

ACCOUNTING AND
CONTROL MANUAL

BULLETIN

NEW YORK STATE
OFFICE OF THE STATE COMPTROLLER

DIVISION OF AUDITS AND ACCOUNTS

BULLETIN NO. P-328

September 20, 1982

To : All State Departments and Agencies

Subject: Payment of Performance Advances to Employees in
the Professional, Scientific and Technical Services
Negotiating Unit commencing April 1, 1982

The Director of the Budget has extended, and modified as explained below the existing Rules and Regulations which allow payment of performance advances due after April 1, 1982 to employees who occupy positions assigned to the Professional, Scientific and Technical Services Unit (NU 05). Instructions for the performance evaluation process are the same as previously issued by the Task Force on Performance Evaluation.

Budget Bulletin G-1020 issued July 30, 1982 contains the instructions for reporting to the Division of the Budget to obtain their approval, which is required each quarter prior to the payment of any performance advances for that quarter. PR-75's for the payment of the performance advances for agencies which have obtained approval from the Division of the Budget may be submitted to OSC at any time.

This Bulletin contains instructions for advances for the 1982-83 fiscal year.

Eligibility for Performance Advances

The performance advancement system applies to all non-seasonal annual-salaried employees in the unit in graded positions (except grade 38) and in NS (grade 600) positions which are equated to grades who are below the job rate for their grade. Part-time employees in these positions are covered by the program. Since an employee may not exceed the job rate of the grade by application of a performance advance, the actual amount of the performance advance is the amount described below, or the difference between the employee's salary and the job rate, if less.

In extending the former rules, the amount and/or effective date of the 1982-83 performance advances depends upon the prior service of the employees. Employees who qualified for performance advances on the fixed dates in 1981-82, based upon having completed 120 full days of service in 1980-81 and who on April 1, 1982 remain in the same or lower grade and have at least 120 full days of service in 1981-82 will remain on the fixed date schedule. Employees in grades 23 and below who were previously on the fixed date schedule, but who do not have 120 full days of service in 1981-82, will receive performance advances as described in paragraph B below. Employees in grade 24 and above who were previously on the fixed date schedule, but who do not have 120 full days of service in 1981-82 will become eligible for an evaluation when they complete six months of service subsequent to their last evaluation and will receive performance advances as described in paragraph C below, which covers all employees on the variable rating date schedule.

Performance advances will be paid as follows:

A. Employees with 120 full work days of service in grade during 1980-81 and 1981-82 who remain in positions in the same grade or in a lower grade.

1. Employees in grades 23 and below

APRIL 1, 1982 EVALUATIONS

Employees who on April 1, 1982 were in positions allocated to grade 23 and below who had 120 full work days of service in their grade (or in that grade and a higher grade combined) in 1980-81 and 1981-82, if rated Outstanding or Effective for the evaluation period ending March 31, 1982 will receive a performance advance equal to 1/3 of the salary range for their grade, as shown on Chart A which is attached. Employees rated "Below Minimum" will not receive a performance advance. The performance advance is payable from the first day of Payroll Period 7 (June 24 to July 7, 1982) for Institutions and Payroll Period 8 (July 1 to 14, 1982) for Administrative Agencies.

NOTE: The approval letters which have been issued for the first quarter by the Division of the Budget state that advances are being approved for the period April 1 to June 30, 1982. However, this approval also covers the payments effective July 1 for this group of employees and you may submit PR-75's for these payments based upon this approval for the first quarter.

OCTOBER 1, 1982 EVALUATIONS

Employees who on October 1, 1982 are in positions allocated to grade 23 and below who met the above service requirements in 1980-81 and 1981-82, if rated "Outstanding" for the evaluation period ending March 31, 1982, and also rated "Outstanding" for the evaluation period ending September 30, 1982 will receive a performance advance equal to 1/3 of the salary range for their grade, as shown on Chart A which is attached. Employees rated "Below Minimum" for the evaluation period ending March 31, 1982 and rated "Effective" or "Outstanding" for the evaluation period ending September 30, 1982 will also receive a performance advance. The performance advance is effective January 1, 1983 and is payable from the first day of Payroll Period 21 (December 30 to January 12, 1983 for Administration agencies and January 6 to 19, 1983 for Institutions).

NOTE: Employees covered by this paragraph who were in positions allocated to grade 24 and above for the first evaluation period and received a performance advance under the variable rate plan who are subsequently demoted to a position allocated to grade 23 or below are entitled to receive a salary in the lower grade which includes a full performance advance of 1/3 of the salary range, effective at the time of appointment to the lower grade, which is the amount they would have received if they had been in the lower grade when the performance advance was due. They will be eligible for a second performance advance under the rules stated above.

2. Employees in grades 24 and above

APRIL 1 and OCTOBER 1, 1982 EVALUATIONS

Employees in positions allocated to grades 24 and above who had 120 full work days of service in their grade (or in that grade and in a higher grade combined) in 1980-81 and 1981-82, will receive performance advances based on their ratings as described below.

<u>Rating</u>	<u>Performance Advance</u>
Effective	Not less than 12.5% nor more than 20% of the salary range for the grade.*
Outstanding	Not less than 25% nor more than 40% of the salary range for the grade.*
Below Minimum	No Performance Advance.

*Chart B converting the percentages to minimum and maximum dollar amounts for each grade is attached.

The performance advance effective April 1, 1982 is payable from the first day of Payroll Period 1 (March 25 to April 7, 1982 for Administrative agencies and April 1 to 14, 1982 for Institutions) and the performance advance effective October 1, 1982 is payable from the first day of Payroll Period 15 (October 7, to 20, 1982) for Administrative agencies and Payroll Period 14 (September 30-October 13, 1982) for Institutions.

Employees who have transferred or been demoted from a position in another bargaining unit into a position in the PS&T unit at the same grade or a lower grade must have 120 full work days of service since the last performance advance was received in the previous position. If they have less than 120 full work days of service since receiving their last performance advance, they are covered under the six month evaluation plan as described in paragraph B below.

Employees must be on the payroll at the time the evaluation is due in order to be rated. However, employees who had 120 full work days of service in their grade in 1980-81 and 1981-82, and who are not on the payroll on April 1, 1982 but who return to service are eligible to be rated and to receive a performance advance on the effective date(s) or on the date of their return, whichever is appropriate.

Although performance advances for employees in grades 23 and below are not payable until July 1, employees who would have been eligible for a performance advance, but who have been appointed, promoted or demoted to another grade after March 31 are entitled to a salary reconstruction as described below.

1. Employees appointed or promoted to a higher grade position between April 1 and June 30.

These employees are entitled to receive a reconstructed promotion salary including the performance advance in the lower grade effective July 1.

2. Employees appointed or demoted to a lower grade position between April 1 and June 30.

These employees will be eligible for a performance advance in the lower grade, effective July 1.

- B. Employees in grades 23 and below with 120 full work days of service in grade in 1980-81, but who do not have 120 full work days of service in grade in 1981-82 and who remain in positions in the same grade or in a lower grade.

Employees in grades 23 and below who were previously on the fixed date schedule who do not have 120 full work days of service in 1981-82 and who remain in the same grade or a lower grade become eligible for an evaluation when they complete six months of service including any service in 1981-82 and if rated "Outstanding" or "Effective" will receive a performance advance equal to 1/3 of the salary range for their grade, as shown on Chart A. Employees rated "Below Minimum" will not receive a performance advance. The performance advance is effective from the first day of the payroll period which begins three months after the evaluation date.

These employees will be rated again after completion of a second six months of service and, if rated "Outstanding" for both periods (or for employees who were rated "Below Minimum" for the first period, if rated "Effective or Outstanding") will receive a second performance advance equal to 1/3 of the salary range to be effective from the first day of the payroll period which begins three months after the evaluation date.

- C. Employees in any grade with less than 120 full work days of service in grade during 1980-81, employees in grades 24 and above who were previously on the fixed rating date schedule but who have less than 120 days of service in 1981-82, and all others who since April 1, 1981 have been newly appointed or promoted to a higher grade.

These employees are evaluated at the time they complete each six months of service in regular pay status and will receive performance advances based on their ratings, as described above for "Employees in grade 24 and above".

The performance advance is effective from the first day of the payroll period commencing four weeks after the payroll period in which the employee completed the required period of service.

Special Plan for Institution Teachers

All ten-month teachers and other employees in positions covered by Section 136 of the Civil Service Law are now covered for 1982-83 under a special evaluation plan. These employees have fixed evaluation periods of September 1 to January 31 and February 1 to June 30 and all employees will be evaluated at the end of each evaluation period. Employees with 100 work days of service in regular pay status will receive a performance advance based on the percentages applicable to their rating as specified above. Performance advances based on the ratings for the evaluation period ending June 30 will be payable from September 1. Performance advances for the evaluation period ending January 31 will be payable from the first day of the payroll period which begins on or after February 1.

Adjustment of Salaries of Employees who have been
Appointed or Promoted to a Higher Grade Position

As with other performance advance systems, employees who are appointed or promoted to a higher grade before receiving their next performance advance in the lower grade, and who have not received a performance advance in the higher grade, are entitled to a reconstructed promotion salary reflecting the performance advance they would have received in the lower grade. The new salary is effective on the date that the employee would have received the performance advance in the lower grade. In implementing this provision the following rules apply.

1. An employee who prior to April 1, 1982 was promoted from a position allocated to grade 24 or higher, who was previously covered by the fixed date schedule and who would have had 120 full work days of service in the lower grade if he or she was still in that grade on April 1, 1982 is entitled to a reconstructed promotion salary effective on April 1. In determining the amount of the performance advance, the employee is presumed to have had a performance rating of "Effective" and will receive 1/6 of the salary range for the lower grade.
2. An employee who prior to April 1, 1982 was promoted from a position allocated to grade 23 or below, who was previously covered by the fixed date schedule and who would have had 120 full work days of service in the lower grade if he or she was still in that grade on April 1, 1982 is entitled to a reconstructed promotion salary effective on July 1. In determining the amount of the performance advance, the employee is presumed to have had a performance rating of "Effective" and will receive 1/3 of the salary range for the lower grade. (Refer to amount on attached Fixed Payment Chart.)

NOTE: Since the payment of performance advances for employees in grades 23 and below is delayed until July 1, the general rule that an employee is only entitled to receive a reconstructed promotion salary if he or she has not yet received a performance advance of the higher grade is waived for these employees. These employees will be eligible for the reconstructed promotion salary. For example, an employee who was promoted from grade 14 to 16 on November 5, 1981 is eligible to be evaluated on May 5, 1982. Any performance advance in grade 16 would be payable in Payroll Period 6 beginning June 3, 1982. This employee will be eligible for a reconstructed promotion salary effective July 1, even though the performance advance in the higher grade has already been paid.

3. Any other employee is eligible for a reconstructed promotion salary effective on the date he or she would have received the next advance in the lower grade. In determining the amount of the performance advance, the employee is presumed to have had a performance rating of "Effective" and will receive 1/6 of the salary range for the lower grade.

General Rules for Performance Advance Eligibility

The following general rules apply in determining eligibility for performance advances.

- a. Service in positions allocated to the same grade or in NS (grade 600) positions equated to the same grade counts as service in a grade.
- b. Service in a higher grade or in an NS position equated to a higher grade or in a Trainee position from which the employee 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 the employee who does not complete the traineeship.
- c. Service in graded positions or NS 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 professional, scientific and technical unit position.
- 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.

NOTE: This provision does not apply to employees who had 120 full work days of service in their grade in 1980-81 and 1981-82, or, for employees who have been promoted, who would have had 120 days in the lower grade in 1981-82. It does, however, apply for all other employees for all periods of service.
- e. Part-time employees are eligible to receive performance advances under the same rules as full-time employees.
- f. Employees who have a change in grade resulting from reallocation of their positions receive credit for service in the lower grade toward eligibility for performance advances in the higher grade.

Preparation of PR-75 Forms

PR-75's must be submitted to pay the performance advances and may be submitted in any payroll period after Budget approval has been received.

Since the performance advances are being paid retroactively you must recompute the salaries of all employees who have had status changes. Employees in positions with an approved increased hiring rate are entitled to performance advances on that rate only if the employee was receiving such rate prior to the date that the performance advance is due. For employees with salary changes during this period, adjustments must be made for each salary earned. Fully explain your calculation of the adjustments in the Remarks block of the PR-75.

The following transaction codes should be used.

1. To report a performance advance for an employee in his/her current grade for both active and inactive employees.

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 the Payroll Period during which the performance advance is effective
22 Salary Rate	
23 Gross (Add)	
24 Normal (Deduct)	

Use ADJ SAL PA as an additional code to report the retroactive adjustment. For an employee subject to the variable rate payment plan, enter the Rating in the Remarks block. Show the calculation of the retroactive adjustment. Also enter the percentage of increase in the Remarks block.

2. To report an adjustment in current salary as a result of a performance advance in a previous grade.

Transaction Code: COR SAL and ADJ SAL PA

Enter the amount of performance advance, and the rating for employees subject to the variable rate payment plan, in the Remarks block and explain the recomputation of salary. Show the calculation of the retroactive adjustment for each new salary.

3. To report an adjustment only for an employee due a performance advance in another position when the current salary will not change.

Transaction Code: ADJ SAL PA

Enter the amount of performance advance in the Remarks block and show the calculation of the retroactive adjustment.

4. To report a "Below Minimum" 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 appropriate date
April 1, 1982 or July 1,
1982, or the date the
rating was due

22 Salary Rate

5. Adjustments for overtime, lost time, holiday pay, etc., may be reported in the period the performance advance is reported or may be reported in a later period.

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.

Attachments

OFFICE OF THE STATE COMPTROLLER
 BUREAU OF PAYROLL AUDIT-SALARY DETERMINATION SECTION
 PROFESSIONAL, SCIENTIFIC AND TECHNICAL UNIT (05)
 PERFORMANCE ADVANCEMENTS FOR GRADES 24 AND ABOVE
 AND OTHER EMPLOYEES SUBJECT TO THE
 VARIABLE RATE PAYMENT PLAN
 APRIL 1, 1982

Grade	Effective	Outstanding
	Min. 12.5% - Max. 20%	Min. 25% - Max. 40%
1	\$238 - 380	\$475 - 759
2	247 - 395	494 - 790
3	257 - 410	513 - 820
4	268 - 429	536 - 857
5	280 - 447	559 - 894
6	289 - 463	578 - 925
7	300 - 480	600 - 960
8	310 - 496	620 - 992
9	321 - 514	642 - 1027
10	336 - 537	671 - 1073
11	351 - 561	701 - 1121
12	362 - 578	723 - 1156
13	376 - 601	751 - 1202
14	405 - 648	810 - 1295
15	419 - 671	838 - 1341
16	435 - 696	870 - 1391
17	456 - 730	912 - 1459
18	475 - 760	950 - 1520
19	494 - 789	987 - 1578
20	513 - 820	1025 - 1640
21	534 - 854	1067 - 1707
22	554 - 887	1108 - 1773
23	575 - 920	1150 - 1840
24	595 - 952	1190 - 1904
25	618 - 989	1236 - 1978
26	641 - 1026	1282 - 2052
27	675 - 1080	1349 - 2159
28	698 - 1117	1396 - 2233
29	722 - 1155	1443 - 2309
30	745 - 1192	1490 - 2383
31	769 - 1230	1537 - 2460
32	790 - 1264	1579 - 2527
33	810 - 1296	1620 - 2592
34	834 - 1333	1667 - 2666
35	855 - 1367	1709 - 2734
36	879 - 1406	1758 - 2812
37	900 - 1439	1799 - 2878

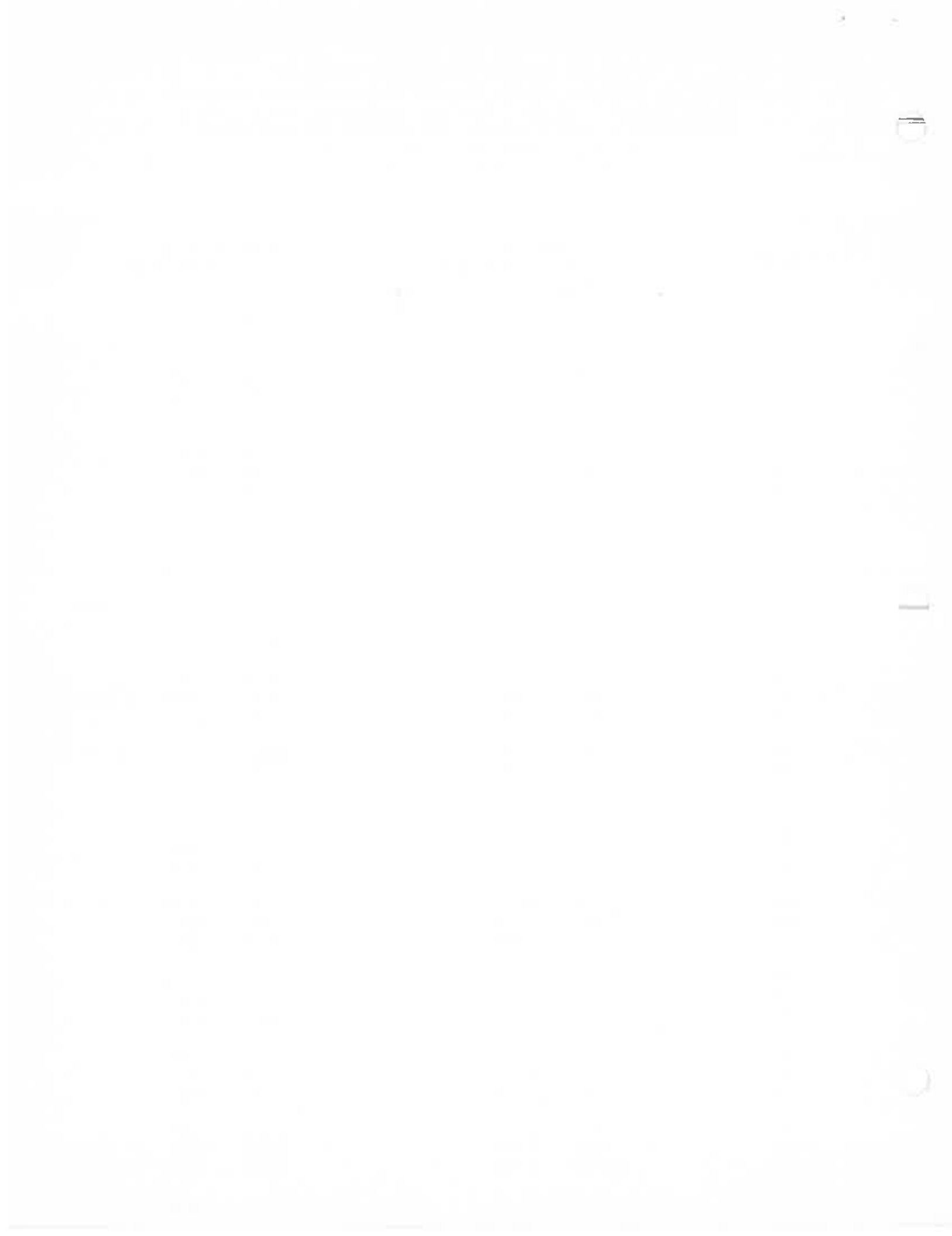


CHART A
 OFFICE OF THE STATE COMPTROLLER
 BUREAU OF PAYROLL AUDIT-SALARY DETERMINATION SECTION
 PROFESSIONAL, SCIENTIFIC AND TECHNICAL UNIT (05)
 FIXED PAYMENT PLAN-
 PERFORMANCE ADVANCEMENTS FOR EMPLOYEES IN GRADES 23 & BELOW
 JULY 1, 1982

<u>Salary Grade</u>	<u>Hiring Rate</u>	<u>Job Rate</u>	<u>Performance Advancement Amount</u>
1	\$8219	\$10116	633
2	8546	10519	658
3	8982	11031	683
4	9402	11544	714
5	9865	12099	745
6	10415	12726	771
7	11020	13418	800
8	11647	14127	827
9	12317	14884	856
10	13037	15718	894
11	13805	16607	934
12	14601	17490	963
13	15473	18476	1001
14	16383	19620	1079
15	17331	20683	1118
16	18323	21800	1159
17	19375	23021	1216
18	20492	24291	1267
19	21621	25566	1315
20	22749	26847	1366
21	23975	28242	1423
22	25283	29714	1477
23	26640	31240	1534

