

NEW YORK STATE
OFFICE OF THE STATE COMPTROLLER

DIVISION OF AUDITS AND ACCOUNTS

BULLETIN NO. P-231

June 26, 1980

To : All State Departments and Agencies

Subject: Payment of Annual Performance Advances to Employees
in the Administrative, Operational and Institutional
Services Negotiating Units

The State and The Civil Service Employees Association have reached agreement to pay annual performance advances to eligible employees in the administrative (02), operational (03) and institutional (04) units while the moratorium is in effect on the performance evaluation process. The agreement provides for payment of advances to employees who complete one year of service in grade prior to September 30, 1980 (or until the revised performance evaluation system is implemented, if earlier) and whose performance is at least satisfactory as determined by their supervisor. Instructions for the review of employees performance have been issued by the Task Force on Performance Evaluation. This bulletin contains instructions for the payment of the advances.

The annual performance advances will be paid to all non-seasonal employees in the units paid on an annual-salaried basis in graded positions and in N.S. (grade 600) positions which are equated to grades. Part-time employees in these positions are covered by the agreement. The amount of the performance advance is the amount shown on the Salary Schedule for the CSEA units for the grade of the employee's position, or the difference between the employee's salary and the job rate, if less, since an employee may not exceed the job rate by application of a performance advance. A copy of the CSEA Salary Schedule is attached. A separate plan for performance advances for employees in Trainee positions has been issued by the Department of Civil Service.

Annual performance advances will be paid to all employees described below whose performance is considered at least satisfactory. An employee who receives a "Needs Substantial Improvement" rating will not receive the performance advance unless the employee was "increment eligible" in 1978-79 and did not receive a performance advance on July 1, 1979 as a result of an NSI rating. Since an annual performance advance can only be withheld once, the employee must receive an advance on April 1, 1980.

1. Employees who were "increment-eligible" in 1978-79 and received a performance advance payable from July 1, 1979 who are still in the same grade or who have been demoted to a lower grade since April 1, 1979 will be eligible for a performance advance on April 1, 1980 if they are below the job rate and have one year of service in 1979-80.
2. Employees who were incumbents on March 31, 1979, but who were not increment-eligible, and are still in the same grade or who have been demoted to a lower grade since April 1, 1979 and who did not receive a performance advance on October 1, 1979 will be eligible for a performance advance on April 1, 1980 if they are below the job rate and have one year of service in 1979-80.
3. Employees who were appointed or promoted to their current grade after April 1, 1979 who did not receive a performance advance at the end of six months will become eligible for a performance advance at the time they complete one year of service in that grade.
4. Employees in Trainee positions requiring a two-year or three-year traineeship who did not receive a performance advance at the end of six months will become eligible for a performance advance at the time they complete one year of service in the traineeship. The amount of the performance advance is contained in the January 7, 1980 memorandum from W. Barry Lorch to Directors of Personnel.

In determining when an employee will become eligible for an annual performance advance, the following rules apply.

- a. Service in positions allocated to the same grade or in N.S. (grade 600) positions equated to the same grade counts as service in a grade.

For example,

An employee appointed on May 1, 1979 to an N.S. position equated to a grade 3 who is appointed to a position allocated to grade 3 on December 15, 1979 would become eligible for a performance advance in the grade 3 position on May 1, 1980.

- b. Service in a higher grade or in an N.S. position equated to a higher grade or in a Trainee position from which the employees will upon completion of the Traineeship advance to a position in the same grade or a higher grade counts as service in a grade.

For example,

An employee appointed on May 15, 1979 to a grade 5 position who is appointed on September 10, 1979 to a Trainee position which would result in advancement to a grade 9 position and then returns to the grade 5 position on April 30, 1980 would become eligible for a performance advance in the grade 5 position on May 15, 1980.

- c. Service in graded positions or N.S. positions equated to grades in the three CSEA units, the security and security supervisors units, the professional, scientific and technical unit, and in management/confidential positions counts as service upon movement into a CSEA position.

For example,

An employee who entered a management/confidential grade 5 position on May 1, 1979 and moved to a grade 5 position in the administrative services unit on August 4, 1979 will become eligible for a performance advance in the grade 5 position on May 1, 1980.

- d. For each complete payroll period during which an employee is on leave without pay (including Lost Time) or leave with less than full pay, the date at which an employee becomes eligible for a performance advance is extended by one payroll period. Payroll periods during which an employee performs some services do not affect the eligibility date for performance advances.

For example,

An employee was an incumbent on April 1, 1979. The employee was on leave without pay beginning on the first day of payroll period 9 and returned to work on the fifth day of payroll period 11. The employee will become eligible for a performance advance in payroll period 3, reflecting the 2 complete payroll periods during which the employee was on leave. Period 11 counts as service because the employee was in service for part of the period.

An employee was an incumbent on April 1, 1979. The employee was pay deducted for 5 days lost time during payroll period 2, 8 days during payroll period 4, 3 days in period 7 and 4 days in period 9. The employee will become eligible for a performance advance in payroll period 1, since all the payroll periods count as service because the employee was in service for part of each period and the payment is delayed only for complete payroll periods during which the employee is not in service.

- e. Part-time employees are eligible to receive a performance advance under the same rules as full-time employees.

For example,

An employee who was hired on May 15, 1979 to work at 40% time in an annual position will become eligible to receive a performance advance on May 15, 1980 as long as the employee has performed some service in each payroll period.

Payment of the Performance Advances

The performance advance payments will be paid in Payroll Period 8 (July 3 to 16, 1980 for Administration; July 10 to 23, 1980 for Institutions). Performance advance payments effective April 1, 1980 are payable from the first day of Payroll Period 1 (March 27 to April 9, 1980 for Administration and April 3 to 16, 1980 for Institutions). Performance advance payments effective after that date are payable from the first day of the payroll period following the date the employee completes the required period of service.

The Department of Audit and Control has reviewed the records of employees in the CSEA units and determined eligibility for the performance advances and entered a code in the employee's record. The updated codes appear in the increment code block on the Salary Register with the FIS salary, if needed.

An explanation of the codes follows.

<u>Code</u>	<u>Explanation</u>
01	Employees below the job rate who were increment eligible in 1978-79 who are eligible for a performance advance not to exceed the job rate, effective April 1, 1980 if rated satisfactory and if they have a complete year of service in 1979-80 in their current grade or in their current grade and a higher grade combined.
02	Employees below the job rate who were not increment eligible in 1978-79 who did not receive a performance advance on October 1, 1979 who are eligible for a performance advance, not to exceed the job rate, effective April 1, 1980 if rated satisfactory and if they have a complete year of service in 1979-80 in their current grade or in their current grade and a higher grade combined.
03	Employees ineligible for a performance advance on April 1, 1980 because they <ul style="list-style-type: none"> (a) are above the job rate for their grade. (b) were appointed on or after April 1, 1979. (c) received a performance advance on October 1, 1979.
04	Employees who were eligible for a performance advance who have had a change in status since March 31 and are entitled to a salary recomputation.

Note: The FIS salary for employees with code 04 will also appear on the Salary Register.

Using these codes the Department of Audit and Control will compute the new salaries automatically when possible and will produce an Exception Listing to identify employees receiving increases and employees for whom agency action is necessary.

Class of Employees

1. Employees with code 01 or 02 who have 251 or more days of service in 1979-80 and who have not had a change in annual salary or a change in part-time percentage since Period 25 for Institutions and Period 26 for Administration.

Audit and Control will apply the performance advances and calculate the retroactive adjustment due. These employees will be printed on the exception listing with no message.

2. Employees with code 01 or 02 who have 251 or more days of service in 1979-80 and who have had a change in annual salary submitted by PR-75 or who have had a change in part-time percentage since Period 25 (or Period 26).

Audit and Control will apply the performance advance. The retroactive adjustment must be submitted by PR-75. These employees will be printed on the Exception Listing with the message RETRO NOT COMPUTED.

3. Employees with code 04.

Audit and Control will apply the performance advance. The retroactive adjustment must be submitted by PR-75. These employees will be printed on the Exception Listing with the message RETRO NOT COMPUTED.

4. Employees with code 01, 02 or 04 who are now inactive, but are due an adjustment for a performance advance.

The agency must submit a PR-75 to pay the adjustment due. These employees will be printed on the Exception Listing with the message EMPLOYEE INACTIVE.

5. Employees with code 03 and employees with code 01 or 02 who have less than 251 days of service in 1979-80.

Audit and Control will not apply the performance advance. Each agency must determine the date at which these employees will become eligible for a performance advance and submit PR-75's, if required.

Note: The Department of Audit and Control has provided each agency with a listing of their graded employees who are below the job rate for their grade. This listing included the PAR code and the total days worked in 1979-80 and should be reviewed to determine the dates on which employees who will not be increased automatically are eligible for a performance advance.

Tentative Salary Register

After payrolls are processed for Period 7, Audit and Control will convert the computer records to reflect the increases. A tentative salary register will be prepared showing computed biweekly gross payments and variable deductions based on the new salaries. The retroactive adjustment for 7 payroll periods will be included in the normal gross salary for all employees for whom it can be automatically calculated. Employees identified as "LAG" on the salary register will receive an adjustment of 6 payroll periods.

A copy of the tentative salary register, and the Exception Listing will be forwarded to reach you shortly after your regular salary register for the period. The tentative register will be used as the "previous payroll" for all information supplied on all forms submitted for the next period. Audit and Control will prepare salary payments as they are indicated on the tentative register unless a PR-75 form reporting a change is submitted by the agency. Therefore, the listings should be carefully examined and any corrections made by submission of a PR-75.

(Note: For administrative agencies, the tentative payroll will also include the salary increase for management/confidential employees.)

Preparation of PR-75 Forms for Period of Payment

PR-75's must be submitted for the following situations. In preparing your forms, remember that the retroactive adjustment must be computed for all employees for the full period. For employees with salary changes during this period, adjustment must be made for each salary earned. Fully explain your calculation of the adjustment in the Remarks block of the PR-75.

1. Employees who are rated "Needs Substantial Improvement".

PR-75's must be submitted to report employees who receive ratings of Needs Substantial Improvement. If an employee's salary has been increased automatically, it must be reduced. In addition, each agency must submit a letter to the Department of Audit and Control listing all employees in the agency who receive these ratings.

2. Employees for whom the retroactive adjustment has not been automatically calculated.

PR-75's must be submitted to pay the retroactive adjustment to all employees for whom it has not been automatically calculated by Audit and Control.

3. Employees with PAR code 01 or 02 who had less than 251 days of service in 1979-80 who were not increased automatically.

Each agency must determine the date at which these employees become eligible for performance advances and PR-75's must be submitted to report the performance advances for employees who became eligible prior to Period 8 or in Period 8.

4. Employees appointed or promoted to their current grade on or after April 1, 1979 (PAR code 03) who are entitled to a normal annual performance advance.

Each agency must determine the date at which these employees become eligible for performance advances and PR-75's must be submitted to report the performance advances for employees who became eligible prior to Period 8 or in Period 8.

5. Employees in N.S. (grade 600) positions equated to salary grades.

PR-75's must be submitted to pay all performance advances to employees in these positions. These employees may be in any of the categories listed above.

The following transaction codes should be used to report changes to the tentative payroll registers.

1. a. To report a performance advance for an employee who is not increased automatically.
- b. To report an increased salary and retroactive adjustment for an inactive employee.

Transaction Code: PERF ADV

Group 3
Class B

Complete blocks 01 through 06 and the following:

#07 Transaction Code	- enter PERF ADV
12 Transaction Effective Date	- enter beginning date of Period 1 or the effective date of the performance advance, if later.
22 Salary Rate	
23 Gross (Add)	
24 Normal (Deduct)	- as shown on tentative payroll.

Remarks Block - Enter the employee's rating.

Use ADJ SAL PA as an additional code to report the retroactive adjustment.

2. To report a "Needs Substantial Improvement" rating.

Transaction Code: UNSAT PERF

Group 3
Class B

Complete blocks 01 through 06 and the following:

- #07 Transaction Code - enter UNSAT PERF.
- 12 Transaction Effective Date - enter the beginning date of Period 1 or the date at which the employee would have become eligible for a performance advance, if later.
- 22 Salary Rate
- 23 Gross (Add) - if applicable.
- 24 Normal (Deduct) - if applicable.

3. To report a retroactive adjustment only.

Transaction Code: ADJ SAL PA

4. Retroactive adjustments for overtime, holiday pay, lost time (including adjustments for refunds on AC-230's) should be processed in Period 9.

In preparing your payroll for the period

- a. Prepare all PR-75 forms usually submitted for a normal period to report all changes to take effect during that period.

In reporting miscellaneous Group 3 gross salary changes such as overtime or lost time for an employee shown on the tentative salary register with a retroactive adjustment of the new salary, use the "Normal Gross" on the tentative as the base salary for the period and add or subtract other salary changes to this figure to get your new gross (add). It is not necessary to restate the retroactive adjustment on the PR-75 with an additional transaction code.

In reporting a change in annual salary (promotion, demotion, etc.), the retroactive adjustment must be entered on the PR-75 with transaction code ADJ SAL PA.

- b. The normal (deduct) on all PR-75 forms should be the amount shown on the tentative register.
- c. The normal amount of previous payroll on the PR-75 should be the amount shown on the tentative register.

Special Instructions for Employees who have retired prior to Period 8

Employees who have retired and are to receive an adjustment payment should not have retirement normal contributions deducted. For employees who have had contributions deducted, submit an AC-1040 to cancel the waiver code or the 21i additional annuity rate.

Future Performance Advance Payments

Annual performance advances which become payable after Period 8 will be reported by PR-75 using transaction code PERF ADV. Annual performance advances may be paid to employees who qualify for them prior to September 30, 1980 or until the revised performance evaluation system is implemented, if earlier.

Should you require assistance in preparation of PR-75's contact the Payroll Planning Unit at 474-1246 or 474-1247.

Should you require assistance in determining correct salary entitlement contact the Salary Determination Unit on 474-1248 or 474-3564.

DEPARTMENT OF AUDIT AND CONTROL
 BUREAU OF PAYROLL AUDIT--SALARY DETERMINATION SECTION
 SALARY GRADE SCHEDULE FOR ADMINISTRATIVE SERVICES NEGOTIATING UNIT 02,
 OPERATIONAL SERVICES NEGOTIATING UNIT 03 AND INSTITUTIONAL SERVICES NEGOTIATING UNIT 04
 EFFECTIVE APRIL 1, 1979

<u>Salary Grade</u>	<u>Hiring Rate</u>	<u>Performance Advancement Rate 1</u>	<u>Performance Advancement Rate 2</u>	<u>Job Rate</u>	<u>Performance Advancement Amount</u>
1	6580	6990	7400	7810	410
2	6845	7275	7705	8135	430
3	7195	7645	8095	8545	450
4	7530	8005	8480	8955	475
5	7900	8400	8900	9400	500
6	8345	8865	9385	9905	520
7	8825	9370	9915	10460	545
8	9330	9895	10460	11025	565
9	9865	10455	11045	11635	590
10	10440	11060	11680	12300	620
11	11060	11710	12360	13010	650
12	11695	12370	13045	13720	675
13	12395	13100	13805	14510	705
14	13125	13860	14595	15330	735
15	13885	14650	15415	16180	765
16	14680	15480	16280	17080	800
17	15520	16365	17210	18055	845
18	16420	17305	18190	19075	885
19	17320	18245	19170	20095	925
20	18225	19190	20155	21120	965
21	19210	20220	21230	22240	1010
22	20255	21310	22365	23420	1055
23	21345	22445	23545	24645	1100
24	22500	23640	24780	25920	1140
25	23755	24945	26135	27325	1190
26	25020	26260	27500	28740	1240
27	26390	27670	28950	30230	1280
28	27795	29125	30445	31785	1330
29	29270	30650	32030	33410	1380
30	30815	32245	33675	35105	1430
31	32475	33955	35435	36915	1480
32	34220	35745	37270	38795	1525
33	36095	37665	39235	40805	1570
34	38035	39655	41275	42895	1620
35	40020	41685	43350	45015	1665
36	42050	43765	45480	47195	1715
37	44270	46030	47790	49550	1760
38	41284+				

