



LAKE COUNTY

BOARD OF COUNTY COMMISSIONERS
County Procedure

Title: CLASSIFICATION AND PAY PLAN

Number: ES-3.02.01

Approved: February 15, 2019

Originator: Human Resources
and Risk
Management (Human
Resources)

Review: As needed

I. PURPOSE AND SCOPE

The purpose of this Procedure is to provide guidelines for the effective implementation and maintenance of the County's classification and pay plan. Where provisions of a Collective Bargaining Agreement apply, those provisions take precedence over the procedures outlined herein.

II. DEFINITIONS

- A. **Classification and Pay Plan:** A program whose purpose is to assign positions to pay ranges based on the characteristics of the positions.
- B. **Demotion:** An employee is moved from a position in one pay grade to a different position (with a different position number and responsibilities) in a lower pay grade. This can be the result of the employee applying for an advertised position (voluntary demotion), or it can be involuntary.
- C. **Initial Probation:** The six-month period during which a new hire to the county is evaluated to assess the mutual benefits of the employment. Probationary employees are not eligible to use accrued leave time without the prior approval of Department/Office Directors. Probationary employees are not eligible to grieve actions in accordance with applicable procedures with the exception of equal employment opportunity/discrimination claims. Probationary employees are not eligible for any other due process procedures conferred by County employment policies and procedures, local, state or federal law.
- D. **Lateral Transfer:** An employee is moved from a position in one pay grade to a different position (with a different position number) within the same pay grade.

- E. PAF: Personnel Action Form. The document that initiates all changes to an employee's rate of pay or status. The form must include proper authorizations before being sent to Human Resources.
- F. Position Re-allocation: Moving a position from one personal services salary account to another. This may or may not involve an organizational change.
- G. Promotion: An employee is moved from a position in one pay grade to a different position (with a different position number) in a higher pay grade.
- H. Reclassification: The classification of a position is changed. Reclassification may be lateral, upwards, or downwards.
- I. Six-month Evaluation Period: The period during which a promoted, demoted or transferred employee is evaluated to assess the mutual benefits of the new position. Employees serving a six-month evaluation period are considered regular employees and have access to all procedures and benefits accorded to regular employees.
- J. Title Change: Changing the title of a position classification. There is no change of the position number or job responsibilities.
- K. Working out of Job Classification: An employee is performing work in a job classification other than their established position. A temporary assignment may be the result of performing the duties of a coworker whose position is classified in a higher pay grade while the coworker is unavailable for an extended period of time. An interim assignment may be the result of filling a vacant position during the selection process, e.g. Interim Department Director.

III. **PROCEDURES**

A. **General Provisions**

No employee may be employed in more than one (1) position within the County unless authorized by the County Manager.

B. **Employee Changes**

1. **New Hires**

- New hires are approved by the hiring Department/Office Director with the concurrence of Human Resources.
- New hires shall start at the minimum of the pay grade, except as otherwise provided herein.

- A new hire who is determined to be exceptionally qualified for a position may be hired above the pay grade minimum as follows:
 - Requests to hire above the minimum of the pay grade and justification for the request must be sent to Human Resources. Hiring at more than the minimum of the pay grade requires the advance concurrence of Human Resources and the approval of the County Manager.
- New hires will serve a six-month initial probationary period. A performance evaluation form must be completed prior to the end of this six-month period rating the new hire on their performance and to document satisfactory passing of the probationary period. Failure to complete the evaluation in a timely manner will result in the automatic "passing" of the new hire to regular employment status, regardless of performance issues. A salary adjustment is not provided at the conclusion of the probationary period.
- A Personnel Action Form (PAF) should be sent to Human Resources for each new hire prior to the new hire's first day of employment.

2. Promotion

- Promotional actions are approved by the Department/Office Director of the department in which the employee currently works or of the receiving department in the case of a transfer.
- When an employee is promoted to a classification in a higher pay grade, the employee is eligible for an increase to the minimum of the new pay grade or a defined percentage increase, up to, but not to exceed, ten percent (10%), as determined by Human Resources and the County Manager, or his designee. The promotional pay may not exceed the maximum of the new pay grade.
- A promotional adjustment greater than ten percent (10%) requires the advance concurrence of Human Resources and the approval of the County Manager.
- The incumbent will serve a six-month evaluation period. A salary adjustment is not provided at the conclusion of this evaluation period. Failure to satisfactorily complete this six-month evaluation period will result in the newly promoted employee being subject to the County's procedures relating to performance improvement.

- A Personnel Action Form (PAF) must be submitted by the hiring department to Human Resources for each promotion action prior to the effective date of the action.

3. Demotion

- Demotion actions are approved by the Department/Office Director of the department in which the employee currently works or of the receiving department in the case of a transfer.
- When an employee is demoted to a classification in a lower pay grade, there will be a minimum ten percent (10%) decrease in the incumbent's rate of pay, not to be less than the minimum of the new pay grade and not to exceed the maximum of the new pay grade. When an employee is demoted to a classification that is more than two pay grades lower than their previous position, there will be an additional five percent (5%) decrease per pay grade in their rate of pay, not to be less than the minimum of the new pay grade and not to exceed the maximum of the new pay grade. The maximum reduction in pay in any case is twenty percent (20%). However, at no time will an employee's salary be above the maximum of the new pay grade.

Example: An employee is demoted from a position in pay grade 15 to a position in pay grade 12, and there is a 10% decrease. . Because there is a change of more than 2 pay grades, another 5% will be deducted for each pay grade (5% X one pay grade=5%). The total reduction in pay will be 15%.

- Any variance in the amount of pay reduction as outlined above requires the advance concurrence of Human Resources and the approval of the County Manager.
- The incumbent will serve a six-month evaluation period. A salary adjustment is not provided at the conclusion of this evaluation period. Failure to satisfactorily complete this six-month evaluation period will result in the newly demoted employee being subject to the County's procedures relating to performance improvement.
- A Personnel Action Form (PAF) must be submitted by the hiring department to Human Resources for each demotion action prior to the effective date of the action.

4. Lateral Transfer

- Lateral transfer actions are approved by the Department/Office Director of the department in which the employee currently works or of the receiving department in the case of a transfer.
- When an employee is transferred to a classification in the same pay grade, there is no effect on the incumbent's pay.
- The incumbent will be required to serve a six-month evaluation period. A salary adjustment is not provided at the conclusion of this evaluation period. Failure to satisfactorily complete this six-month evaluation period will result in the newly transferred employee being subject to the County's procedures relating to performance improvement.
- A Personnel Action Form (PAF) must be submitted by the hiring department to Human Resources for each transfer action prior to the effective date of the action.

5. Employees Working out of Their Job Classification

- Working out of classification actions are approved by the Department/Office Director of the department in which the employee currently works with the concurrence of Human Resources.
- An employee who is assigned to work in a position in a higher pay grade on a temporary/interim continuous basis will be granted a 5% increase in pay while filling the temporary assignment. The incumbent will retain their original overtime status. Pay will revert to the previous rate of pay at the end of the temporary assignment.
- An employee who is assigned to work in a position in the same pay grade or a lower pay grade on a temporary continuous basis will not be eligible for any increase in pay.
- A Personnel Action Form (PAF) must be submitted to Human Resources at the beginning and at the end of the temporary assignment.

6. Other Actions Affecting Pay

A Personnel Action Form (PAF) must be submitted by the employee's department for any change that affects employee pay including, but not limited to, change in scheduled hours, incentive pay change, etc.

Any increase in pay not normally covered by these procedures requires the advance concurrence of Human Resources and the approval of the County Manager.

C. 1. Position Changes- General Procedures

Required Paperwork

- Form 9 (Personnel Change Request)
- Form 9 (a) (Detailed Narrative)
- Job Description (not required for position re-allocations)
- Organizational Chart (if position will be moving organizationally)

Paperwork Submission:

Outside of the Budget Process: The required paperwork should be submitted to the Office of Employee Services for evaluation and processing.

During the Budget Process: The required paperwork should be submitted to the Office of Budget per annual budget submission guidelines.

Position change requests are evaluated by Human Resources for classification purposes and the Office of Management & Budget for fiscal impact before being presented to the County Manager for final evaluation and determination.

Human Resources will initiate the Personnel Action Form when a position change affects an employee. No further paperwork is required from the department.

2. Title Change

A title change occurs when the name of a classification is changed to be more descriptive of the work being performed, or to reflect the name of the work unit.

3. Position Re-allocation

A position re-allocation occurs when the personal services salary account (org code) for a position changes.

4. Reclassification-General Provisions

- Requests to reclassify positions should be submitted when the actual duties and responsibilities of an existing position have undergone significant and permanent changes and the job description of the position is no longer descriptive of the work being performed.

- Reclassification requests generally are considered when a position is vacant and a need exists to modify the responsibilities of the position.
- Under unique circumstances, a reclassification request may be considered with an incumbent employee in the position.
- Reclassification requests should be based on operational need and not upon the performance/tenure of the incumbent.
- Department/Office Directors must supply justification for reclassification with each request as outlined in the "Required Paperwork" section above.

When a position is reclassified, the incumbent is not required to serve a new evaluation period.

5. Reclassification-Upgrade

- A reclassification-upgrade occurs when a position is changed to a classification in a higher pay grade. Justification must indicate that the existing levels of job duties and/or minimum qualifications are not sufficient to successfully achieve the goals of the work unit.
- If there is an incumbent in the affected position who has been consistently performing duties at the higher level and is fully qualified for the reclassified position, the incumbent will be moved into the new position upon approval of the reclassification request.
- An incumbent who is reclassified to a position in a higher pay grade will be eligible for an increase to the minimum of the new pay grade or up to five percent (5%) as determined by Human Resources and the respective Assistant County Manager, whichever is higher, provided it does not exceed the maximum of the new pay grade. The County Manager has the final approval on reclassification requests.

6. Reclassification-Downgrade

- A reclassification-downgrade occurs when a position is changed to a classification in a lower pay grade. Justification must indicate that the existing levels of job duties and/or minimum qualifications are no longer required to successfully achieve the goals of the work unit.
- If there is an incumbent in the affected position who has been consistently performing duties at the lower level and who meets the minimum qualifications for the reclassified position, the incumbent will be moved into the new position upon approval of the reclassification request.

- The County Manager may authorize an incumbent to remain at their current rate of pay or up to a five percent (5%) decrease. Absent such authorization, an incumbent who is reclassified to a position in a lower pay grade will receive a five percent (5%) decrease in their rate of pay, not to be less than the minimum of the new grade and not to exceed the maximum of the new pay grade. If an incumbent's current rate of pay is above the maximum of the new pay grade, reclassification shall result in reduction in pay to the maximum of the new pay grade.

7. Reclassification-Lateral

- A reclassification-lateral occurs when a position is changed to a classification in the same pay grade. Justification must indicate that the existing job description is no longer descriptive of the work being performed.
- There is no effect to an incumbent's rate of pay when a lateral reclassification occurs.

IV. RESERVATION OF AUTHORITY

The authority to issue or revise this Procedure is reserved to the County Manager. The County Manager may authorize exceptions to this procedure when deemed appropriate.



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