competencies in the same banded class within a work unit or organization.

- Internal pay alignment (equity)
- Current salary and total compensation

Required Competencies - The functional competencies and associated levels that are required based on organizational business need and subsequently demonstrated on the job by the employee.

- Minimum qualifications for class
- Knowledge, skills, and abilities
- Related education and experience
- Duties and responsibilities
- Training, certifications, and licenses

<u>Situations That Require a Pay Decision</u>

Guidelines outlined below will help a Manager understand the applicability of salary administration policy provisions with different situations. All salary increases of 20% or more must be reviewed and approved by the Office of State Personnel.

Filling a Position:

New Hire – applies when an individual is initially hired. Salary is determined by applying all Pay Factors.

Reinstatement – applies when a former employee is re-employed into a banded position after a break in service or reemployment of an employee in a banded position from leave without pay (LWOP). Salary is determined by applying all Pay Factors. Reinstatement from LWOP into previous position will be previous rate unless a higher rate is justified with across-the-board increases or as a career progression adjustment.

Promotion – applies when an employee transfers from one banded class into another banded class with a higher journey market rate or moves to a position with the same banded class title with a higher competency level. This can be promotion within a job family/branch or promotion to another job family/branch. It can also be within an agency/university or with transfer to another agency/university. Salary is determined by applying all Pay Factors. If an employee is transferred into a position with higher journey rate to assume such duties on a temporary basis (ex: during an extended recruitment period or while another employee is on LWOP), "acting promotion" may be applicable. Note: <u>There is no requirement for a salary change with promotion.</u>

Reassignment – applies when an employee transfers from one banded class to another banded class with a lower journey market rate or moves to a position witin the same banded class title with a lower competency level**.** Salary is determined by applying all Pay Factors. If employee's current salary exceeds appropriate rate based on Pay Factors, and reassignment is not by employee choice, salary may be maintained, except the salary may not exceed the maximum of the class salary range. If the reassignment is by employee choice, the salary must be reduced based on the Pay Factors.

Horizontal Transfer - applies when an employee moves from one position to another within the same banded class with the same competency level or moves from one banded class to another with the same journey market rate. Salary is determined by applying all Pay Factors. If employee's current salary exceeds the appropriate rate based on Pay Factors and the transfer is not by employee choice, salary may be maintained except that it may not exceed maximum of the class salary range. If the transfer is by employee choice, the option to maintain salary above appropriate rate based on Pay Factors is not applicable.

Note: The salary grade equivalency reflected on a posting for a Career-banded position does not apply toward salary determination. This is only for purpose of determining which applicants may have recruitment priority to the position.

Reallocation:

An employee may receive a salary adjustment as a result of changes in duties, responsibilities and competencies that result in the assignment of a position/employee to a different banded classification. The employee must be accessed against the new competencies of the new banded class for all reallocation actions.

If the reallocation results in the assignment to a class with a higher Journey Market Rate (Up), the salary shall be increased at least to the minimum of the new pay range. Salary increases above the minimum of the range may be awarded if supported by the application of the pay factors.

If the reallocation results in the assignment to a class with a lower Journey Market Rate (Down), the appropriate salary shall be determined based on application of the pay factors. If the current salary exceeds the appropriate rate based on the pay factors, the salary may be maintained but must not exceed the maximum of the new pay range.

If the duty change is due to lack of demonstrated competencies/motivation/capability/acceptance of responsibility, then the action should be coded as a demotion-class instead of a reallocation-down. Refer to the Demotion Policy for salary guidelines.

Band Revision:

An employee may receive a salary adjustment as a result of changes in the pay range based on routine or special labor market reviews and approved by the State Personnel Commission. Typically, this will result in a change in the minimum, contributing, journey, advanced and maximum rates for the band but may not necessarily mean a change in all five reference points. If the minimum of the pay range changes, salary increases shall be awarded a least to the minimum of the new range. Salary increases above the minimum of the new range may be awarded but shall not exceed the percentage difference between the old journey market rate and new journey market rate.

Career Progression Adjustment (in same position):

An employee may receive a salary adjustment within the salary range of the banded class to which an employee is assigned in conjunction with demonstrated competencies or as justified through labor market. Salary shall be based on application of all Pay Factors.

Probationary employees are not eligible for Career Progression Adjustment increases. A salary increase may be given upon appointment change to permanent status if the pay factors support an increase (i.e, based on a completed employee competency assessment and the employee’s salary is below the appropriate market rate considering internal equity and available funding).

Employees with active warnings/disciplinary actions or with overall below good or unsatisfactory ratings are not eligible for a salary adjustment based on competency assessment.

All increases must be awarded for the current competency level and on a current basis (not retroactive).

Retention Adjustment (in same position):

An employee can receive a salary increase not covered by other pay administration policies that may be necessary to retain the **key** employee where there is evidence of an outside job offer and there is no current employee with substantially equal competencies to assume those duties. A Retention Adjustment may result in an employee's salary being above the appropriate market rate based on Pay Factors. The salary shall not exceed the maximum of the pay range

Grade to Band Transfer:

Applies if an employee moves between banded classes and graded classes.

Grade to Band: Salary is determined based on application of Pay Factors in the Career-banding system. At time of implementation of a job family or branch, the salary may be maintained but cannot exceed the maximum of the banded class pay range.

Band to Grade: Salary is determined by the New Appointments Policy for graded classes.

Demotion - Disciplinary Action:

Change in employee status due to disciplinary action as outlined in Section 7 of the State Personnel Manual, resulting in:

- Employee movement from one banded position to another with a different class title with a lower journey market rate, or
- Employee movement from one banded position to another with the same banded classification with a lower competency level, or
- Reduction in salary within the same banded class.

When demotion results in movement to another banded class, salary shall be reduced if it exceeds the maximum of the salary range. When demotion results in salary reduction in the same banded class, salary may not be less than the minimum of the salary range. A salary reduced by disciplinary action may be less than appropriate rate based on Pay Factors

Trainee Appointments

A trainee appointment may be made to a permanent position when recruitment efforts fail to attract qualified applicants and the recommended applicant fails to meet the minimum State training and experience requirements of the banded classification. Since the minimum Training & Experience requirements for most banded classes have been lowered to accommodate trainee classifications recognized in the graded system, there should seldom be a need to hire a trainee employee into a banded classification. There may be some trainee exceptions in the following fiscal banded classes: Accountant, Auditor, Assistant State Auditor, Budget Analyst. OSP will be working one-on-one with agencies that still have employees below the State minimum training and experience requirements in these banded classes. If there is a need to establish a trainee appointment for other banded classes, the Agency/University HR Office will need to contact the Office of Sate Personnel to determine the appropriate salary.

How to Determine an Employee's Pay

The Manager's process for determining the pay for an employee is as follows:

1. **Determine employee or applicant's competency level.** After determining the level for each applicable competency, an overall competency level is determined. All competencies at the same level would result in the same overall competency level for the employee.

   The overall competency level for an employee with individual competencies at different levels can be determined with consideration of the following: Are the majority of competencies at any one level? What overall competency level would represent an average of all competencies? Are any of the competencies more important to the role than others? If so, what is the level of those?

   Criteria should be determined and documented before "leveling" any employees.

   <u>Consistency should be applied for all employees.</u>
   - When filling a position: Competency levels may be determined through several sources: interview, reference checks, information presented on application as compared to job requirements, etc.
   - When evaluating a current employee for Career Progression Adjustment: consider employee's competency attainments since previous evaluation while reviewing each competency.

   Finally, confirm that the number of employees functioning at each competency level within a class is in alignment with organizational needs.

2. **Use the Salary Assessor or equivalent database program to determine appropriate pay based on competencies and relation to market rate.** Market Index (MI) on the Salary Assessor indicates for each employee the proximity of the employee's salary to the market rate for the employee's competency level.

   - If all of an employee's competencies are at the same level as the overall competency level, an appropriate salary may be within 10% of the market rate for that competency level, and thus the MI would be between 90 and110.

   - If some of an employee's competencies are lower than the overall competency level, an appropriate salary may be less than 10% lower than the market rate, thus, the MI would be below 90.

   - If some of an employee's competencies are higher than the overall competency level, an appropriate salary may be greater than 10% over the market rate, thus the MI would be above 110. This may generally be applicable for employees who are progressing toward the next competency level.

- If an employee's competencies are at three different levels, consideration should be given to all in determining an appropriate salary. (What overall competency level would represent an average of all competencies? Are any of the competencies more prominent than others? If so, what is the level of those?) Consistency should be applied for all employees.

3. **Use the Salary Assessor or equivalent database program to determine if the <u>proposed</u> salary is equitable with salaries for other employees who may have similar competencies.** It may be useful to rank all employees in the competency level considering their individual competencies. Market Index as reflected on the Salary Assessor allows a view of internal pay alignment.

4. **Use the Salary Assessor and/or work with the budget office to determine if budget will allow proposed salary.** Depending on criteria used, exceptional situations, etc., more documentation may be necessary. Budget should be researched prior to posting a position, and the salary must not exceed any posted limit.

   Each agency/university will have a "Plan for Distribution of Limited Funding" that may include the following:
   - guidelines for distribution of salary reserve funds;
   - impact of receipt-funded positions; and/or
   - impact of "critical needs" for the agency/university, for example, legislative mandates, emergency response requirements, recruitment problems for specific occupations.

5. **Document pay decisions on the Salary Decision Worksheet form and submit the form along with the Performance Management, Competency Assessment, and Career Development Plan form to the Agency/University HR office**. The form should be used when hiring new employees, with activity/movement of current employees, or for competency assessment pay decisions. Justification should include reference to the Pay Factors – financial resources, appropriate market rate, internal pay alignment, and required competencies. (See Appendix for the Salary Decision Worksheet form.) The Agency/University HR Office shall forward all pay recommendations representing a pay increase of 20% or more to the Office of State Personnel for review and approval.

6. **Complete the employee personnel action in PMIS or BEACON**.

How and When to Discuss Pay with an Employee

Discussing pay with an employee is one of the most important aspects of the manager's job. The goal is for the employee to understand how the pay was determined. In a competency-based system this requires an understanding of competency definitions, expectations of the manager and how competencies are assessed.

When: - The timing of the discussion with the employee must be **after** the proposed pay amount has been approved and entered into the PMIS/BEACON system and/or internal system but **before** the employee receives the next pay check. This timing is sometimes difficult to coordinate but is essential in order to prevent premature communication. The most difficult conversation to have with an employee is to explain that something promised - something discussed before approved – will not happen. Please wait until the proposed pay amount is final, i.e. entered into the PMIS/BEACON and/or internal system, before discussing the pay decision with the employee.

Explain the agency/university process and schedule for conducting Performance Evaluations and Competency Assessments so that the employee, especially a newly hired employee, will know what to expect and when to expect it (refer to the agency/university's Salary Administration Plan). For example, if Performance Evaluations and Competency Assessments are completed each year in June, salaries may be reviewed in July, and any salary increases may be awarded in September.

How - Explain how the particular salary decision was reached. Show the employee and EXPLAIN each step in detail:

- Competency Assessment
- Determination of overall competency level
- Corresponding appropriate market rate
- Application of Pay Factors
- Any budget constraints or budget issues
- Career Development connection

If using the Salary Assessor tool you may print out Report #1 (Employee List – One) from the Report Menu and give a copy to the employee.

Key messages to convey during each step include:

Competency Assessment

- Walk through the Competency Assessment form, explaining the assessment assigned for each competency using as many examples as possible.
- Be sure the employee understands the importance of each competency, particularly, if some are to be considered stronger than others in the determining the overall competency level, thus, affecting the pay decision.
- Employee may have competencies that are not required for the job. Explain that if competencies are not used on the job, they are not considered when determining pay.

- Remind the employee that the Performance Evaluation is only used to determine **eligibility** for a pay increase. Explain that the Performance Evaluation is not used to determine the amount of pay or any increase in pay but determines if an employee should be considered for a salary increase at all.

  Note: The model Performance Management, Competency Assessment and Career Development Plan form recommends that an employee receiving an overall Performance Evaluation rating of Below Good and Unsatisfactory not be eligible for a salary increase regardless of the Competency Assessment.

Determination of Competency level

- Explain the number of C's, J's and A's and the reasoning for reaching a decision on the overall competency level.

- Explain the <u>general guidelines</u> used by an organization in designing work (the role of employees at each level – Contributing, Journey and Advanced) and the business needs of the organization.

  Contributing level – Employees typically function at this level **at the start** of their career. However, some very successful employees will continue at this level if their positions are designed to always remain at the contributing level, i.e., competencies beyond contributing will not be required. Employees in such positions need to understand this when they accept the position.

  Journey level – Employees working at this level are **competent, fully functioning, and "seasoned"** with experience beyond the minimum requirements. **Many** employees will work at this level, as long as their position is structured to require competencies at the journey level.

  Advanced level – Work at this level is consistently and routinely above and beyond journey level work. It is seen as senior level (NOT length of service), **typically rare, reserved for the most highly competitive, uniquely skilled** employees. **Few** employees will be working at the advanced level.

Corresponding appropriate market rate –

- Show the employee the appropriate market rate.
- Explain that **the goal is to pay the market rate for work completed** and to maintain pay at the market rate over time.
- It is not the goal of management to pay the maximum of the banded classification.

Application of Pay Factors –

- Make sure the employee knows what the four pay factors are – financial resources, appropriate market rate, internal pay alignment, and required competencies.
- Remind them that length of service is not a pay factor. Employees are recognized for length of service with longevity payments on the employee's 10+ year anniversary dates.

Any budget constraints or budget issues -

- Let the employee know if financial resources were not adequate to award all the pay justified by the market rate and the pay factors. Remember that the goal is to **manage** the pay **to** the market rate –there is no guarantee that the market rate can be met if there are budget constraints.
- If necessary, explain the agency/university's Plan for Distribution of Limited Funding.
- Explain that funds are awarded on a **current** basis using the **current** competency assessment, i.e. if budget resources become available later in the year, a pay increase will not be retroactive.

Career Development connection –

- Remind the employee that he/she has the primary responsibility to develop competencies and manage his/her career.
- Be sure to distinguish the difference between competencies **needed** to perform in the current job and competencies that:
    - o <u>will lead</u> to an increase in the current position,
    - o <u>may possibly lead</u> to an increase in the current position, or
    - o will place the employee in a better position to <u>possibly receive</u> a promotion.

When to Consider a Market Reference Rate

Through experience a manager may come to believe that in his/her locality a particular statewide Journey Market Rate is not competitive (either too low or too high). First, the manager will determine if a **Market Reference Rate** might be a solution by following these steps:

Step 1. Resolve Non-Pay factors affecting ability to recruit and retain:

- Poor management/employee relations
- Difficult work environment
- Reputation of work unit or department
- Job design makes jobs unchallenging or too burdensome
- Absence of career opportunities associated with the job (perceived or real)

Step 2. Quantify the problem

- Document turnover history
- Document difficulty attracting qualified candidates who consider pay band not competitive.

Step 3. Contact your HR staff to discuss your concerns

Step 4. If a decision is made to proceed, HR staff will conduct the preliminary assessment and market analysis:

- Quantify the problem –turnover analysis and recruitment analysis
- Determine if pay is the problem by analyzing the data
- Collect market data (Published or Independent Survey)
- Analyze the market data
- Document and report

Step 5. If it is determined that a Market Reference Rate would be an effective solution to your recruitment and/or retention problems, the HR staff will submit your Market Reference Rate analysis study with recommendations to OSP through the HR Partner.

The Compensation Manual and the following forms and formats are available for viewing and downloading on the OSP website under Compensation.

- Turnover Analysis Report
- Recruitment Summary Form
- Posting Analysis and Posting Summary Forms
- Evaluation of Organizational Worklife Balance
- List of Published Salary Surveys in OSP's Compensation Library
- Salary Survey Instrument
- Published Survey Market Analysis tools
- In-house survey Market Analysis tool that computes company averages
- In-house survey Market Analysis tool that computes employee-weighted averages
- Sample Reporting Format
- Common compensation formulas
- Glossary of Compensation Terms

More detail on evaluating and using published market reports and how to conduct and report in-house market studies to justify a Market Reference Rate is available in the “Compensation Handbook” on the OSP website.

Chapter 5

Employee Relations

Employee relations activity in a Career-banded environment is a mixture of old and new. What's new is the structure and concept of Career-Banding, with new policies and processes. What's old are the principles and practices of proven, effective employee relations. Effective employee relations work does not change.

The manager's goal in the area of employee relations is twofold - to treat employees fairly and to avoid creating liability for the agency/university. While some steps can be taken to minimize disputes or grievances, in the final analysis management cannot prevent all disputes or grievances.

The first priority must be constant, consistent and clear communication with employees. Career-banding involves three areas that are of paramount interest to employees: their salaries, the level (or the perceived level) of their jobs, and management's assessment of their work achievements. These are all areas in which employees will closely scrutinize any change from current policies and processes. It is important to remember that the current classification and salary administration programs, policies and processes began in the middle of the last century. Employees will closely monitor any changes and will be quick to ask questions.

A key to managing this changeover successfully is communication. Over-communicate if possible. Supervisors need to communicate before, during and after the changeover to the Career-banding system. Communication needs to be written, verbal, face-to-face, emails, memos, referrals to web site locations, whatever is needed to help employees fully understand the Career-banding system.

Repetitive communication is good. Because of the newness of this program, people may need to hear the same information several times before they fully understand it. It is important to remember that Career-banding is a new program and unique situations may occur. It is acceptable to say, "I don't know." However, that needs to be followed by, "I'll try to get an answer to that and share it with you."

Key Decision Points

When managing employee relations in a Career-banded environment it is important to be aware of "key decision points". A decision point is any decision where a manager can potentially make a grievable or disputable decision. In effect, they are decision opportunities where managers can create liability for the organization. Paying attention to these decision points should be a familiar process to managers and supervisors. Just as managers now are careful in making and announcing decisions (who has been promoted, what the reason is for a disciplinary action, etc.), the same care needs to be taken with Career-banding decisions.

It is useful to remember that similarly situated persons should be treated in a similar fashion. This applies to all supervisory activities and decisions, but is especially important while implementing a new program like Career-banding.

Here are some examples of "key decision points" in the implementation and maintenance of the Career-banding system:

Posting a job – The required competencies identified in a job posting should be consistent from posting to posting for that competency level – Journey, Contributing, Advanced – in that work unit.

Salary setting for a new hire – Setting the salary for a newly hired employee is not all that different from salary setting for new hires under the graded classification system. Equity comparisons with current employees and reference to the job vacancy posting still should be done. What's new is that managers will be making an assessment of the new hire into the Contributing, Journey or Advanced levels, in the process of determining a salary. What's old are the possibilities for missteps: setting a salary not justified by the person's existing competencies as assessed during the hiring process, disregarding the market rate, or setting a salary that is inequitable with that of other similarly situated employees in the work unit.

Initial salary determination at implementation of Career-banding – There is usually no change to an employee's salary when Career-banding is implemented for their job family/branch. An exception would be when an employee's current salary falls below the minimum of the new banded class. In either event, that information needs to be clearly communicated to the employee, as well as the reasons for the decision. Potential problems during implementation are similar to salary setting for a new hire (see above).

Initial Competency Assessment (and subsequent Competency Assessments) – Managers need to assess competencies in a consistent manner. Since competency assessment may be connected to salary adjustments, employees will watch closely how this assessment is made and documented.

Salary adjustment following Competency Assessment – If similarly situated employees are not treated in a similar (not identical, but similar) manner, then problems may occur.

Decision not to award salary adjustment – In these situations, it is important that there be a specific, documented basis for a decision not to award a possible salary increase. Performance evaluation documentation (and any other type of documentation, such as performance-based discipline) should be consistent with the decision not to award an increase.

This is not a complete list of all the possible “key decision points” for supervisors and managers in a Career-banding environment. Remember that this is a new program, and as the program changes and evolves, so will our understanding of where the “key decision points” are and the best ways to avoid them.

One way to assess the utility or effectiveness of a proposed Career-banding decision is to ask this question:

If (the proposed action) didn’t work/make sense/wasn’t effective in the graded classification/salary administration system, why would it work in Career-banding?

As an example, take the situation of a manager wanting (in the graded classification/salary administration system) to pay a person more than the individual is eligible for on a promotion. This can lead to problems with salary inequities, employee morale, grievances, and/or complaints of discrimination. If such an idea could lead to so many problems in the graded classification system, why would it seem like a good idea in a Career-banding environment?

Dispute Resolution Process

The Career-banding dispute resolution process within the agency/university, as defined in the Career-banding Salary Administration Plan, will allow employees with career status to have salary decisions reconsidered by a source beyond the initial decision-maker or evaluator.* Salary decisions which are eligible for consideration in the dispute resolution process must be based on one of the following in conjunction with a promotion, reassignment, demotion, or Career Progression Adjustment as defined in policy:

- Amount of salary adjustment is less than appropriate amount as determined through pay factors.
- No salary adjustment has been granted when application of pay factors would support an adjustment.
- Competencies have been inappropriately evaluated.

Agencies/Universities will establish and adhere to a Plan for Distribution of Limited Funding in regard to Career-banding salary decisions to ensure fairness. Salary decisions that are restricted solely because of limited funding are eligible for dispute resolution consideration only if the plan is not followed.

An employee must document the basis for a salary reconsideration on the Career-banding Dispute Form which must be submitted to the HR office within 15 days (Note: internal agency/university procedure may provide for a longer period up to 30 days) of the salary decision notification. Resolution must be completed within 60 days after documentation is submitted. All requests for salary reconsideration will be screened by an appointed individual within the agency/university to determine eligibility prior to referral to the one or more of the review sources listed below. Individual situations may dictate the appropriate process.

Note: An agency/university may choose to allow non-career status employees to be eligible.

Employee Advisory Committee

One or more employee advisory committees, representative of the agency/university in terms of demographics, organizational level, and occupational areas, will review implementation and operation of the Career-banding program to ensure that employees are being treated fairly in opportunities for career development and compensation levels. Results of such review will be presented to the agency/university HR Director and senior management.

Note: An agency/university may determine that the performance management review group could additionally function in this capacity.

Chapter 6

Equal Employment Opportunity

This chapter discusses the concepts and methods associated with assuring equal employment opportunity within the Career-banding compensation system. A competitive compensation system is vital to the State's ability to maintain a skilled, productive, and diverse workforce. Understanding and utilizing the equal employment opportunity concepts and tools presented in this chapter is necessary to ensure compliance with federal and state anti-discrimination laws, as well as allow organizations to hire and retain qualified employees who have the key skills necessary to support organizational objectives.

This chapter begins with an overview of key anti-discrimination laws. Next, the concept of pay equity is introduced, with the module focusing on three types of pay equity concepts that are fundamental to Career-banding. The chapter then moves to an introduction of the two primary types of discrimination: disparate treatment and disparate impact. Lastly, the chapter presents monitoring tools and techniques designed to monitor and evaluate compensation decisions.

Key Legislation Affecting Employee Rights

There are several laws that relate to the administration of pay and must be considered in determining and managing an employee's pay in the Career-banded system. While these laws have an effect on all human resources management functions, their major influence to date has been on the selection and placement functions, which directly impacts the placement of new employees in bands and the movement of current employees in existing bands or across bands. Basically, these laws prohibit discrimination based on race, color, gender, religion, age, national origin, or disability in any terms, conditions, or privileges of employment. Some of these laws include the following:

- **Fair Labor Standards Act (FLSA) –** Also known as the Wage and Hour Law, this is a broad piece of legislation that contains five provisions: 1) minimum wage, 2) overtime pay, 3) equal pay, 4) record-keeping, and 5) child labor laws.

- **Equal Pay Act –** Technically an amendment to the Fair Labor Standards Act, this law prohibits unequal pay for equal work performed by men and women. The law is administered by the Equal Employment Opportunity Commission (EEOC), which has defined the concept of equal work by four factors – equal skill, equal effort, equal responsibility, and equal working conditions.

- **Title VII of the Civil Rights Act (1964) –** The keystone anti-discrimination legislation, which prohibits discrimination in a broad array of conduct including public accommodations, governmental services and education. One section of the Act, referred to as Title VII, prohibits employment discrimination based on race, sex, color, national origin, religion, and gender. The Act prohibits discrimination in recruitment, compensation, hiring, promotions, benefits, discipline, discharge, layoff and almost every aspect of employment.

- **Civil Rights Act (1991) –** Expanded the damage awards available to victims of discrimination by allowing individuals to seek compensatory and punitive damages from employers for committing intentional acts of discrimination. Also, reestablished the standard of proof for discrimination claims to the concept of “business necessity”, after it was changed to “business legitimacy” in the Wards Cove Packing Co. case (1989).

- **Age Discrimination Act (1967) -** This legislation prohibits discrimination in employment against person age 40 and over. The act forbids limiting or classifying employees in any way that adversely affects their status based on age.

- **Americans with Disabilities Act (1990) –** This legislation provided comprehensive federal civil rights protection for individuals with a disability. Title 1 of the ADA covers employment cases by prohibiting discrimination against a qualified person with a disability in all terms and conditions of employment.

Pay Equity Concepts

Pay equity is a concept designed to ensure that individuals are paid appropriately within any wage setting system. Pay equity in a Career-banding environment must consider three types of equity:

1. **Internal Equity** – equity among employees within the same agency/university with similar competencies.

2. **External Equity** – equity with employees outside of North Carolina State government (other governments and private sector) with similar competencies.

3. **Individual Equity** – equity between the employee's own wage/salary and his/her performance and skills.

In considering individual equity, it is important the manager's and supervisors apply all the pay factors consistently to groups of employees at the same competency level. For more information on the pay factors, please see Chapter 4.

Types of Discrimination

Determining whether a manager or supervisor's compensation decision about an employee is discriminatory or job-related is not always easy. Even when managers and supervisors make every effort to maintain fairness and consistency, it is still possible to engage in discriminatory acts that are unintentional.

There are two primary types of discrimination: 1) Disparate Treatment, and 2) Disparate Impact (also known as Adverse Impact).

Disparate Treatment - Disparate treatment occurs when a protected class, as defined by Title VII, the Age Discrimination Act, and the Americans with Disabilities Act, are intentionally treated differently from other employees or are evaluated by different standards than other employees. Disparate treatment is generally characterized by the following factors:

- Direct discrimination
- Unequal treatment
- Intentional
- Prejudiced actions
- Different standards for different groups

Some examples of disparate treatment include:

- A manager that automatically rejects Hispanic applicants because of concerns about undocumented workers.
- Sexual harassment (quid pro quo), where a manager refuses to promote or highly evaluate an employee who will not engage in a sexual relationship with him or her.
- Maintaining different qualification requirements for men and women, such as variations in education levels, experience levels, or physical abilities.
- A manager that engages in inconsistent management practices by applying different discipline actions for employees for the same behavior.

The precedent setting case establishing the concept of disparate treatment was *McDonnell Douglas Corp. v. Green (1973)*. This case established the criteria for proving disparate treatment by allowing individuals that can show a *prima facie* case of discrimination to proceed with legal action. Once a plaintiff establishes a prima facie case of discrimination, the employer must present a legitimate, nondiscriminatory reason for its decision based on the business necessity of the action(s).

Disparate or Adverse Impact - Disparate or adverse impact results when rules applied to all employees have a different or more adverse effect on a protected group than on other employees. Adverse impact can occur without the presence of prejudiced actions or intentional discriminatory actions by a manager or supervisor. Employment practices that appear neutral but have a discriminatory effect on a protected class are considered to create an adverse impact. Adverse impact is generally characterized by the following factors:

- Indirect discrimination
- Unequal consequences or results
- Unintentional
- Neutral actions
- Same standards but different consequences

Some examples of disparate impact of adverse impact include:

- Nonessential selection requirements for certain jobs
- Nonessential height and weight requirements for a job

The precedent setting case for establishing the concept of adverse impact was *Griggs v. Duke Power (1971)*. This case recognized two critical points. First, employment discrimination need not be overt or intentional to be present. For instance, an entry requirement that requires all employees to be five feet, eight inches tall, even though applied consistently to all employees, may result in an adverse impact on Asians and women. Secondly, this case established that the burden of proof lies with the employer to show that any job requirement is directly job-related.

Relationship to Career-banding Compensation

The previous sections of this chapter discuss discrimination legislation and theories of discrimination in the general context of employment. But how could these theories relate to the Career-banding compensation system? The following table illustrates three areas of concern related to Career-banding, including possible impacts and outcomes related to those concerns:

Concern	Possible Impact	Possible Outcome
Increased management/supervisory control in compensation decisions	Inconsistent pay decisions between work units and/or discriminatory actions by individual managers	Loss of internal and individual equity and/or disparate treatment discrimination
Competencies that are not job related added to basic state specifications	Unequal consequences or results	Disparate impact discrimination
Inadequate resources for implementation and maintenance of a banded and graded compensation system.	Staggered or unequal implementation between the two systems	Wage gaps between the two systems and/or loss of external equity

Strategies and Tools

The following strategies and tools should be used to address EEO and pay equity concerns in the Career-banding human resources system:

1. **Training** – Thorough and continuous training for managers is critical for successful operation within a competency-based system. Training will first occur during implementation of specific job families to the banded classifications. Continued training and a high level of support from HR professionals are needed for managers. All newly hired or promoted managers will also need to have initial training in all areas of the Career-banded system including aspects of EEO and pay equity.

2. **Accountability** -
   - Management Responsibilities
   - HR Office Responsibilities
   - Employee Responsibilities
   - Employee Advisory Committee Responsibilities

3. **Decision-Point Monitoring Techniques** – Each agency/university will establish internal monitoring and reporting systems. In addition, external monitoring will occur through the PMIS/BEACON system.

4. **Four-Fifths or 80% Rule** – This widely accepted rule should be used to routinely assess selection decisions, competency assessment decisions and employee pay decisions. An example of how to calculate the four-fifths or 80% rule is as follows:

	Contributing	Journey	Advanced	Total
Male	15	55	10	80
Female	30	20	5	55

   - Identify selection rate for Advanced
     Males = 13% (10/80); Females = 9% (5/55)
   - Identify group with highest rate.
     Males at 13%
   - Establish selection rate to avoid adverse impact (selection rate threshold)
     80% of 13% = 10%
   - Determine if adverse impact is indicated.
     In this case, the female selection rate is only 9% which is less than the 10% Threshold. Thus, adverse impact may be indicated.

5. **Employee Advisory Committee** - Each agency/university is required to have an Employee Advisory Committee for Career-banding. It may be combined with an existing EEO Committee or be designed as a separate committee. The Employee Advisory Committee for Career-banding is asked to submit annual reports to OSP, the Agency/University Head and the Agency/University HR Director regarding the Career-banding system.

SOC Codes

The Standard Occupational Classification (SOC) coding system is an essential data tool that is utilized to describe the workforce of the State of North Carolina. The SOC codes are essential to analyzing position and employee data in EEO, workforce planning and several other HR functional areas. It is the responsibility of each agency/university to assign SOC codes.

During implementation of the Career-banding system the PMIS/BEACON system will automatically assign the SOC code when an employee is first assigned to a banded class (a grade-band transfer). The PMIS/BEACON system will automatically assign the SOC code for the graded class from which the employee is transferring.

On any actions other than grade-band transfers where an employee schematic code changes (and the new schematic code is a banded class) such as new positions or reallocations, the user will be prompted in the PMIS/BEACON system to select the SOC code from an established list.

FLSA Status

Agency/university HR staff are responsible for periodic review of positions to determine FLSA (Fair Labor Standards Act) status – exempt or non-exempt. It is important that each position be reviewed on a regular schedule to determine whether it meets the exemption criteria. Some positions within a banded class may be non-exempt, while others may be exempt.

It is important to note that a change in an employee's functional competency level may change his/her FLSA status. It is recommended that each agency/university establish the FLSA status for each competency level within a banded class.

Chapter 7

Budgeting

Budgeted Level for New Positions

Career-banded positions can be budgeted at the following salaries:

- Contributing Market Rate –It is appropriate to budget a new position at the Contributing Market Rate when there is no need for work requiring use of higher level competencies.
- Journey Market Rate – New positions may be budgeted at the Journey Market Rate if the position requires journey level competencies.
- Advanced Market Rate - New positions may be budgeted at the Advanced Market Rate if the position requires advanced level competencies.

If an agency or university has an approved Market Reference Rate, new positions can be budgeted at correspondingly higher or lower levels. For example, if a Market Reference Rate 5% above the Journey Market Rate has been approved, positions may be budgeted at 5% above the Contributing, Journey, or Advanced Market Rate.

Expansion Budget Requests (Agencies Only)

When new positions are required that have to be included in the expansion budget request, the form "Worksheet II Expansion Budget Request" should be used. This form is available through the Office of State Budget and Management. The following additional information or changes in how information is reported should be included on the form:

Justification**:** Under justification, you should include the following:

- The Career-banded class the position(s) will be in.
- The annual salary requested (journey level, advanced level) and any additional percent included in the annual salary requested due to an approved market reference rate.
- Justify the need for the level of funding if funding is being requested beyond the Journey level.

Grade**:** Enter NG-Career-banded

Establishing a New Position

The BD-606 form should be used to establish a new position. The following additional information or changes in how information is reported should be included on the form:

Remarks (Justification):

- The annual salary requested (journey level, advanced level) and any additional percent included in the annual salary requested due to an approved market reference rate.
- Justify the level of funding if funding is being requested beyond the Journey level.

Grade: Enter NG

GLOSSARY OF TERMS

Advanced Reference Rate – A market-based reference rate that reflects appropriate market pay for demonstrated advanced competencies. Initially set halfway between the Journey and Maximum rates.

Adverse Impact Assessment - A demographic review of all employees in a banded classification to ensure consistency in applying pay factors.

Appropriate Pay – The rate of pay that an employee should be receiving after considering their demonstrated competencies and the pay factors associated with the competency level of the banded class.

Banded Classification (Banded Class) - A broadly defined class concept that incorporates related groups of graded classifications resulting in vertical and/or horizontal integration of work (i.e. Administrative Support Associate).

Banded Classification Series – A group of Banded Classifications that, collectively, represents the full range of work performed from entry level through the management level in a field of work or occupational area.

Banded Classification Specification – A generalized description of the duties, responsibilities and competencies characteristic of positions in a Banded Classification.

Banded Class Pay Range – The entire range of pay (minimum to maximum) assigned to a banded classification.

Benchmark (Journey) - A role(s) identified to represent all roles (journey level competencies) in classes that have been assigned to a Banded Classification. Compensation information collected for the benchmark will be used to establish the journey level, the banded classification's average market rate.

Branch – A subset of a Job Family containing Banded Classifications with similar functions, competencies and T&E (i.e. Administrative Support branch or Accounting branch).

Broadbanding – The practice of managing compensation within a few expanded pay ranges rather than a large number of narrow pay grades.

Career-banding – A competency-based human resources system that manages classification, compensation and career development using broad classes of jobs based on competencies required to meet organizational needs. In a Career-banding system pay movement for employees is based on demonstration of competencies and career development planning is emphasized for employees.

Career-banding Coordinator – The individual at each agency/university who oversees the Career-banding program, ensuring that all necessary components are in place for an effective program within the agency/university. This person is the primary contact with OSP for Career-banding implementation.

Career Development Planning – The process used to identify areas to be developed so that an employee (1) will have the competencies he/she needs to meet the organization's goals and objectives, and (2) is given an opportunity to develop competencies that will allow them to be successful in the future.

COLA - Cost of Living Adjustment, as determined and granted by the General Assembly.

Competencies – Sets of knowledge, skills, and abilities an employee needs to successfully do their job. Competencies must be (1) demonstrated on the job; (2) measured according to standards set by the organization; and (3) required of the job based on the organization's needs.

> **Core Competencies** are those set by Agencies and Universities as critical to all jobs within the organization.
>
> **Functional Competencies** are tied to demonstrated knowledge, skills, and abilities that can be observed and measured. Functional competencies have distinct Contributing, Journey and Advanced levels**.**
>
> **Key Competencies** are essential competencies required of an individual job.
>
> **Statewide Competencies** are those developed by the statewide occupational Transition Teams for specific occupational families or branches. They are derived from the Universal Competencies and are occupationally specific to the jobs defined. Statewide competencies as listed on the banded class specification should be sufficient for most universities and agencies, and no further competency development should be necessary. Statewide competencies are functional competencies only.
>
> **Universal Competencies** are those competencies identified by the Office of State Personnel to be used statewide in order to provide consistency from agency to agency and from job to job within the State Government system. As approved by the Office of State Personnel, they are placed in the Dictionary of Universal Competencies for the statewide occupational Transition Teams to consider when developing specifications and competency profiles.

Competency Levels – Each competency is further described in what one would see, hear, or measure when an employee is demonstrating proficiency - for that particular competency. The Career-banding system in North Carolina has three competency levels. They are Contributing, Journey, and Advanced levels as follows:

> **Contributing** - The span of knowledge, skills, and abilities minimally necessary to perform a job from entry up to the journey competencies recognized for the class. Contributing competencies generally describe what is also known as "entry-level," at which minimally qualified employees typically function for their first few years of employment.

Journey - Fully acquired knowledge, skills and abilities demonstrated on the jobs that are beyond the contributing competencies. Competency-based pay revolves around the journey level, and compensation for a banded class is built off of the journey level. This is generally the level at which competent, fully functioning, seasoned employees with experience beyond the minimum requirements should be compensated.

Advanced - The highest or broadest scope of knowledge, skills, and abilities demonstrated on the jobs that are beyond journey competencies. Advanced competencies describe work that is above and beyond the journey-level work functions seen in a banded class, i.e. “senior-level.” It is expected that few employees in a banded class will reach the Advanced level, though most may reach the Journey level. Advanced-level competencies are typically rare and reserved for the most highly competent, uniquely skilled employees.

Competency Dictionary – A summary of competencies and their definitions universally used by Transition Teams and by agencies/universities when considering adding a competency.

Competency Library - A “collection” of all approved competencies and level descriptions currently used by agencies/universities. It will be maintained by the Office of State Personnel and can be used to identify additional competencies and level descriptions that were developed by agencies and universities.

Competency Profile – Examples of demonstrated behaviors for each of the competencies for a banded classification, described at the Contributing, Journey, and Advanced levels; and the minimum training and experience level for the class.

Contributing Reference Rate -- A market-based reference rate that reflects appropriate market pay for demonstrated contributing competencies. Initially set halfway between the Minimum and Journey rates.

Crosswalk – A reference tool indicating the graded classifications that were included in the new-banded classifications as developed by each Transition Team and approved by the State Personnel Commission.

Final Allocation List - The final list of all employees and positions to be included in the new banded classifications in a job family/branch. At a minimum it includes the following information: position number, employee name, current classification title and salary grade, new banded classification title, position competency level, employee competency level, current salary, market index, target rate, and variance from target.

Focus Group – A diverse group of experienced managers and employees from the occupational group or work unit being banded. They identify behaviors and competencies that lead to success on the job.

Goals - Job specific assignments linked to larger organizational goals and objectives. Goals have specific results expectations and time frames for delivery. Mangers should also specify how goals progress will be tracked and monitored.

Implementation Team – A team responsible for implementation of Career-banding for a particular job family or branch at an agency/university. An Implementation Team is formed by the Career-banding Coordinator and is typically comprised of a project leader from Human Resources and representatives from varying HR functions and management and/or employees from the occupational job family to be implemented. It may also include a representative of the Agency/University budget office to understand the impact to the budget process or funding resources.

Initial Allocation List - A preliminary list of employees and positions to be included in the new banded classifications in a job family/branch. It is prepared by the Implementation Team based on the Job Family Crosswalk.

Job - The set of duties and the associated competencies assigned to an individual employee.

Job Evaluation – A process by which jobs within an organization are compared with one another to determine their relative worth.

Job Family – Major groupings of jobs that represent general fields of work. The State of North Carolina has defined ten Job Families – Administrative and Managerial, Information and Technology, Law Enforcement and Public Safety, Human Services, Information and Education, Medical and Health, Institutional Services, Operations and Skilled Trades, Engineering and Architecture, and Environment, Natural Resources and Scientific.

Job Family Coordinator – An OSP representative assigned to direct and/or assist Transition Teams and to coordinate implementation efforts for a particular job family and associated branches with the OSP HR Partners and agencies/universities.

Journey Market Rate (JMR) - The average rate of pay for the journey level benchmark job selected. This rate is used by Agencies/Universities unless it is determined that there is a significant recruitment and retention problem that cannot be addressed through non-pay solutions.

Lead Worker – A position that may provide day-to-day administrative and/or technical guidance to an employee or a group of employees but does not have full supervisory authority.

Manager – A person who provides middle to upper level supervision over several work units or major sections of an organization. A manager typically supervises other supervisors and/or professional-level positions and has managerial duties as their primary function.

Market Data – Market information about a particular occupational group that is used to establish the journey market rate, statewide average market range and salary range guidelines.

Market Index – A ratio of an employee's salary to the appropriate market rate. It is calculated by dividing the employee salary by the market rate. The index is expressed as 100 being at market, with 95 indicating 5% below market and 105 indicating 5% above market.

Market Reference Rate (MRR) - An average market rate as determined by agencies and universities when comparing their benchmark jobs to relevant local, state or national market data that allows market and geographical flexibility in establishing appropriate market relationships. These rates are determined by conducting and analyzing market data gathered through in-house salary surveys or published survey reports. The primary reason to establish a

Market Reference Rate is to address significant recruitment and retention problems that have resulted from using the established Journey Market Rate. The need for a market reference rate is typically evidenced by unsuccessful recruitment and/or retention efforts tied to uncompetitive salary rates.

Pay Factors – The general parameters within which pay decisions must be made. The four pay factors are:

> **Financial Resources** - The amount of funding that a manager has available when making pay decisions.
>
> **Appropriate Market Rate** - The market rate applicable to the functional competencies demonstrated by the employee.
>
> **Internal Pay Alignment** – The consistent alignment of salaries among employees who demonstrate similar required competencies in the same banded class within a work unit or organization.
>
> **Required Competencies** - The functional competencies and associated levels that are required based on organizational business need and subsequently demonstrated on the job by the employee.

Pay Guidelines – Directions on how to address unique market and pay situations that may arise for an agency/university and/or occupation within an agency/university. Pay guidelines are developed by an agency/university in conjunction with the OSP HR Partner.

PMIS – Personnel Management Information System is an on-line, real-time IMS database mainframe system that houses NC's human resource database for university employees subject to the State Personnel Act.

Recruitment Range -- A range of pay used to recruit for competencies and skills of a specific position within a defined banded class.

Role - The different types of work recognized in a banded classification, e.g., for the banded classification of Law Enforcement Officer, the roles include Highway Patrol Trooper, Marine Fisheries Officer, and Wildlife Officer.

Salary Range - The range of pay for a banded classification determined through market surveys that defines the minimum and maximum pay spread.

BEACON – Systems Applications and Products in data processing is an on-line, real time IMS database system that houses NC's human resource database for <u>agency</u> employees subject to the State Personnel Act.

Supervisor – A person who provides the first line of supervision (generally defined as competency development, performance management, competency evaluation, hiring, and discipline/dismissal) for an employee or employees on a constant basis. A supervisor may or may not supervise professional-level positions and may or may not perform professional level duties apart from their supervisory duties. To be classified as a Supervisor, supervision should be the primary role of the job.

T& E – Training and Experience requirements for the banded class.

Transition Team – A team that is led by OSP to develop the job family crosswalk, banded class specifications, competency profiles, pay range, and market rates for a particular job family or branch. A Transition Team is typically composed of Human Resources and occupational area representatives from agencies/universities and representatives from the Office of State Personnel.

OFFICE OF STATE PERSONNEL

POSITION DESCRIPTION FORM

Name of Employee	Present Classification Title
Present 15 Digit Position Number/Proposed Number	Usual Working Title of Position
Department, University, Commission or Agency	Institution & Division
Street Address, City and County	Section & Unit
Location of Workplace, Bldg. And Room Number	Supervisor's Position Title & Number
Name of Immediate Supervisor	Work Hours *(i.e. 8:00-5:00pm, etc.)*
Work Schedule *(i.e. Mon-Fri, rotating shifts, etc)*	
Primary Purpose of the Organizational Unit	

%	**Description of Work:** *Describe the purpose of the job, and the major functions in which the employee participates or for which the employee is responsible.* ***.*** *In the small left-hand column, indicate the percent of time the employee spends in each functional element. The percentage amounts should add up to 100%. In addition, please place an asterisk (*) next to each essential duty/function.*

%	**Description of Work:** *(continued)*

Competencies: *Knowledge, skills abilities and attributes required in this position? What educational background is needed to perform these duties and responsibilities? What kind of work experience is needed?*

License or Certification Required by Statute or Regulation: *Is a license or certificate required? What kind and type?*

Employee's Signature/Title Date

Supervisor's Signature/Title Date

Applicant Screening Matrix

Position #: ________
Position Competency Level ______

Banded Class: ____
Working Title: ____

Qualification*	**Applicant Name** *Last, first*	**Meets Minimum T&E**	*Current Employee*	*Promotional Priority*	*Veteran Preference*	*RIF Preference*	**Education**	**Certification/ License**	**Competencies** 0 = Application does not include responsibilities and/or accomplishments that would indicate the required competency level 1 = Application includes responsibilities and/or accomplishments that would indicate the required competency level				
									#1	#2	#3	#4	#5

* Qualification: X = Not qualified Q = Qualified MQ = Most Qualified

STRUCTURED INTERVIEW GUIDE

Position: Position No.:
Interviewer's Name: Date:
Applicant's Name:

Purpose: The purpose of this interview guide is to ensure that the selection process is uniformly administered to all applicants.

Pre-Interview (For all interview panel members)

1. Review any position documentation such as position description, vacancy announcement, etc.

2. Review planned interview questions.

3. Decide how much time to spend on each question.

4. Determine who will ask each question.

Beginning the Interview (For lead interview team member)

1. Welcome the applicant. Use names and titles in the introduction of each interview team member.

2. Explain that the interview is designed to help the organization make the best hiring decision.

3. Outline process:

   a. The interview is only part of the selection process.
   b. The team will ask questions to obtain information about previous jobs and work experience relating to the position.
   c. Team members will ask questions in a rotating manner.
   d. The interview team will be taking notes to ensure interview information is recorded accurately. Invite the applicant to take notes if he/she wishes.
   e. The applicant and the organization will benefit from this process.

4. Proceed to the Education/Experience Information section.

EDUCATION/EXPERIENCE INFORMATION

Notes

COMPETENCY:

Rating

Question:

COMPETENCY:

Rating

Question:

COMPETENCY:

Rating

Question:

COMPETENCY:

Rating

Question:

COMPETENCY:

Rating

Question:

COMPETENCY:

Rating

Question:

APPENDIX D

BEHAVIOR-BASED

STRUCTURED INTERVIEW

QUESTIONS

Adapted from-
Dictionary of Dimensions
Development Dimensions International

Further Adapted for Career-banding
January 2006

ADAPTABILITY

Definition:
Maintains effectiveness when experiencing major changes in work tasks or the work environment; adjusts effectively to work within new work structures, processes, requirements, or cultures.

Many jobs in state government require employees to be effective in various situations. Some jobs involve a wide range of tasks while other jobs require work with clients and/or individuals who have different cultural, social, and economic backgrounds.

Possible Questions – ADAPTABILITY

1. Describe how you adjusted when priorities or procedures were changed.
2. Describe a work situation when you interacted with people from different cultural, social, and economic backgrounds. Were you effective? How?
3. How have you remained effective in your job when you experienced changes such as reorganization, a new supervisor, new procedures, legislative changes, or conflicting priorities?
4. Have you ever had to move from one group to another? What adjustments did you have to make?
5. What strategies would you use in a small group meeting if there were divergent opinions or solutions proposed to solve a problem?
6. Have you ever had the primary mission of your job or a task change completely in a short period of time? What did you do?

ANALYTICAL THINKING

Definition:
Identifies issues; obtains relevant information, relates and compares data from different sources, and identifies alternative solutions.

All jobs call for some degree of analysis to evaluate a situation and find problems or opportunities -- or, to anticipate potential problems or opportunities. The people in these jobs must be able to do two things. First, they must gather and analyze the facts that will show the critical issues of a problem or opportunity. Second, they must find the most likely causes and possible solutions. There are many kinds of analysis: financial, quantitative, operational, organizational, staffing, and scientific. Each requires different ways of finding causes and solutions.

Possible Questions – ANALYTICAL THINKING

1. All of us are surprised occasionally to discover that the services we are performing for clients are not working. What steps did you take to correct a situation like this?
2. Using accurate information obtained from expert sources is the best information. What sources of information do you use in your job?
3. Describe the sources of information you have used to accomplish a project within the last 12 months. What did you do with the information?
4. Describe a situation in which you had potential barriers to success in a project. How did you overcome the barriers? Did you succeed?
5. Recall a difficult work problem you have encountered within the last 12 months. Explain how you identified the critical issues. What solutions did you develop?

ATTENTION TO DETAIL

Definition:
Accomplishes tasks and processes accurately and completely.

Some jobs need people who can handle both the small and large parts of a task. Such individuals won't overlook what needs to be done and can be depended on to do each task accurately and completely.

Possible Questions – ATTENTION TO DETAIL

1. How do you insure that all parts of a task, both large and small, are accomplished without any of them being overlooked?
2. Give some instances when you found errors in your work. How did you find them? How did you correct them?
3. Describe a situation in which some aspect of a project or task was overlooked. What were the causes of the omission and what were the results? How did you correct the mistakes?
4. Describe a situation when a project you were working on did not meet established deadlines. What caused the delay(s)? What did you do?
5. How do you stay on track when you are constantly interrupted while working on a project?

BUILDING WORK RELATIONSHIPS

Definition:
Works effectively with others, outside the line of formal authority, to accomplish organization goals and to identify and resolve problems.

Individuals often find themselves in the middle of challenging relationships that require great skill to handle. Because most activities outside of the immediate work unit involve a number of people, collaboration is important. Collaboration will make the best use of resources when no direct reporting relationship exists. Collaboration is different from teamwork because collaboration refers to working with other employees outside of your immediate work group. An employee might work with individuals in other units, divisions, or agencies within or outside of North Carolina State Government, or the general public.

Possible Questions – BUILDING WORK RELATIONSHIPS

1. Describe how you handled a problem relationship with someone from another work unit, division or agency.
2. Explain how you worked with someone outside your immediate work group to accomplish a common goal.
3. How have you identified and resolved a problem with others outside your normal line of authority?
4. Discuss a situation in which you were assigned to work in a group and had to share your knowledge, resources, etc. with the group and they had to share theirs with you.
5. Describe a situation in which you and another member of a work group had different opinions about a topic. What happened?

CAREER AND/OR TALENT DEVELOPMENT

Definition:
Plans and supports the development of others using a competency based system. Identifies skills and abilities to fulfill current or future job/role responsibilities more effectively.

Many jobs need people who care about making all employees as effective as possible and who can identify employee’s weaknesses, design or locate the right development situations, and motivate employees to develop themselves. Supervisors need to make sure they develop their staff in their current jobs. This behavior is closely linked to the competencies of Coaching or Training. Development of Employees focuses more on the long-range development of employees.

Possible Questions – CAREER AND/OR TALENT DEVELOPMENT

1. If you or someone else in your work unit were to be absent for an extended period of time, how would their work be accomplished?
2. Have any of your subordinates ever been promoted to a position of more responsibility?
   Were they successful? Why?
3. Describe your least effective employee's weaknesses and what you have done to strengthen them.
4. Do you have a training program or a development plan for your employees? Describe it.
5. Give some examples of times when you delegated projects to employees to provide them with opportunities to develop additional skills. Did they develop them? Why or why not?

<u>CLIENT/CUSTOMER SERVICES</u>

Definition:
Develops and maintains strong relationships with clients (those who buy goods and services and for whom formal professional services are rendered) or customers (those who consume goods and services) by listening to the client/customer and understanding and responding to identified needs.

To most citizens, the contact person is the organization. In their eyes, the organization is only as competent, knowledgeable, courteous, and reliable as the person who represents it.

Possible Questions – CLIENT/CUSTOMER SERVICES

1. How do you anticipate customer needs?
2. How do you check for customer satisfaction?
3. Describe a situation when you did not "pass the buck" but accepted responsibility for the outcome.
4. Relate some instances when you continued through a course of action or followed up afterwards to insure customer satisfaction.
5. Define empathy. How do empathize with customers?
6. Who are your internal customers? How do you interact successfully with them?

<u>COACHING/MENTORING</u>

Definition:
Provides guidance and feedback to help an employee or groups of employees strengthen their knowledge and skills to accomplish a task or solve a problem, which in turn improves job performance.

The effort into coaching will pay off for the employee, the supervisor, and the State of North Carolina. Effective coaching helps avoid performance and work habit problems, while building the confidence, commitment, and skills people need to handle their work and achieve their performance expectations. When people work more effectively, productivity increases and there is more time to complete the important aspects of the job.

Possible Questions – COACHING/MENTORING

1. What steps do you take to correct your employees' performance or work habit problems?
2. What do you do to build employees' confidence, commitment, and skills?
3. Describe some employees who have become more successful and productive as a result of your management.
4. Give some examples of delegating work to subordinates in order to provide them development opportunities. What happened?
5. Have you ever conducted an interim review with an employee? What steps did you take?
6. Have you ever had an employee who had difficulty completing tasks? What action did you take with that employee?
7. Giving negative feedback about job performance to an employee is very difficult. What methods of giving negative feedback have you used which seem successful?

COMMUNICATION - ORAL

Definition:
Conveys information orally to individuals or groups to ensure that they understand the message. Listens and responds appropriately to messages from others.

Many jobs require people who can speak effectively. The focus is on the form of the communication, not the content. Oral Communication focuses more on informal day-to-day expression of thoughts, ideas, and information. Oral Presentation is more appropriate for jobs that require frequent formal and/or planned presentations.

Possible Questions – COMMUNICATION-ORAL

1. What steps do you take to insure adequate understanding of information by different audiences when you are communicating?
2. Give two examples of presentations you were required to give and how you accomplished them?
3. What different approaches do you use when talking to different groups of people?
4. Give three examples of incidents when you communicated information to a client and the client remarked that they did not understand it. What steps did you take to correct the situation?
5. All of us have had situations where we had difficulty explaining a subject over the phone. How have you corrected those situations when they occurred?
6. What complicated concepts, ideas, policies or practices have you had to explain?

COMMUNICATION - PRESENTATIONS

Definition:

Develops presentations using a variety of media and presents ideas effectively to individuals or groups; delivers presentations suited to the characteristics and needs of the audience.

Some employees must make prepared presentations. Generally such presentations are planned and can be given before large groups (business briefings) or individuals. The key to the presentation's success is that the speaker has time to prepare. The presentation must follow a logical sequence, develop issues and ideas succinctly, state needs and recommendations clearly, and address the listener's goals and levels of understanding.

Possible Questions – **COMMUNICATION-PRESENTATIONS**

1. What steps do you take to prepare for a presentation.
2. How do you determine an audience's needs, interests, attitudes and level of awareness?
3. Describe a presentation you made within the last 12 months. What kind of feedback did you get?
4. Describe a situation when you tailored a presentation to fit the needs of the audience?
5. How do you handle difficult questions or check for clarity during public speaking?

COMMUNICATION - WRITTEN

Definition:

Conveys written information to individuals or groups to ensure that they understand the message.

Varying levels of writing skills are required for different jobs. The ability to convey ideas is important. The extent to which proper grammar and form are important depends on both the job and the method of communication.

Possible Questions – COMMUNICATION-WRITTEN

1. When do you prefer written communication versus oral communication?
2. How do you evaluate and edit your own writing for grammar, spelling, style, and content?
3. What types of reports have you written?
4. What has been your most difficult writing assignment and why?
5. How do you ensure that the reader understands the message you are sending?

COORDINATION - OPERATIONS

Definition:
Facilitates flow of work for a process or procedure; sets up ongoing procedures to collect and review information and monitors or regulates those procedures, tasks, or activities.

Some jobs require the employees to track and control activities, assignments, tasks, and projects. This can be done through direct observation, reports, systems, etc.

Possible Questions – COORDINATION-OPERATIONS

1. How do you check to see that assignments are accomplished?
2. Describe procedures you use to monitor your own job activities and responsibilities or to monitor the tasks and activities of employees.
3. Do you keep minutes of your meetings or notes of discussions? What do you do with them?

COORDINATION - WORK

Definition:
Follows instructions through a standard work process; performs routine tasks; checks work for accuracy before completion of tasks.

Some jobs require a person who can do all the steps in a specific process, such as laboratory work, medical work, economics, educational research, mechanical or physical production, and office/administrative work while maintaining consistency. This is important in maintaining quality control with any activity.

Possible Questions – COORDINATION-WORK

1. How do you maintain quality control standards?
2. Review the step-by-step procedures to accomplish a task in your job.
3. Explain how to operate a piece of workplace equipment/machinery from start to finish.
4. How do you maintain consistency in each part of your job?

CREATIVITY

Definition:
Generates innovative solutions in work situations; tries different and novel ways to deal with work problems and opportunities.

Some jobs require creativity when handling tasks or solving problems. Creativity/Innovation is often shown by an employee's support of creativity in others. (Creativity/Innovation in hobbies and non-job-related areas is not relevant)

Possible Questions - CREATIVITY

1. Describe the most innovative or creative thing you have done in your work experience.
2. Have you ever had a problem that the usual techniques could not resolve? What did you do to solve it?
3. Describe a positive change in your organization resulting from one of your original ideas.
4. How do you do things differently now than you did five (5) years ago?
5. What is the most unusual approach you undertook to resolve a problem?

DECISION MAKING

Definition:
Identifies and understands opportunities, issues, and problems; uses effective approaches for choosing a course of action or developing appropriate solutions and/or reaching conclusions; takes action consistent with available facts, constraints, and probable consequences.

In addition to analyzing problems, people often must reach a conclusion, make a recommendation, or take action. With available information, individuals must make decisions on time and take action without waiting for more information or guidance. Decisiveness deals with the number of decisions made and the time it takes to reach conclusions. The quality of the decision or conclusions is covered by Judgment, and independent variable. A quick decision or action (high decisiveness) might be sound (good judgment) or unsound (poor judgment).

Possible Questions – DECISION MAKING

1. Explain how you adjust your daily routine when priorities change.
2. Describe a difficult situation you have experienced within the last 12 months? What did you do?
3. Describe a project with critical deadlines to meet and how you met them.
4. Have you ever had to postpone action on a project to allow yourself more time to think? What happened?
5. Describe a situation where you rendered a snap decision based on available information and altered the course of action. What were the results? Were they positive or negative?

EQUIPMENT OPERATION

Definition:
Uses specific equipment or machines to meet defined quality and quantity standards.

Word processing equipment, copy machine, bulldozer, forklift, motor vehicles, medical equipment, lab equipment, kitchen appliances, laundry machines, electronic equipment, and boilers -- all are examples of machines or equipment that might be required for a job. It is appropriate to define the level of operation required as part of the definition.

Possible Questions – EQUIPMENT OPERATION

1. What equipment are you trained to operate? How do you use it to accomplish your job?
2. Explain the safety precautions you use when you are operating your equipment.
3. Are you responsible for maintaining and repairing your equipment? How do you do it?
4. How do you maximize the usage of your equipment to achieve success?

INITIATIVE

Definition:
Takes prompt action to accomplish objectives; takes action to achieve goals beyond what is required; being proactive.

Taking action beyond what is necessarily called for in order to achieve goals; originating action. Most jobs require people who will take actions beyond their job responsibilities. The person high in Initiative will originate actions rather than respond to the requests of others. Most people control their own and others' resources, activities, and time. It's impossible for management to specify all that needs to be done to achieve the job's goals. Thus, people must continually evaluate, select, and act in different ways to meet their goals.

Possible Questions - INITIATIVE

1. List two or three suggestions or new ideas you have presented to your supervisor in the past 12 months. Why did you suggest each one? Were your ideas implemented?
2. Name some problems you have tried to solve before being instructed to do so.
3. Describe the last difficult work problem you offered to help solve?
4. Describe some situations in which a project was accomplished primarily due to your actions. What actions did you take?
5. Give some examples of actions you took which were beyond what is normally expected from someone in your position. Why did you take those actions? What were the results?
6. Describe a new idea you have originated to improve work efficiency or make the job easier. How did you get that idea implemented?

INTEGRITY

Definition:
Maintains social, ethical, and organizational norms; firmly adheres to codes of conduct and ethical principles.

Most jobs demand that individuals do what is morally and ethically right as well as fast. It might be possible at times to get away with something without being found out. It is important that employees do what is morally and ethically right.

Possible Questions - INTEGRITY

1. Discuss an instance when you could not honor a commitment or had to renege on a promise? How did you notify affected persons? Did they understand?
2. Most regulations leave some leeway for interpretation. Discuss a few examples of when you had to stretch or bend the rules.
3. Describe a situation where you broke a rule or came close to breaking it. What were your reasons?
4. Have you ever had to confess or admit to a mistake in the workplace? Discuss the situation.
5. Describe some instances when you kept commitments to others even to your own detriment? Do you feel you did the right thing?
6. What action(s) have you taken when you observed others breaking the rules?

JUDGMENT

Definition:
Weighs alternative actions and makes decisions that incorporate opinions, facts, tangible and/or intangible factors.

Decisions are based upon logical assumptions that take into consideration the organization's resources. Many jobs require people to make decisions in several areas. Once all pertinent and available information has been analyzed and alternatives have been developed, individuals must consider the pros and cons of each alternative and select the best one. Judgment specifically deals with the quality of decisions based on given or available information. Judgment, therefore, is strongly related to analysis. If a poor decision was made because of inadequate information, evaluate Analysis, not Judgment. If the employee decided not to obtain or consider information and a poor decision resulted, look at Judgment.

Possible Questions – JUDGEMENT

1. Give two or three examples of good decisions you have made within the last 12 months. How do you know they were good?
2. Describe a difficult decision you have had to make within the last 12 months. What

were some alternatives? Why did you choose the one you did?
3. Describe a situation in which you involved others in a decision making process. Why did you include the others?
4. Discuss the pros and cons of an important decision you made at work?
5. Have you ever made a decision that had a negative impact at work? What caused the negative results? Why?

KNOWLEDGE

Definition(s):
<u>Knowledge - Professional</u>: Achieves a satisfactory level of professional skill and/or knowledge in specific area(s) and keeps current with developments and trends in area(s) of expertise. NOTE: Where more than one area of professional knowledge is required, more than one Knowledge competency may be listed or specific needs may be documented in competency profile. For example, if a job requires engineering and biological knowledge, Knowledge competency factors may include Knowledge (Engineering) and Knowledge (Biology). Typically earned in an academic setting resulting in at least a four-year degree.

<u>Knowledge - Technical</u>: Achieves a satisfactory level of technical skill or knowledge in a specific technical area(s) and keeps up with current developments and trends in areas of expertise. May be acquired through academic, apprenticeship or on-the-job training or a combination of these. NOTE: Where more than one area of technical knowledge is required, more than one Knowledge competency may be listed or specific needs may be documented in competency profile.
State Agencies need employees who stay current on methods/practices in order to maintain expertise in their field (e.g. engineering semiconductors, physiology).

Possible Questions - KNOWLEDGE

1. What are the market conditions and trends in your field?
2. What resources do you use to maintain your proficiency and expertise in your field? What seminars or workshops have you recently attended?
3. What degrees, training, certifications, licenses, or continuing education credits do you currently possess?
4. How up-to-date is your knowledge of the mechanical and/or technical aspects of this field? Are you comfortable with the state of the art technologies?
5. To which technical or professional organizations do you belong? To which magazines and newsletters do you subscribe?

LEADERSHIP and INFLUENCE

Definition:
Using proper interaction skills and methods to guide individuals or groups to accomplish work.

Maintaining group cohesiveness and cooperation; helping group process and gaining agreement/commitment to ideas, plans, or course of action. Supervisors must be able to influence and be influenced by others. In doing so they must accurately assess the skills, feelings, concerns, and needs of others. They must explain government policies, procedures, and objectives. They must model the enthusiasm, hardworking attitude, competence, and commitment to quality and growth that they expect from others. With their own staff or groups, they must be able to build a cohesive and cooperative team while, at the same time, honestly confronting issues that occur at all levels of the organization.

Possible Questions – LEADERSHIP and INFLUENCE

1. What did you do to gain the cooperation of a difficult group?
2. How did you gain employees' commitment to a new policy or procedure?
3. What do you do to maintain trust and unity among employees?
4. How do you accurately assess the skills, feelings, concerns, and needs of others? What do you do with this information? How do you use this information to lead the group?
5. What do you do specifically to model energy, enthusiasm, competence, commitment, and a hard working attitude for others?

MANAGING WORK AND PERFORMANCE

Definition:
Assigns work and establishes work rules and acceptable levels of quality and quantity of work; reviews work and measures performance of others, and develops individuals' competencies.

Research indicates that setting challenging, attainable program goals that are accepted by management and employees leads to high performance. Establishing Performance Goals (Objectives) will ensure that the performance of each employee contributes to your objectives and the plan of the organization. Goals help employees establish clear courses of action and remove any uncertainties about the job. Accomplishment of goals provides a sense of achievement.

Possible Questions – MANAGING WORK AND PERFORMANCE

1. Have you ever conducted the initial or interim review of an annual Workplan with subordinates? How did you do it?
2. How do you gain an employee's commitment to your organization's goals?
3. How do you monitor and review the progress of employees towards program goals?

4. Have you ever involved employees in establishing program goals? How did you do it? What were the results?
5. Have you ever supervised employees who did not achieve their program goals? What were the causes of their failure? What did you do?

MANAGING WORK PROCESSES

Definition:

Measures and evaluates work processes, services and products to achieve organizational goals. Redesigns process as needed using best methods and technology to meet or exceed business needs. Uses appropriate methods to identify opportunities, implement solutions, and measure impact.

All managerial and some individual jobs need people who can track and control activities, assignments, tasks, and projects. Monitoring devices include direct observation, requests for written or oral reports, and feedback and reporting systems. Information Monitoring is associated with Delegation because it deals with following up delegations to track effectiveness and determine where help is needed. However, Information Monitoring also applies to activities beyond those of employees. Effective information monitoring systems prevent surprises and letdowns because progress, trends, and changes are tracked, monitored, and reported.

Possible Questions – MANAGING WORK PROCESSES

1. How do you stay abreast of processes, tasks, and activities in your workplace?
2. What types of monitoring devices do you use to track and control activities in your job?
3. How do you follow up on responsibilities you have delegated to employees?
4. Have you ever had an employee who needed help to accomplish tasks? How did you reach the conclusion that the employee needed help?
5. How do you track the effectiveness of your employees' efforts?

NEGOTIATION

Definition:

Confers with others to reach resolution; explores alternatives and positions to reach outcomes that gain the support and acceptance of all parties.

Some jobs require people who know when to give in on a point and when to stand firm. They know when to argue their case, raise questions, and make compromises in the best interests of all parties. Negotiation can be between peers and co-workers, supervisor and employee, or involve a citizen, supplier, or other outside agencies. Though related to Leadership/Influence, Negotiation focuses on the ability to deal with actual differences of opinion and conflicting interests.

Possible Questions - NEGOTIATION

1. Describe your most satisfying experience in gaining support for an action from a group who initially had a conflicting interest.
2. Discuss two instances where you had to compromise with other groups.
3. How do you handle co-workers, supervisors, employees, outside agencies, or private citizens who have a different opinion than you do about an important issue involving your program?
4. Explain how you settled a disagreement or problem among opposing parties.
5. Describe your action when your ideas were challenged during a presentation.

OBJECTIVITY

Definition:
Is aware that personal prejudices, biases, and experiences can have an impact on making decisions; guards against allowing these factors to influence decisions.

Guarding against allowing these factors to influence decisions. Most people draw from experience when making decisions. However, letting only experience dictate the approach to a decision can lead to problems. Personal biases also can adversely affect judgment. Objectivity ensures that relevant information is properly and thoroughly analyzed, leading to higher quality decisions.

Possible Questions - OBJECTIVITY

1. How do you ensure that you are making sound decisions?
2. What personal biases do you have and how do you keep them from influencing your decisions?
3. Describe a situation when strong personal feelings spurred you toward a course of action. What did you do? What were the results?
4. How do you know when to offer an opinion or a judgment on an issue?
5. What do you do to separate fact from rumor in the workplace?

ORGANIZATIONAL SENSITIVITY

Definition:
Understands the organization's mission, the function of the specific work unit and how it works with other work units to serve the customer/client. Understands the impact and implications of decisions on the community and other departments.

Individuals should be aware of how the decisions and actions of one department affect the rest of the organization and make decisions or requests for resources accordingly.

This competency is a subset of Judgment; it deals with being aware of the needs of the community as well as the needs, expectations, or viewpoints of others. It involves the ability to see things from the “other side of the fence”.

Possible Questions – ORGANIZATIONAL SENSITIVITY

1. What do you do to promote a positive image of State employees?
2. Describe a situation when you had to consider a proposed action’s impact on others before implementing it.
3. How do the actions of your work unit affect other parts of the organization?
4. How do you insure other units’ views are considered before you reach a decision and take action?

PLANNING AND ORGANIZING WORK

Definition:
Develops plans to accomplish work operations and objectives; arranges and assigns work to use resources efficiently. Advanced planning is more of a strategic nature to develop plans, organizational structures, and systems to fulfill legislative or mission driven organizational goals.

Many jobs require people who can plan and organize for themselves and others. This includes setting goals, budgeting time, setting priorities, allowing enough time for activities, and being aware of how activities relate.

Possible Questions – PLANNING AND ORGANIZING WORK

1. What methods and tools do you use to schedule weekly activities for yourself and your staff?
2. Describe a period when your unit had a backlog of work. What circumstances caused the delays? What did you do?
3. How do you distinguish between what is urgent and what is not when setting priorities?
4. How far ahead do you schedule your time? What is your schedule for the next 4 weeks?
5. How did you plan last month’s activities for your unit?
6. Do you manage a budget for your unit? If not, how do you obtain resources for projects?

RESILIENCE

Definition :
Handles disappointment and/or rejection while still working well.

Some jobs require people who can maintain motivation and professional standards despite long periods of disappointment, rejection of a point of view, or failure of a major project. This is particularly important in health and human services and regulatory jobs.

Possible Questions - RESILIENCE

1. What has been your biggest disappointment in your job? How have you responded?
2. Explain how you have maintained your motivation and professional standards during a period of heavy workload and/or a reduced workforce?
3. How do you maintain your patience and stay cooperative when dealing with irate, uncooperative people?
4. Have you ever experienced the failure of a major project or the rejection of your point of view? How did you respond?
5. Describe how you continued to persevere in your job when you experienced a lack of adequate funding or suffered equipment breakdowns.

SAFETY & HEALTH COMPLIANCE

Definition:
Demonstrates an understanding of applicable policies and procedures, and maintains conditions that ensure a healthy and safe working environment.

AND

SAFETY & HEALTH MANAGEMENT

Definition:
Establishes a culture of safety for employees and ensures that work processes are free from safety and health hazards, that employees are properly trained, and that programs are in place to ensure safety.

Some jobs require people who know safety laws and regulations and recognize unsafe working conditions. Some jobs require people willing to act quickly to correct unsafe work habits and dangerous equipment or conditions.

Possible Questions – SAFETY AND HEALTH COMPLIANCE AND MANAGEMENT

1. Describe the Safety & Health regulations affecting you and your Agency.
2. What do you do to ensure the safety of your employees and the safe operation of workplace equipment?
3. Describe a situation when you discovered a safety hazard and corrected it to prevent an injury to other employees.
4. Do you have a written employee safety program? How often do you check the operation of safety equipment? How do you teach new employees the safe way to do the job? How do you inform employees about safety and health information?
5. How do you identify safety hazards and correct them before someone is injured?

STRATEGIC ANALYSIS

Definition:
Uses a variety of information sources internal and external to the organization to identify issues and trends; studying financial, economic, and technical information to identify ways to achieve long-range goals or meet the vision of the organization.

Many employees must understand broad issues and trends, deal with unfamiliar information, and cope with unexpected changes. This requires them to use a wide general knowledge and to understand matters outside of their own professional or technical background.

This is a high-level version of Analysis, which emphasizes vision and the big picture of the organization and the outside environment.

Possible Questions – STRATEGIC ANALYSIS

1. What sources do you use to stay abreast of national and international affairs affecting your field of expertise?
2. What are the latest trends in your field? Your organization?
3. Do you work with other professionals in long term planning for your agency? What are you currently working on?
4. What technical and professional knowledge do you use to prepare plans?
5. Describe two instances when you used technical information to improve efficiency in your organization?

TEAMWORK (COOPERATION)

Definition :
Actively participates as a member of a team to move toward the completion of goals.

Active cooperation by every member is vital to team success. Team members cannot sit back and observe or allow others to do the work; they must work proactively to achieve group goals and facilitate cohesiveness. Effective teams are not just collections of people. Rather, they are an entity that is greater than the sum of its parts. This means that team members must work together closely and make every effort to support and cooperate with each other. Teamwork involves a work group, such as the people composing a self-directed work team or all the people involved on a special project.

Possible Questions - TEAMWORK

1. Describe some team projects in which you participated.
2. Have you ever served on a team that had experienced problems? What happened? How did you solve the problem?
3. Have you ever served on a team and had a different opinion than the rest of the group? What

kind of agreement did you finally reach? Did you support the final decision?
4. How do you introduce your suggestions, opinions, and information to a team? How do you receive information from others?

TENACITY

Definition:
Stays with a job or plan until the desired objective is achieved or is no longer reasonably attainable.

Some jobs require people who when faced with obstacles, keep trying to achieve their goals. Tenacity is indicated by the number of attempts to achieve the goal.

Possible Questions - TENACITY

1. Describe a situation in which you had some difficulties in achieving desired results. How did you succeed?
2. What is a major obstacle you have had to overcome in the past 12 months?
3. Describe a situation where you had inadequate resources to accomplish your objectives and how you overcame the deficiencies to succeed anyway.
4. Describe a situation when you suddenly discovered that the results you were getting would not meet desired expectations. What did you do to rectify the situation?

TRAINING

Definition:
Leads and guides others to develop new skills or knowledge that will enhance their work; designs, develops and/or delivers training programs.

Some jobs require individuals who can teach new workers how to use machines, complete forms, etc. Training can take place in a classroom setting or it can be on the job on an individual basis. This competency focuses on the ability to communicate technical information effectively.

Possible Questions - TRAINING

1. Describe how you trained another employee to use office machinery or to complete office forms.
2. How do you check for understanding when you are training someone?
3. If you train other employees, what is the typical level of education or experience of the participants? How do you use this information in the training?
4. What has been your most rewarding experience training someone? What has been the most frustrating?
5. What is the most difficult aspect of training for you? Why?

Behavioral Interviewing Details

One theory relating to the behavioral interviewing system is the behavioral example or STAR technique. It is the most basic unit of information about the candidate. Behavioral examples are composed of the following parts:

1. *Situation or Task* – The situation or task leading to the candidate's actions
2. *Action* – Active attempts the candidate made to make a change or to influence events
3. *Result* – The outcome of the candidate's actions

Not all behavioral examples are created equal. Only those that provide focused, job related information should be acceptable. Unusable behavioral examples (false STARs) fall into the following categories:

- Feelings or opinions: "I have always strongly believed in loyalty."
  This may be a true statement, but there is no evidence that the candidate has demonstrated this. Further, is "loyalty" required in the target position?

- Theoretical statements: "If a team project were assigned, I would anticipate team supply needs."
  This response gives no information about whether the candidate has actually done this before.

- Future-oriented statements: "I plan to complete the Public Managers' Program."
  It doesn't count until you have done it.

- Vague statements: "My idea turned out all right and people were happy with it."
  As an interviewer, ask yourself "Which idea?"
  By what measure was it "all right?" Which "people" were happy and by what measure? Until the interviewer asks key questions that provide more objective information, this example cannot be used.

- Incomplete behavioral statements: "We were running 20% over budget. I made some changes to get the project back in line. As a result, we came in 5% under budget."
  This sounds good, but the interviewer needs to ask what the changes were. Certainly, taking unethical or illegal shortcuts would cast this example in a completely different light.

Seeking More Detail

The interviewer should seek more detail when the candidate does not provide enough of the specifics of a behavioral example to clearly illustrate the Situation or Task, Action and Result. The interviewer should:

- Clarify misunderstood questions or unclear candidate responses
- Encourage responses by reinforcing the appropriate level of detail such as "that is the kind of specificity we need. Thank you."
- Use silence. Sometimes this technique encourages the candidate to speak.

Seeking Less Detail

Sometimes the interviewer gets more detail than necessary. This can prolong the interview or reduce time for questioning in other areas. When this happens, use the following techniques:

- Establish interview ground rules during the introduction. Ask for brief but detailed and focused answers to the questions.
- If the applicant response drifts, interrupt the candidate and redirect the discussion to a specific area.
- Summarize the discussion and transition to another area.
- Reinforce brief answers.
- Discourage lengthy answers.

Asking Follow-up Questions

- Frequently, the candidate does not give a complete behavioral example on the first question. This happens when the candidate is unfamiliar with behavioral interviewing. Remember that many candidates are accustomed to the traditional interview format and may never have participated in a behavioral interview.
- If the candidate offers a false STAR, ask a follow-up question to get a usable one.
- Even if the candidate reports a complete STAR, this can be an opportunity to seek another one to confirm or clarify the previous one.

Evaluating Responses

The interviewer(s) should use the same criteria in evaluating each applicant. Each candidate who exhibits the same level of effectiveness in a competency should be given the same credit. In evaluating the candidates the interviewers should pay close attention to:

- More significant behavior
- More recent behavior
- Behavior more related to the target position.

Interview Questions – Legal Considerations

Employers may ask questions to obtain information pertinent to the position, as long as the questions do not solicit information which can be used to discriminate against individuals. Interview questions, as well as other aspects of the hiring process, must be applied in a consistent and standardized manner to all applicants. Questions are to be limited to assessing competencies necessary to perform the functions of the position. The table below provides guidance on appropriate questions:

Topic	**Can Ask**	**Cannot Ask**
Employment	Any question related to education, experience, strengths and weaknesses, promotions, accomplishments, current salary, salary requirements, reasons for leaving a position.	None
Age	No acceptable pre-employment inquiries. (The exception, as always, is when you can prove that age is a bona fide occupational qualification - i.e., is necessary to perform the job, usually difficult or impossible to prove.	Any question designed to discover someone's age.
Arrest Record	No acceptable pre-employment inquiries. (Law enforcement agencies are exempt from this restriction)	Any inquiry relating to arrests since, under our judicial system, you are presumed innocent until proven guilty.
Availability for Saturday or Sunday Work(pertaining to religious discrimination)	Although you may want to know about an applicant's availability for Saturday or Sunday work, the answer may not do you any good since even when an applicant's religious observance makes him or her unavailable for weekend shifts, this fact cannot be used: in any hiring decision. Title VII requires employers to make "reasonable accommodation" even for a "prospective employee's religious observance", unless it causes "undue hardship". If you decide to ask, let the applicant know that a reasonable effort will be made to accommodate any religious needs should he or she be hired.	Any question about religious observance.

Availability for Weekend or Evening Work(pertaining to sex discrimination)	Inquiries about an applicant's availability for evening and/or weekend work provided that the inquiry is made of both male and female applicants and provided that the person now doing the job works evenings and/or weekends, or that a definite change in schedule is being implemented.	Asking this question because you think you'll want the person to work evenings or weekends. (Reason: Question is likely to have a discriminatory impact on applicants with families - particularly women.)
Citizenship	Whether the applicant is prevented from lawfully becoming employed in this country because of visa or immigration status. Whether applicant can show proof of citizenship, visa, or alien registration number after being hired.	Whether applicant is a citizen. Any requirement that the applicant present birth, naturalization, or baptismal certificate before being hired.
Convictions	It is all right to inquire about an applicant's conviction record for "security sensitive" jobs, since it has been shown that people with high conviction rates are poor risks for these jobs. "Security sensitive" jobs include not only the obvious - treasurer, cashier, etc. – but peripheral positions as well - janitor, typist, trucker or other jobs where the employee would be working near a security sensitive area.	Questions about conviction unrelated to job requirements - e.g., inquiries about gambling arrests for the job of transportation worker.
Credit Inquiries	No acceptable pre-employment inquiries unless job related.	Inquiries about charge accounts, bank accounts, etc.
Education	If the individual has the specific education or training required for the specific job.	General questions about high school or college degrees unless you (or your supervisors) can prove the educational degree inquired about is necessary to perform the job
Family Status	Whether applicant has any activities, commitments, or responsibilities that might prevent him or her from meeting work schedules or attendance requirements. NOTE: These questions must be asked of both men and women or of neither.	Whether the applicant is married or single, number and age of children. Asking only women about child- care arrangements.

Financial Status	No acceptable pre-employment inquiries.	Inquiries about an applicant's financial condition, home or car ownership (unless owning a car is required for the job) have been found to result in discrimination against minorities since more non-whites than whites are below the overt level.
Disabilities	Are you able to perform the essential functions of the job with reasonable accommodation? (Provide applicant with a job description.)	General inquiries - e.g., "Do you have any disabilities?" - which might reveal disabilities not related to ability to perform a specific job.
Height and Weight	Inquiries about ability to perform the job (without mentioning the person's height or weight).	Any inquiry about height or weight not based on the actual job requirements, in which case you or your superiors must be able to prove that a specific minimum or maximum height or weight is required to perform the job.
Marital Status	No acceptable pre-employment inquiries.	Whether the applicant is married, single, divorced, separated, engaged, widowed.
Military	Inquiries about education, training or work experience gained in U.S. armed forces.	Type or condition of military discharge. Experience in other than U.S. armed forces. Request for discharge papers.

National Origin	Inquiries into applicant's ability to read, write and speak English or foreign languages when required for a specific job.	Questions about applicant's lineage, ancestry, national origin, descent, place of birth or mother tongue, national origin of applicant's parents or spouse. How applicant acquired ability to read, write or speak a foreign language.
Organization	Inquiries about membership in professional organizations related to the job - e.g., does the applicant for a chemical engineering job belong to a chemical engineering society?	Questions about organizations whose name or character indicates members' economic or social class, race, color, creed, sex, marital status, religion or national origin – e.g., country clubs, social clubs, religious clubs, fraternal orders.
Personal Information	Whether the applicant has ever worked for your organization under the current name or another name. Names of character references.	General inquiries about change of name through court application or marriage.
Pregnancy	Inquiries about the applicant's anticipated duration of stay on the job or anticipated absences - only if made to both male and female applicants.	Any question relating to pregnancy or medical history concerning pregnancy. NOTE: The EEOC has ruled that to refuse to hire a female solely because she is pregnant amounts to sex discrimination.
Race or Color	No acceptable pre-employment inquiries	Any questions about race or color.
Relatives	Name of applicant's relatives already employed by our organization or competitor. (This inquiry becomes unlawful when hiring preference is given to relatives	Requests for the names and addresses of any relatives other than those working for your

	of employees at a time when minorities are under- represented in our organization's workforce.	organization.
Religion or Creed	No acceptable pre-employment inquiries.	Questions about applicant's religious denomination, religious affiliation, church, pastor, or religious holidays observed.
Residence	Inquiries about the applicant's address needed for future contact with the applicant.	Whether the applicant owns or rents own home (denotes economic class). Names and relationship of persons with whom the applicant resides.
Sex	No acceptable pre-employment inquiries.	No acceptable inquiries.

Applicant Assessment

Applicant Name:______________________________

Position Title: ________________________________

Position Number: _____________________________

Interviewer: _________________________________

Date: ______________

Competency	Assessment instrument(s)	Test & Sample Ratings	Individual Interview Rating	Consensus Rating

Overall Consensus Rating

NORTH CAROLINA STATE GOVERNMENT

Competency Assessment and Career Development Plan

Department:	**Division:**	**FY:** 20 -20
Employee:	**Position Title:**	
Supervisor:	**Position Title:**	
Manager:	**Position Title:**	

Competency Assessment Discussion	
Supervisor Signature:	**Date:**
Employee Signature:	**Date:**
Manager Signature:	**Date:**
Position Competency Level	**Employee Competency Assessment**
C ☐ **J** ☐ **A** ☐	**C** ☐ **J** ☐ **A** ☐

The employee's signature does not indicate agreement with the overall assessment. The signature only indicates that the instrument was discussed on the dates indicated.

Functional Competency Assessment

Key Functional Competency	Comp. Level	Competency definition	Employee demonstration of competency	Level C J A
	☐			☐ ☐ ☐
	☐			☐ ☐ ☐
	☐			☐ ☐ ☐
	☐			☐ ☐ ☐
	☐			☐ ☐ ☐
	☐			☐ ☐ ☐

Career Development Activities (include Supervisor and Employee responsibilities):

Comments

Competency Assessment Discussion

Employee Comments:

Supervisor Comments:

Salary Assessor Program
August 2008

The Salary Assessor can be used to:

- report current and adjusted market indexes for employees based on their current salary, proposed increase, and competency assessment
- identify areas of concern before final awards are made
- document current comparisons to the market indexes
- document implementation recommendations to HR staff and OSP
- aid in setting salaries (new hire, promotion, yearly assessments, etc.)
- report market index statistics base on gender, race, and pay band
- report the budget amounts committed and uncommitted

Program screen forms are designed to be viewed at a screen resolution of 1024 x 768 or higher.

STARTING THE SALARY ASSESSOR PROGRAM FOR THE FIRST TIME

STEP 1: SAVE PROGRAM TO YOUR H DRIVE BY USING "SAVE AS"
Suggestion: Name file for represented work unit and date of work
Example: ITS Human Resources August 2008
ITS Budget August 2008
OPEN SAVED PROGRAM

STEP 2: COMPLETE MARKET RATE INFORMATION

- Click on **Report Button** to open the Reports Menu.
- Double click on **FORM Pay Band** item
- Enter the Schematic Code, Class, minimum, market and maximum pay rates for your unit if they are not already in the database.

If you have approval to use market reference rates rather than the statewide market rates, these can be entered over the statewide market rates AFTER program has been saved to H drive.

- Click on Return Button – it will return you to the Reports Menu

STEP 3: COMPLETE REPORT HEADING INFORMATION

- Double click on **FORM Title/Last Update** to enter
  - Today's date,
  - Name of the person who will compile the information
  - Title information
    - The titles to the left of the 5 blank fields are used for a guide only. Use as many of the 5 blank fields as necessary to describe your unit, but do not skip lines. If you only need 3 or 4 lines, be sure the unused lines are at the bottom of this form.
    - Click on **Return Button** – it will return you to the Reports Menu
    - Click on **Close** – it will return you to the "multi" spreadsheet field

You may enter the overall funding allotted for salary increases now, if known, or you may begin to enter employee information.

STEP 4: COMPLETE ALLOTTED FUNDING – OPTIONAL

- Click on **Report Button** to open the Reports Menu.
- Double click on **FORM Salary Increase** item to enter allotted funds for appropriations, receipts and/or grants.
- Click on **Return Button** – it will return you to the Reports Menu
- Click on **Close** – it will return you to the "multi" spreadsheet form

When you return to the Multi form, the amounts available will be listed at the bottom of the form. As you grant increases and move off the record to another record, the amounts at the bottom of the form will reflect the balances remaining.

STEP 5: ENTERING EMPLOYEE INFORMATION

Data may be entered using the spreadsheet (Multiple) or the employee field (Single).
The program always opens to the spreadsheet form. To see all the information on an employee in spreadsheet form, scroll to the right. The employee name remains frozen on the left side of the form. The **Switch Button** on either form will take you to the other form. Data entered into one form will automatically appear in the other when you switch.

Hints:

A field designated **(required)** means something must be entered before you can continue. See list below for required fields. To erase a number, enter 0 in its place.

EXPLANATION OF FIELDS

Last Name (required)– last name.

First Name MI) (Middle Initial) **(required)** – first name and middle initial.

Pos No (Position Number) **(required)** – 15 digit position number.

Class (required) – choose a class from the drop down list. If a Class you need isn't listed, you will have to ESC out of any changes you are making to the current record, go to the Pay Class form on the Report menu, enter the new Class information, return to the Employee form and then enter the information for the employee. It may be easier to assign a Class from the list and complete the other information for the employee, then go and add the new Class and then return and correct the class for the employee just entered.

Gender (required) – choose the gender from the drop down list.

Race (required) – choose the employee's race from the drop down list.

Fund (required) – choose the type funding for the position from the drop down list.

% Appr (Percent Appropriation) **(required) –** enter the amount of appropriation dollars the position uses. This is automatically set based on the item chosen in the Fund drop down list. If you choose "Split" for the fund type, you will need to enter the % of appropriations. To enter a figure such as 60% either enter 60% (60 with the percent sign) or .6.

Cur Salary (Current Salary) **(required) –** enter the current salary.

Market [Salary] **–** this is a calculated field based on Class and Competency Assessment.

MI (Market Index) **–** this is a calculated field base on Current Salary and Market Salary.

% Inc (Percent Increase) **(required) –** enter a percent if you are proposing an increase for this employee. To erase a number, enter 0. To enter a figure such as 1.5% either enter 1.5% (1.5 with the percent sign) or .015.

Comp Assmnt (Competency Assessment) **–** choose an item from the drop down list. All employees must be rated or they will not be listed on reports that use Market Index.

 # C (required) – the number of Contributing level competencies. To erase a number, enter 0.

#J (required) – the number of Journey level competencies. To erase a number, enter 0.

#A (required) – the number of Advanced level competencies. To erase a number, enter 0.

Perf Eval (Performance Evaluation) – choose a rating from the drop down list. Note: "*NR*" means "Not Rated"

Adj Sal (Adjusted Salary) **–** a calculated field base on Cur Salary and % Inc.

Adj MI (Adjusted Market Index) **–** a calculated field based on Adj Sal and Market.

Amt Inc (Amount of Increase) – a calculated field based on Adj Sal – Cur Salary.

Last $ Inc (Last amount of Increase) **–** last increase the employee received (optional).

Date of Last Inc (Date of Last Increase) **–** date of the last increase (optional).

% Last Inc (Percent of Last Increase) **–** last %. increase the employee received. To erase a number, enter a 0. To enter a figure such as 1.25% either enter 1.25% (1.25 with the percent sign) or .0125.

PMIS Supervisor – the employee's supervisor's name. In some state agencies this is known as the PMIS Supervisor.

Comments – this is a place for you to enter up to 255 characters of information about the employee.

HOW TO ENTER A NEW EMPLOYEE:
To enter a new employee in the Multi form or the Single form, click the **Add New Employee Button**. If using the Single form, be sure to place cursor in the Last Name field <u>before</u> typing. Ordinarily the cursor defaults to the Find Name Field. If you start to enter information on a new employee and then change your mind, you will have to press the ESC key several times to blank out the record before Access will let you move off of the record.

HOW TO DELETE AN EMPLOYEE:
On the Multi form, click on the employee you wish to delete. Then click the **Delete Selected Employee Button**. On the Single form, use the **Delete This Employee Button** to delete the employee currently displayed on the form. You must next delete the position. (See below.)

HOW TO DELETE A POSITION:
If a position is vacant, you must delete the record for that position. You cannot just delete the employee name. Once the position is refilled, you can add a new record and enter the information for the employee and the position.

RESET EVALUATION and INCREASE % BUTTON:
Use this button on the Multi form to reset all ratings and increase values for your employees. When you click this button, you get two warnings. If you continue, the following happens:
- Inc % is set to 0
- Competency Assessment is set to blank
- #C, #J, #A are all set to 0
- Performance Evaluation is set to *NR* (Not Rated)

RESET INCREASE % ONLY BUTTON:
Use this button on the Multi form to reset only the increase values for your employees. When you click this button, you get two warnings. If you continue, the following happens:
- Inc % is set to 0
- All other fields remain the same

PRINT ME BUTTON:
Print previews the information for one employee. To print, click the Print icon in the Print Preview report. On the "multi" form, it prints the employee currently selected. On the "single" form, it prints the employee currently displayed.

REPORTS and FORMS:
Most reports use the Competency Assessment of the employee. Be sure every employee is rated before running reports. All reports open in the print preview mode. To print a report, click the Print icon. To close a report, click the **Close Button**. Click the **Reports Button** on either the Multi or Single form to access this menu.

PROPOSED SALARY INCREASES:
Part of the purpose of this program is to help you manage the amount of money you have available for increases. You start by opening the Salary Increase form and entering the dollar amounts available. When you return to the Multi form, the amounts available will be listed at the bottom of the form. As you grant increases and move off the record to another record, the amounts at the bottom of the form will reflect the balances remaining. You may also go to the Reports Menu and print the Salary Increase report that will give starting values, amount committed, and balances.

REPORTS, FORMS, and QUERIES: are all accessed from the Reports Menu
REPORTS
- **Employee List - Single** – lists all information on employees, printed one employee per sheet, sorted alphabetical by employee name.
- **Employee List** – lists all information on employees, sorted alphabetical by employee name and pay band.
- **Budget Manager –** lists amount of Appropriated, Receipts, and Grant money, lists what is committed and what is uncommitted.
- **Demographic report –** lists averages (salary and Market Index) by demographics. Note: Report will be blank until all employees have been given a Competency Assessment.

- **List Pay Class –** lists Pay Classes and Salary amounts for Contributing, Journey, and Advanced as entered by the user of the program.
- **80% Rule by Class, Competency –** gives the 80% Rule report by Job Class, and Competency Rating.
- **Proposed Salary List –** lists selected information on employees with salary information on pay bands. There are many reports listed on the menu sorted by various fields.

HOW TO PRINT A REPORT:

- Open the report
- Click on the Print Icon on the Microsoft Toolbar

HOW TO SAVE A REPORT:

- Open the report
- Click on **Tools** located on the Microsoft Toolbar
- Place your cursor on **Office Links**
- Select **Publish it with MS Word –** the report will convert to MS Word
- Click on **File** located on the Microsoft Toolbar
- Click on **Save As…** File report on your H drive. It can now be a part of a history file and/or sent as an email attachment

FORMS

- **Pay Band –** open this form to add/edit pay bands and dollar values.
- **Salary Increase** – open this form to enter the dollar amount available for increases.
- **Title/Last Update** form **–** open this form to enter the titles for all reports, the date of last update, and the name of the person who is compiling the employee data. Every time you make a change to the data in the program, you should change the Last Update field to today's date. This date prints on all reports.

QUERY

- **Export to Excel –** open this query to export the employee information to Excel for further analysis. There may be times when you need a special report that is not listed on the menu. This item runs a query that allows you to move a copy of the information in the database to Excel. In Excel, you can then delete columns not needed and sort the remaining data as needed. To move the data to Excel, first run the query. After the query opens, on the menu at the top of the screen, choose Tools, Office Links, Analyze It with MS Excel. This transfers the data to an Excel spreadsheet for further analysis. Save as an Excel file.
- **IMPORTANT** – when you export the data to Excel, the calculations **DO NOT** work. For example, if in Excel you change the Percent Increase for an employee, nothing else changes—the Proposed Salary, Market Index, Proposed Market Index remain the same.

HOW TO ARCHIVE DATA:

The Employee List includes all data entered into the database at any given time. This report can be saved as an MS Word document and saved, but cannot be further sorted or manipulated. Any of the reports can be saved to MS Word for historical purposes.

Managers might also want to save a copy of the database from year to year. After initially implementing, save the database on your H drive. When you next have the opportunity to assess, evaluate and award, copy this database to **save it with a current date**. For example, your IT unit was implemented October 2005. The database could be filed as “IT Salary Assessor October 2005”. In January a new employee is recruited. Save your October 2005 database as “IT Salary Assessor January 2006” by copying it. Open the new database and add the new employee to help figure their starting salary. When next you do performance evaluations, copy the most current database, **using a current date** (“IT Salary Assessor June 2006”) and update to delete last year’s data using the red **Reset Evaluation and Increase % Button**.

CAREER-BANDING

SALARY DECISION WORKSHEET

Please complete this worksheet justifying new hire salary or any salary change for current employee.

Applicant /Employee Name: ______________________________________

Position Number: _____ -____ -____ -_____

Banded Class ______________________________

Competency Level: ___________________________

Advertised Salary Range (if applicable): ____

I. PAY PROVISION: *(Check applicable pay provision)*

	New Hire		**Career Progression-Comp/Skill**
	Grade-Band Transfer		**Career Progression-Comp Level Change**
	Horizontal Transfer		**Career Progression-Labor Market**
	Promotion		**Salary Adjustment Retention**
	Reassignment		**Reallocation**
	Other: (Identify type)		

II. JUSTIFICATION: (*Explain the reason for the salary adjustment) (Attach related information from Salary Assessor if applicable)*

III. RECOMMENDATION: *(Current salary should reflect the individual's salary if a State employee or last salary if employed outside State government.)*

Current Salary	Recommended Salary	Market Reference Rate	Market Index	% Change
$	$			%

Hiring Authority's Signature: ______________________________ Date: ________________

Authorizing Signature: ______________________________ Date: ________________

OPERATIONAL GUIDELINES FOR
EMPLOYEE ADVISORY COMMITTEE ON CAREER-BANDING

MISSION STATEMENT

- Develop a statement regarding the mission of the committee.

  SUGGESTED STATEMENT: Review and recommend adjustments to the Career-banding program to ensure it operates in a fair and open manner and that all employees are given opportunities for career development and compensation levels.

ROLE AND RESPONSIBILITY

- Review Career-banding activities and data to ensure consistency, fairness and equity.
- Advise management on needed changes and improvements
- Serve as a forum for employees to raise questions concerning career banding policy, its implications and purposes as well as to recommend improvements in the policy.
- Compile a report of findings and recommendations and submit to the Agency Head/University Chancellor, HR Director and Office of State Personnel.

MEMBERSHIP COMPOSITION

- The ideal number is probably 7 to 13 employees (always on odd number) depending on agency/university size. Agencies/universities with up to 500 employees might have a committee with 7 members; agencies/universities with 500 to 1000 employees might choose a committee of 7 or 9 members; and agencies/universities with 1000 or more employees could have a committee of 11 to 13 members.
- Agencies with large regional offices should consider the implementation of regional advisory committees that report to a main advisory committee.
- Include at least one member each from the Officials and Administrators, Management Related, Professional, Technical, Protective Service, Administrative Support, Service and Skilled Craft occupational areas, if all are represented in the agency/university.
- In large agencies/universities, it may be advisable to have more than one member from some of the occupations. For example, if 30% of your agency's/university's workforce is in the Technical occupational category you may have 3 out of 10 members come from that category.
- The Career-banding Advisory Committee should be diverse demographically (race, sex, age and persons with disabilities) in proportion to their representation in the agency's/university's workforce.

SELECTION AND APPOINTMENT OF COMMITTEE MEMBERS

- The Agency Head/University Chancellor in conjunction with division/program managers should, in conjunction with the Human Resources Office, select and appoint all members of the Career-banding Advisory Committee.

- On the basis of division/program managers' recommendations and the desired membership composition, the Agency Head/University Chancellor should appoint the committee members.

- As vacancies occur, efforts should be made to select and appoint representatives in keeping with the designated membership composition.

- A chairperson and vice-chairperson should be elected by the committee members. A recorder should also be elected.

- A representative from the Human Resources Offices should be appointed to the committee to serve as a resource for technical questions related to the program. The HR representative is a non-voting member of the committee.

LENGTH OF APPOINTMENT

- All members should serve a term of two years. Every effort should be made to either appoint new members or reappoint current members in a staggered manner in order not to disrupt cohesiveness and/or work of the committee when such changes are warranted.

- Upon development of the Advisory Committee, the terms of the initial members will have to be staggered between one and two year terms.

VOTING

- For all issues to be decided upon by the committee, a simple majority rule should apply. The chairperson should not serve as a voting member except in the case of a tie wherein he/she may cast one vote.

- No proxy votes should be allowed.

MEETINGS

Frequency

- The initial meetings of the Career-banding Advisory Committee should be at least every two months, or more frequently depending on the work that needs to be accomplished.

- Once established, the Career-banding Advisory Committee should meet at least every six months, or more frequently depending on the work that needs to be accomplished.

Communications

- All employees should be notified about the mission roles, responsibilities, and composition of the Employee Advisory Committee on Career-banding.
- Meetings dates should be publicized at least 10 working days before the meeting to all employees via email and bulletin boards.
- Summary of report made available to employees via website.

Agenda

- An agenda should be developed for each meeting. Items to be considered may be suggested by committee members.
- At a minimum, the agenda must include the review of all Career-banded actions that occurred during the last quarter, or other designated timeframe.

Minutes

- Minutes should be kept of all meetings and corrected and approved at each subsequent meeting. The minutes should be emailed to each member prior to the next meeting. A copy of all minutes should be submitted to the HR Director.
- The HR Director should make sure that all recommendations of the committee are brought to the attention of management (Agency Head/University Chancellor, division/program managers for review and acknowledgment.

TRAINING

- Appropriate training for committee members should be provided by/or arranged by the HR Director.
- All training for the committee members should be established through a training plan that is completed prior to the implementation of the Career-banding Program.
- Members of the committee should be provided the opportunity to request additional training or clarification whenever necessary.
- Training for members of the committee should include a review of the distinct functions of the Advisory Committee versus the Dispute Resolution Committee.

REPORTING

- The results of the Career-banding monitoring, including analysis, will be submitted annually to the Agency/University Director, HR Director, and the Office of State Personnel.
- When submitted to the Office of State Personnel, the results of the Career-banding monitoring, including analysis, will be attached to the EEO Plan, due March 1 of each year.