
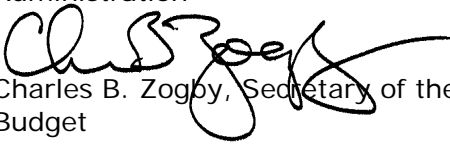


# MANAGEMENT DIRECTIVE

## Commonwealth of Pennsylvania Governor's Office

<b>Subject:</b> Salary Complement Management and Control	<b>Number:</b> 505.2 Amended
<b>Date:</b>  August 7, 2014	<b>By Direction of:</b>  Kelly Powell Logan, Secretary of Administration  Charles B. Zogby, Secretary of the Budget
<b>Contact Agency:</b> Office of Administration, Office of Human Resources Management, Human Resources Service Center, Telephone 717.787.8001 Office of the Budget, Governor's Budget Office, Bureau of Budget Administration, Telephone 717.787.2542	

**This directive delegates authority to agency heads for managing salaried complements within predetermined budgetary limits. It also provides procedures for salaried complement control. Marginal dots are excluded due to major changes.**

- 1. PURPOSE.** To establish policy, responsibilities, and procedures to increase, decrease and maintain salaried complements at levels authorized by the Governor in agencies under the Governor's jurisdiction.
- 2. SCOPE.** Applies to actions which affect salaried complement control and salaried limited term position control. Work Contract Codes SS and RR identify the affected positions.
- 3. OBJECTIVES.**
  - a.** To standardize procedures for establishing or requesting additional complement positions or to extend existing limited term positions, and to subsequently record and report agency positions. An efficient complement management system assists agencies in utilizing human resources effectively and economically and offers maximum flexibility in meeting changing program needs.

- b. To provide management with accurate complement data through a uniform system which establishes, monitors, and controls salaried positions in agencies under the Governor's jurisdiction.

**4. DEFINITIONS.**

- a. **Complement.** Total number of positions, filled and vacant.
- b. **Complement Action Request-Salary (CAR-S).** The intranet application, maintained by the Office of Administration, HR Service Center, that is used by agency complement managers to request adjustments to authorized salaried complement levels.
- c. **Complement Manager.** An agency employee, who administers the agency's complement, manages and initiates the Complement Action Request-Salary (CAR-S) requests, analyzes vacancies for available funding or need, and determines the urgency and criticality to fill a position. This employee also manages the movement of positions between "salaried complement" and "recruitment only" complement.
- d. **Dual Incumbency.** More than one employee occupying one position. Regular hours override is used for each employee, but the combined hours override may not exceed the maximum number of regular hours authorized for the position.
- e. **Employee Group.** A code which identifies the expected duration of an employee in a specific position.

EMP_GRP	EMP_GRP_NAME
A	Annuitant
E	Official/Board Member
G	PA National Guard
N	Non-Permanent
P	Permanent
R	Health Register
U	Per Unit
X	External Person
Z	Conversion

- f. **Employee/Incumbent.** A person who has been hired by an agency and whose employment has not been terminated.
- g. **Employee Subgroup Code.** A code which identifies whether an employee is in a full-time position or irregularly scheduled position.

EMP_SUB_GRP	EMP_SUB_GRP_NAME
E1	Part-time Executive Board Salary
E2	Per Diem

EMP_SUB_GRP	EMP_SUB_GRP_NAME
E3	Statutory Salary
E7	Full-time Executive Board Salary
E9	External
F2	Instructor 22 Pays Full-time
F3	Instructor 26.08 Pays Full-time 75 Hr
F4	Instructor 26.08 Pays Full-time 80 Hr
F6	Instructor 26 Pays Full-time
F7	Full-time 75 Hr
F8	Full-time 80 Hr
G1	PA National Guard
P2	Instructor 22 Pays Part-time
P3	Instructor 26.08 Pays Part-time 75 Hr
P4	Instructor 26.08 Pays Part-time 80 Hr
P6	Instructor 26 Pays Part-time
P7	Part-time 75 Hr
P8	Part-time 80 Hr
R1	Health Registrar
U5	Other
U9	Volunteer
X1	Patient Resident Worker
X2	YDC Youth Worker
X8	FED/BUS Associate
X9	Non Commonwealth Employee
ZY	Conversion Dual Employment
ZZ	Conversion Primary Employment

- h. Governor’s Budget Office (GBO) Authorized.** A complement authorization established by GBO. This figure is established based on funding and agency justification for positions.
- i. Limited Term Salaried Position.** A position that has a specific date of expiration, regardless of duration; an authorized and individually identified group of duties and responsibilities assigned or delegated by complement managers that requires the temporary, full- or part-time employment of one or more person(s) in accordance with Section 7, Procedure 3 of this directive.
- j. Office of Administration (OA) Authorized.** A complement authorization established by OA. This figure is based on agency justification for positions. It may not exceed GBO authorized figure.
- k. Office of Administration (OA) Salary Status Code.** A code which describes the status or type of control of an agency’s pre-established salaried complement. These codes appear on the SAP Complement Control Table and are defined as follows:
- (1) O – Additional Override.** Complement Total can exceed the OA Total.

(2) A - Allowed Level Control. Agencies may fill positions up to and including the number of authorized positions without GBO or OA approval. Agencies are prevented from processing transactions which would cause this number to be exceeded. All procedures for hiring senior level employees are still applicable. (Refer to *Management Directive 515.16, Appointment to Senior Level Positions.*)

(3) X - Not Allowed. No positions can be added to the complement. The complement has been restricted by OA. Personnel actions including appointments, transfers, and changes from wage to salary are not allowed without prior OA approval.

**i. Position Expiration Date.** The date on which a limited term salaried position is to expire in accordance with Section 7, Procedure 3 of this directive.

**m. Reclassification.** The movement of a position to a different classification to recognize a change in duties and responsibilities, to correct an error in the original assignment, or to assign a new or revised and more appropriate classification.

**n. Recruitment Only Position (RR).** Positions in this category are unfunded and do not count against authorized budgeted salaried complement limits. These positions are utilized to facilitate the recruitment process and cannot be filled until reassigned to the budgeted complement. RR positions can be returned to the budgeted salaried complement provided that "authorized levels" are not exceeded and the appropriation has sufficient funding available.

**o. Salaried Position (SS).** A position with an authorized and individually identified group of duties and responsibilities assigned or delegated by complement managers, and approved by GBO and OA, that requires the full- or part-time employment of at least one person on a regularly scheduled basis.

**p. SAP Complement Control Table.** A table in SAP, the commonwealth's enterprise resource planning system, that contains authorized complement levels by Fund Type, Business Area, and Appropriation, and is maintained by GBO and OA.

## 5. POLICY.

**a.** In accordance with *Management Directive 505.7, Personnel Rules*, OA shall "provide management of the centralized salary and wage complement systems." In support of this responsibility, the SAP Complement Control Table (transaction Y\_DC1\_32000247) contains the official salaried complement of agencies under the Governor's jurisdiction. Complement Summary (see Enclosure 1) and Complement – FTE Count reports located in Business Warehouse (BW), along with the SAP complement Control Table, are to be used to monitor and control the salaried complement. Authorized complements will be assigned and controlled by Fund Type, Business Area and Appropriation (SAP Fund/HR Fund).

- b. In accordance with *Section 615 of The Administrative Code of 1929*, 71 P.S. § 235, the Secretary of the Budget may establish an authorized personnel complement level in conjunction with the approved expenditure estimate[s] [provided by each agency]. Therefore, all new salaried positions, permanent and limited term, are to be requested in advance from OA and GBO via the rebudget process or by utilizing the CAR-S application, <http://oaiss.state.pa.us/CARS>, and processed in accordance with Procedures 1 and 2 under Section 7 of this directive.
- c. All extensions of limited term salaried positions will be authorized by GBO in accordance with Procedure 3 under Section 7 of this directive.
- d. Only new positions may be established and only approved, existing limited term positions may be extended. Disapproved positions and positions with disapproved extensions are to be delimited. Authorized complement totals will be adjusted accordingly via the SAP Complement Control Table and current complement control provisions.
- e. Full salaried complement control (Control Status X) may be imposed on an agency by OA or GBO when any of the following actions have been taken by an agency:
  - (1) Exceeding authorized complement level.
  - (2) Creation of unauthorized salaried positions.
  - (3) Unauthorized use of salaried positions, including but not limited to, extension of limited term salaried positions.
  - (4) Overdue position expiration dates.
  - (5) Hiring salaried employees without pre-approved authorized positions.
  - (6) Expenditure patterns indicate the agency is likely to exceed its authorized spending levels.

## **6. RESPONSIBILITIES.**

### **a. GBO shall:**

- (1) Determine an agency's authorized salaried complement as part of the annual rebudget process. Subsequent additions to or deletions from authorized complements must be approved by GBO via the CAR-S application. If, within 30 days after an over-complement notification, an agency fails to reduce its complement to the authorized level, GBO will prepare and implement a plan to reduce complements to the authorized level.
- (2) Monitor limited term salaried positions. Additions, extensions, and reductions to authorized complements for limited term salaried positions must be reviewed for available funding and approved by GBO via the rebudget process or CAR-S application. Input personnel authorizations for approved exceptions to complement control.

- b. **OA** shall establish, record, and maintain all salaried positions as well as review and control classifications, position creations, and reclassification of all positions with classifications that require central approval.
- c. **Each agency** shall establish, record, maintain, and control authorized salaried complement and limited term positions in accordance with this directive.
- d. **GBO or OA** may initiate necessary controls when an agency exceeds its authorized level.

## 7. PROCEDURES.

- a. The following instructions apply to the establishment, control, and maintenance of authorized salaried complement only:
  - (1) Each salaried position will be identified by a separate position number; e.g., a facility with three shifts which has a position with the same set of duties performed on each shift must have a separate position number for each position on each shift.
  - (2) A position will be considered vacant when it is not occupied by at least one incumbent in an active status.
  - (3) An authorized position may be filled when it is not occupied by an incumbent, or when the dual incumbency limitations have not been reached.
  - (4) A limited term wage position must be created and used as substitute employment for an authorized salaried position held by an employee in a leave status (In regards to filling these positions in the classified service, the appropriate type of certification should be requested in accordance with *Management Directive 580.32, Substitute Employment in the Classified Service*).
  - (5) No employee or prospective employee may be appointed, transferred, promoted, or demoted into an unauthorized position.
  - (6) A limited term salaried position scheduled to be delimited must be delimited on or before the scheduled date unless extended in accordance with Section 7, Procedure 3 of this directive. Authorized complements will be reduced by the number of delimited positions. The SAP Complement Control Table will reflect the adjustment and the agency will be notified via the rebudget process.
  - (7) Positions which are 100 percent federally funded from a single Federal Appropriation (Ledger Code 7) or Federal Executive Authorization (Ledger Code 8) must be placed in the appropriate Federal Appropriation or Federal Executive Authorization. Positions which are federally funded from more than one Federal Appropriation or Federal Executive Authorization must remain in the State (parent) Appropriation.

- (8) All positions which are or have been created as a direct result of a federally funded project or proposal are to be considered as limited term, with expiration dates reflecting September 30 of the year when the funding ends. Summer Employment Program positions are included.
- b. Use the following procedures to request increases in salaried complement, to create salaried positions, and to extend limited term positions.
- (1) **Procedure 1. Establishing Authorized Levels for Salaried Positions, Permanent, or Limited Term.** Note: GBO establishes an agency's authorized salaried complement as part of the rebudget process. The following procedures apply to subsequent transactions:
- (a) **Agency Human Resource Office.**
- 1 Obtains appropriate agency authorization.
  - 2 Prepares CAR-S Form online at <http://oais.state.pa.us/CARS> to establish, increase, or decrease authorized salaried complement.
  - 3 The CAR-S Form is forwarded via email notification to agency Fiscal Office for review and funding verification.
- (b) **Agency Fiscal Office.**
- 1 Reviews CAR-S Form and verifies funds availability.
  - 2 The CAR-S Form is routed electronically to OA for review and approval.
- (c) **OA.**
- 1 Reviews CAR-S Form request for organizational staffing requirements and centralized classification.
  - 2 If request is denied, returns the CAR-S Form via email notification to agency Human Resource Office with reason for disapproval.
  - 3 If request is approved, routes the CAR-S Form electronically to GBO.
  - 4 CAR-S Forms approved by GBO are routed to OA for update of OA Authorized on the SAP Complement Control Table.
- (d) **GBO.**
- 1 Reviews the request.
  - 2 If the request is disapproved, returns the CAR-S Form via email notification to the agency Human Resource Office and all prior approving authorities with the reason for disapproval.

**3** If the request is approved:

- a** Processes CAR-S Form. The date GBO approves the request is the earliest date a position may be created. Records the new Budget Authorized complement total on the CAR-S Form and inputs the change to the SAP Complement Control Table.
- b** Routes approved CAR-S Form to the agency and OA approvers via the CAR-S email notification system.
- c** Retains one copy.

**(e) Agency Human Resource Office.** Processes position actions in accordance with Procedure 2 of this directive.

**(2) Procedure 2. Processing of Personnel Authorizations for Creation of Salaried Positions, Permanent or Limited Term.**

**(a) Agency Human Resource Office.** Sends an Enterprise Personnel Action Request (E-PAR) to the HRSC to request the creation of a position.

**(b) OA, HRSC.** Processes a ZPQ13 (Action for Position) action to create a position. If the position is limited term, action must include the Position Expiration Date on the IT9104 (Complement Control). Agencies not supported by the HRSC take this action in lieu of Procedure 2(a).

**(c) OA, Bureau of Classification and Compensation.** Monitors creation of positions in centralized jobs.

**(3) Procedure 3. Processing Extensions of Limited Term Salaried Positions.** Note: All limited term positions, unless otherwise specified, will have an expiration date of September 30.

**(a) GBO.**

**1** Performs a review of all limited term dates as part of the annual rebudget process. Agencies and OA will be notified of all extensions in the Rebudget Approval Letter.

**2** In September of each year, reviews its internal Limited Term Monitoring Report and, where appropriate, consults with the agencies to determine if any reductions are necessary as of that September 30 of the same calendar year.

**3** If reductions are not necessary, no further action occurs.

**4** If reductions are necessary, notification is sent to the agency, which will then route a CAR-S Form to the agency Human Resource Office and OA to notify them of the reduction.



5 Inputs change to SAP complement Control Table to decrease authorized complement total based upon approved CAR-S Form.

**(b) Agency Human Resource Office.** Using the approved rebudget letter or an approved CAR-S Form as the input document, submits an E-PAR to the HRSC.

**1 Approved Position Extensions.**

**a** Via the E-PAR Form, uses Position Action "Other Please Explain – Pos Extension" list item to extend the position expiration date.

**b** Processes any additional action, such as Civil Service Certification, required to extend an incumbent.

**2 Disapproved Position Extensions.**

**a Filled Position.** Completes two separate E-PARs to initiate a separation action to remove the incumbent and delimit the position.

**(1)** Employee Action "Separation".

**(2)** Position Action "Delimit Position".

**b Vacant Position.** Via the E-PAR Form, uses Position Action "Delimit a Position" list item.

**3** Alternately, the Agency Human Resources Office, using the approved rebudget letter or an approved CAR-S Form as the input document, may input the following transactions via SAP:

**a Approved Position Extensions.**

**(1)** Via PO13 (Maintain Position) updates IT9104 (Complement Control) to extend the position expiration date.

**(2)** Process any additional action, such as Civil Service Certification, required to extend an incumbent.

**b Disapproved Position Extensions.**

**(1)** Filled Position. Process a separation action to remove incumbent via PA40; and delimit the position, via PO13 (Maintain Position).

**(2)** Vacant Position. Delimits the position via PO13 (Maintain Position).

- (4) **Procedure 4: Processing Exceptions in Agencies on Salaried Complement Control.** This procedure is applicable only when an agency is attempting, through attrition, to reduce its complement to the authorized level and the need arises to fill a critical position. Agencies must identify critically needed positions before filling such positions and are only authorized to hire incumbents after received approval from GBO.

**Enclosure 1 – Content of Business Warehouse Salaried Complement Summary Report**

**This directive replaces, in its entirety, *Management Directive 505.2*, dated December 1, 2006 and *Management Directive 505.4*, dated February 18, 1982 and *Revision No. 1 to Management Directive 505.4*, dated May 28, 1982.**

## Content of Business Warehouse Salaried Complement Summary Report

**BW Complement Summary Report** lists summary-level complement data for both salary and wage positions. It may be filtered to show either salary or wage positions. This report can provide detailed information by position/employee.

### **BW Complement Summary Report**

1. **Position Count.** A count of all positions.
2. **Filled Positions.** The count of Filled Positions is ONE for each position that is occupied by at least one employee with a 1 (active) or 7 (on disability leave) pay status.
3. **LWOP.** The count of LWOP positions is ONE for each position in which all employees in the position have a 5 (leave without pay with benefits) or 6 (leave without pay without benefits) pay status.
4. **Vacant.** The count of Vacant Positions is ONE for each Vacant Position. A position is considered vacant when it is not occupied by at least one employee.
5. **Budget Subtotal-Vac.** The total count of the LWOP and Vacant Positions.
6. **Total.** The count is both the sum of Filled and Bud Subtotal-Vac, OR the sum of Filled, LWOP, and Vacant.
7. **OA Auth.** The authorized level of positions for the appropriation established by the Office of Administration. **Note:** This figure usually will be the same as the Budget Authorized, but may be different during Partial or Full Complement Control Status.
8. **GBO Auth.** The authorized level of positions established by GBO for the appropriation.

**Note:** While the OA Authorized and OB Authorized are usually the same figure, they may differ; however, the OA Authorized may not exceed the GBO Authorized.

9. **Biweekly.** The biweekly salary cost for each position. The cost is calculated as follows:
  - a. **Filled Position Cost.** The current biweekly rate of all employees with a 1 or 7 pay status in all filled positions within the parameter it is counting, i.e., appropriation, ledger, or fund levels.
  - b. **LWOP Position Cost.** The current biweekly rate total of ALL employees having a 5 or 6 pay status (whether in a LWOP position or not).

**Note:** If two employees occupy one position, with one employee in an active pay status and the second employee in a LWOP status, the COUNT of the position is considered as Filled; however, the COST of the position would include the biweekly rate of the active status employee in Filled cost and the biweekly rate of the LWOP status employee in the LWOP cost column.

- c. **Vacant Position Cost.** The cost of Vacant Positions is the minimum pay range and step of all Vacant Positions within the parameter it is calculating.
  - d. **Bud Subtotal-Vac Cost.** The total cost of LWOP and Vacant Positions biweekly salaries.
  - e. **Total Cost.** The total cost of both the sum of Filled and Bud Subtotal-Vac, OR the sum of Filled, LWOP, and Vacant biweekly salaries.
- 10. FTE (Full Time Equivalency).** FTE is calculated by counting 1.00 for each employee with a 1 or 7 pay status if Regular Hours Override is not present. If Regular Hours Override is present on the position, the system will calculate FTE by dividing the override hours by the total regular hours of the position the employee occupies. The system will take the calculation to two decimals and round on the second decimal. The report will display one decimal. **Examples:** 10.25 will show as 10.3 and 10.22 will show as 10.2 on the report.
- 11. Limited Term Pos Count.** This count is an independent figure of ONE position for each position that contains a position expiration date. The count of these positions is also included in the appropriate Filled, Vacant, or LWOP count.
- 12. Limited Term Pos Cost.** This cost figure is an independent figure of the total biweekly salaries of employees occupying a position with a position expiration date. The cost of these positions is also included in the appropriate Filled, Vacant, or LWOP cost figures.
- 13. Disability Pos Count.** This count is an independent figure of ONE position for each employee that has a 7 pay status. The count of these positions is also included in the appropriate Filled, Vacant, or LWOP counts.