General Memorandum 2011- 002 (Revised)

To: Cabinet Secretaries, Agency Heads and Human Resource Managers

From: Michael A. Marcelli, State Budget Director, Department of Finance & Administration
       Justin Najaka, Interim Director, State Personnel Office

Subject: Personnel Transactions - Submittal and Approval Process

Date: August 19, 2014

The following outlines the submittal and approval processes for personnel transactions within your agency. In order to streamline and partner with agencies to accomplish your agency’s Human Capital and Budget Management goals, it is essential that consistent information be provided to both the State Personnel Office (SPO) and the Department of Finance and Administration (DFA), through the approval process.

A. Actions requiring review and approval by SPO, DFA and the Office of the Governor:

When requesting approval for the personnel transactions listed in this section, follow the steps listed below:

1. Submit budget projections to the agency’s assigned DFA Executive Budget Analyst. The agency must first obtain approval from their assigned DFA Executive Budget Analyst/State Budget Director, in writing, before the requested personnel transaction(s) are submitted to their assigned SPO HR Consultant for review.

2. The personnel transaction(s) must be prepared on the required SPO Position/Personnel Action Request forms (SPO 14-002, SPO 14-003), then submitted to the agency’s assigned SPO HR Consultant to obtain approval from the SPO Director.

3. After both DFA and SPO have approved, the personnel transaction(s) will be forwarded to the Office of the Governor for final review and approval.

4. After approval is secured from the Office of the Governor, SPO will notify the department/agency via e-mail, and then the agency may process the personnel transaction(s).
In-Pay Band Salary Adjustments (SPO 14-003)
Temporary Salary Increases (Excluding CBA requirements) (SPO 14-003)
Temporary Recruitment Differentials (SPO 14-003)
Temporary Retention Differentials (SPO 14-003)
Out-of-State Differentials (SPO 14-003)
Reclassification of a FILLED position upward, laterally or downward (SPO 14-002)
Creation of a Reg/Perm, STRM or temporary (Budgeted, Non-Budgeted or T180) position (SPO 14-002)

B. Actions requiring review and approval by SPO and DFA:

When requesting approval for the personnel transactions listed in this section, follow the steps listed below:

1. Submit budget projections to the agency’s assigned DFA Executive Budget Analyst. The agency must first obtain approval from their assigned DFA Executive Budget Analyst/State Budget Director, in writing, before the requested personnel transaction(s) are submitted to their assigned SPO HR Consultant for review.

2. The personnel transaction(s) must be prepared on either the SPO Personnel or Position Action Request form (SPO 14-002, SPO 14-003), then submitted to the agency’s assigned SPO HR Consultant to obtain SPO Director’s approval.

3. After both SPO and DFA have approved, SPO will notify the department/agency via e-mail, and then the agency may process the personnel transaction(s).

Double filling a position (SPO 14-002)
Reclassification of a VACANT position upward (SPO 14-002)

C. Actions only requiring review and approval by SPO:

When requesting approval for the personnel transactions listed in this section, follow the steps listed below:

1. The personnel transaction(s) must be prepared on either the SPO Personnel or Position Action Request form (SPO 14-002, SPO 14-003), then submitted to the agency’s assigned SPO HR Consultant to obtain SPO Director’s approval.

2. After the SPO Director issues an approval, SPO will notify the department/agency via e-mail, and then the agency may process the personnel transaction(s).

In-Grade Hires - 114.7% compa-ratio or greater (SPO 14-003)
Promotional Increases less than 5% or greater than 15% (SPO 14-003)
Salary increases upon lateral transfers (See Interpretive Memorandum 2011-009 – June 26, 2013) (SPO 14-003)
Salary upon Temporary Promotion less than 5% or greater than 15% (SPO 14-003)
Under fill a position (SPO 14-002)
Salary upon Reduction greater than 15% (SPO14-003)
Administrative Leave in excess of 160 hours - pending a disciplinary action (SPO 14-003)
Administrative Leave in excess of 5 consecutive days – non discipline related (SPO 14-003)
Temporary Salary Increases (ONLY for CBA requirements) (SPO 14-003)
Recruitment Waiver (SPO 14-003)
Reclassification of a VACANT position laterally or downward (SPO 14-002)
Update - Reports to (SPO 14-002)
Update - Department (SPO 14-002)
Update - Location Code (SPO 14-002)

D. The personnel transactions listed below require ONLY DFA approval:

When requesting approval for the personnel transactions listed in this section, follow the steps listed below:

1. Creation of positions: Agencies must demonstrate the revenue sources and sustainability of the revenues of the additional positions.

2. Positions that have been vacant for two (2) or more years: The General Appropriations Act (GAA) does not contain FTE counts in the budget any longer; however, agencies should delete positions that have been vacant for two (2) or more years. Agencies can reclassify or request the position be filled if it provides quantitative data demonstrating improvement to services for clients (e.g. decreasing wait times, etc). Justification for these requests must be sent to the State Budget Director, Michael Marcelli for review and approval.

Please contact your assigned DFA Budget Analyst for questions, and processing of the personnel transactions listed below.

Extending a STRM
Inactivation of any Reg/Perm, STRM or Temporary (Budgeted) positions
Update - Budgeted position
Update - FTE value
Update - Adds to FTE actual count

E. Effective Dates:

The effective date of the personnel transactions will begin on the pay period immediately following the date when an agency receives final approval(s) as outlined above. Personnel transactions involving salary increases with retroactive effective dates WILL NOT be approved.

Actions with incomplete, inaccurate or missing information will be returned to the agency for correction and resubmittal.

Please contact your assigned SPO HR Consultant or DFA Executive Budget Analyst with any questions.

c: SPO Consultants
   DFA Executive Budget Analysts
   Office of the Governor

Attachments (2) – SPO 14-002, SPO 14-003