SHELBY COUNTY TENNESSEE

PERSONNEL MANAGEMENT SYSTEM

V O L U M E I

(As Revised October 1987)

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I. INTRODUCTION HISTORY OF PERSONNEL MANAGEMENT SYSTEM OF SHELBY COUNTY

SECTION 1 - Background of System

1.01 - Because Shelby County had not had an effective personnel system, the Shelby County Quarterly Court, in 1975 and upon recommendation of the Shelby County Civil Service Merit Board, selected the Lawrence-Leiter Company, a personnel consulting firm, to conduct a study of and recommend changes to improve the County's personnel function. A preliminary report was submitted in March, 1976. After substantial review and revision of this preliminary report by representatives of both the Leiter Company and Shelby County Government, final Personnel Management System Volumes were completed and approved by the Shelby County Quarterly Court.

1.02 - The study consisted of three main tasks: (1) the creation of a Classification Plan, (2) the establishment of a Compensation Plan, and (3) the development of a Unified Personnel System for Shelby County. (It should be noted here that the Hospital Authority was not included in the project because a personnel study had just been completed there and a separate personnel system was in place when this study began).

1.03 - When the three tasks were completed, the results were contained in the three volumes. Volume I contained a discussion of the recommended Classification and Compensation Plans. Volume II contained the recommendations for change in the Merit System and the County's personnel rules, regulations, and procedures necessary to establish a Unified Personnel System. Volume III contained the recommended compensation schedules and actual position class descriptions.

SECTION 2 - How the Personnel Management System Was Developed

2.01 - The Shelby County Classification Plan. This plan, developed through the evaluation of every position in County Government - used a Job Factor Ranking System consisting of the following:

(a) A set of written "class descriptions" specifying the duties and responsibilities, and the special knowledge, education, licenses, or other requirements for each class of positions in the County (a "class" consists of one or more positions which are similar enough in characteristics to be grouped together for testing, posting, and compensation purposes); and

(b) A ranking of these classes based on their relative characteristics and qualifications so as to produce clear lines of promotion to and from each class, i.e., "a career ladder"

2.02 - The Shelby County Compensation Plan. This plan originally consisted of two compensation schedules: the Basic Compensation schedule with 24 grades and the Executive and Professional Compensation Schedule with 10 grades. These schedules were developed by linking the ranked classes developed in the Classification Plan to the results of a wage and salary survey conducted to determine the relative worth of each class of positions in the market place.

2.03 - Proposed changes in the Merit System and the County's Personnel Rules, Regulations, and Procedures needed to produce a Unified Personnel System. Volume II contained two parts: (1) recommendations for changes in the ordinance creating the Civil Service Merit System - Tennessee Private Acts of 1971 as amended - to make the system compatible with the Shelby County Restructure Act and with several Federal Acts, and (2) a set of recommended rules, regulations, and procedures needed to create a Unified Personnel System covering all employees of Shelby County (except the Hospital Authority and Board of Education).

SECTION 3 - The Need for a Unified Personnel System

3.01 - At the time of the original study, it was felt that Shelby County Government had to successfully fulfill its dual roles of (1) improving a forum for the working out of community conflicts and (2) supplying needed goods and services in as effective, efficient, and equitable a manner as possible. The single most critical management tool for an effective organization it was felt was a personnel system. A professional, centralized personnel system was seen to have at least three major goals: (1) to meet the "human" needs of an organization, (2) to meet society's requirements for fair and equitable personnel policies, and (3) to help achieve effective and efficient government.

3.02 - It was further felt that at the heart of any organization - and especially a public organization - are its employees. In order to retain and motivate Shelby County's employees, the personnel system must contribute to satisfying each employee's personal needs in such areas as pay, fringe benefits, working conditions, and personal and occupational growth and development. As an ultimate goal, a job with Shelby County should motivate an individual to contribute 100 percent of their effort to achieving their organization's goals and objectives, and it should provide satisfaction for 100 percent of their job-related needs and expectations. The single most important way for the County to begin moving toward this goal was to implement a unified personnel system covering all County employees.

3.03 In addition to these "human" functions, a unified personnel system was necessary to achieve two very basic and deep-seated values: (1) an equitable and fair pay system, and hiring, termination, and compensation according to merit. At the core of these concepts is the idea that a person's worth to the organization, i.e., the "merit" of his/her qualifications and performance, should be the main factor in his/her selection, assignment, compensation, recognition, advancement, and retention. Other considerations such as race, sex, creed, religion, political affiliation, economic and social status, age, and so forth are irrelevant and have no proper place in the personnel function. And because both the "fair pay" and "merit" concepts are incorporated into the law of the land - e.g., Title IV, Civil Rights Act of 1964 as

amended, it was more than just desirable to implement a unified personnel system - it became legally necessary.

3.04 - Finally, a unified personnel system was thought to be a central management tool crucial to sound government operation. Some of the principle uses of a centralized personnel system - which includes a uniform classification and compensation plan - were to:

(a) Create a uniform occupational terminology throughout the County and, which, as a result, will allow organizational evaluations and comparisons to be made;
(b) Allow the clear definition of job content and expectations against which the performance of employees can be evaluated;
(c) Supply a systematic picture of advancement opportunities in the County;
(d) Facilitate the preparation and evaluation of comprehensive budgets for personnel services;
(e) Furnish job information upon which employee orientation and in-service training can be based;
(f) Provide job information leading to the identification and solution of organizational problems (such as lines of authority) and procedures (such as an improved management information system); and
(g) Help identify and monitor areas of duplication, inconsistency, ineffectiveness, and/or inefficiency.

3.05 - Because of its overriding importance to the establishment of good government, the Lawrence-Leiter Company recommended that a Unified Personnel System be established for Shelby County and the Shelby County Quarterly Court approved its creation and operating procedures in 1976 and 1977 (two separate resolutions).

II. SHELBY COUNTY CLASSIFICATION PLAN

SECTION 1 - Introduction

1.01 - A well-constructed classification plan is the foundation of a dynamic personnel system that is responsive to the needs of line organizations. The classification plan is crucial for proper budgeting; for developing training programs and career progression ladders, and career lattices; for assessing manpower needs; for evaluating job performance; and for establishing recruiting standards.

1.02 - The development of a sound classification plan is directly dependent upon a thorough analysis of the activities performed by individuals employed in the County service. The purpose of such a position evaluation study is to identify and determine the value to the County of those elements in a particular job which differentiate it from other jobs. Only the job is evaluated in such a study; not the person holding the job. Further, position evaluation seeks to determine the minimum qualifications necessary for an individual to be able to satisfactorily perform the duties of the position.

1.03 - Position Evaluation is accomplished by using a "position classification

questionnaire". Prior to the distribution of the instrument, Compensation discusses the objectives of the study and the purpose of the questionnaire with the various department and agency heads, and independent elected officials or their designated representatives. After review and approval by the employee's supervisor and department head, the questionnaire is returned to Compensation. A detailed analysis and study of the position is then made, using the questionnaire as the primary source of information, a written study and recommendation is then completed and submitted to the appropriate authority for final approval.

1.04 - A second major part of a classification plan is to group positions which contain similar duties and responsibilities and which require similar qualifications, knowledge, skills and abilities into a "class". The creation of classes enables a general class description to be written and uniform testing and job posting procedures to be developed. Positions that fall in one class should be similar in characteristics in employee type regardless of the differences in organizational type.

1.05 - A major tool in the Classification System is the Job Factor Ranking System (JFRS). This is a method of analysis that allows the isolation of a number of "factors" or characteristics in any particular job and allows jobs to be compared along each of the factors. The factors used in the JFRS are:

(a) Knowledge required of the position
(b) Supervisory Controls
(c) Guidelines
(d) Complexity
(e) Scope and Effect
(f) Personal contacts
(g) Purpose of Contacts
(h) Physical Demands
(i) Work Environment

1.06 - Using the Job Factor Ranking System, job classes are arranged hierarchically and career ladders are developed. Also, on the basis of this hierarchical ranking of classes, it is possible to link the Classification Plan to the Compensation Plan, which is discussed in Chapter III below.

SECTION 2 - General Operation of the Classification Plan

2.01 - The Classification Plan is maintained on a current basis. All maintenance to the Plan is based on a thorough job analysis of each proposed change. Each new or revised position is assigned to an appropriate class of positions, each class consisting of those offices or positions that have the same or reasonably similar duties and responsibilities. Written specifications are given to each newly created or revised class and include the title of the class; a general description of the duties and responsibilities of the offices and positions within the class; the minimum requirements of education, training, experience, licensing or certification; and any other qualifications necessary to hold a position within the class. A class may be comprised of a single position, but only if that position is judged to be unique

and a class unto itself.

2.02 - In addition to the qualifications specifically set forth the in the class description, it is understood that all positions will have characteristics necessary for satisfactory performance such as ability to understand and follow written and oral instructions, ability to get along with others, integrity, accuracy, dependability, industry, courtesy, reliability, good physical condition, and necessary occupational, medical and physical requirements.

2.03 - As far as practicable, the lines of promotion to and from each class are included in the Classification Plan. Individual class descriptions show the most likely promotional sequence, and the Personnel Department shall maintain a comprehensive career ladder and career lattice listing.

SECTION 3 - Definitions Used in the Classification Plan

3.01 BENCHMARK JOB - Job which is widely known, the duties of which have substantially the same general requirements including environment, physical and mental qualities and others. Benchmark or key job is used as the prototype for substantially similar jobs against which other jobs may be measured.

3.02 CAREER LADDER - A sequence of jobs which permits capable lower level employees to move to higher classes solely through demonstrated merit and fitness by eliminating unnecessary barriers in the form of non job-related qualification requirements in higher level classes and providing on-the-job experience at the lower levels which will meet minimum qualification requirements of higher level classes.

3.03 CAREER LATTICE - A sequence of jobs at the same grade level that will enable an employee to move onto a different career classification plan.

3.04 CLASS - A group of positions sufficiently similar as to the duties performed, degree of supervision exercised or received, minimum requirements of education, experience or skill, and such other characteristics, and that has the same title, the same tests of fitness, and the same schedule of compensation applied to each position in the group.

3.05 CLASS DESCRIPTION - Written description of a position or positions which have been allocated to a class within the Classification Plan.

3.06 CLASS SERIES - Two or more classes that have either a direct relationship in that the work is similar, but it is performed at different levels of skill and responsibility; or an indirect relationship in that line of work which can be grouped into a broad, general occupational grouping.

3.07 CLASSIFICATION PLAN - A compilation of all County class descriptions showing the relationship among all classes of work. It is developed and maintained on the basis of continuing study of the duties and responsibilities of all jobs in the County service.

3.08 COMPENSATION - Section of Personnel Department responsible for the development, revision and implementation of the Shelby County Personnel Classification System and Pay Policy.

3.09 DATE OF EMPLOYMENT - Date an employee enters County employment whether it is in the permanent, part-time, durational or temporary service. This date does not reflect time obtained from other agencies such as MLG&W, City of Memphis, etc. upon a direct transfer.

3.10 DESK AUDIT - Review of an existing position's duties and responsibilities to determine accuracy and/or update, normally on-site.

3.11 EMPLOYEE - An individual who is legally authorized to perform the duties and responsibilities of an assigned position and paid on the Shelby County payroll system.

3.12 FACTORS - These are aspects of a job such as nature of supervision received or given, guidelines available, etc. These dimensions of a job are used for purposes of evaluation.

Factors used by Compensation for Shelby County in evaluating jobs.

(a) Knowledge required of the position
(b) Supervisory Controls
(c) Guidelines
(d) Complexity
(e) Scope and Effect
(f) Personal contacts
(g) Purpose of Contacts
(h) Physical Demands
(i) Work Environment

3.13 GOING RATE CURVE - Salary paid to an individual who has reached average proficiency.

3.14 INCUMBENT - Individual currently filling a particular position.

3.15 JOB - Collection of tasks performed by a person.

3.16 JOB CLASS - Group of positions that are sufficiently similar with respect to duties and responsibilities which apply to the same job title, qualification requirements, test of fitness, pay range, and to treat alike for other personnel purposes.

3.17 JOB CLASS DESCRIPTIONS OR SPECIFICATIONS - (Volume III) - A written statement which identifies a collection of tasks that may be performed by more than one individual. Shall be deemed only as descriptive and explanatory of the kind of work, in general terms, required of positions in a "classification". Includes a job title, a job summary, a description of the duties and responsibilities, a listing of the knowledge, skills, abilities, and personal characteristics required of a new employee, and the minimum acceptable qualifications. Developed only by Compensation Specialist.

3.18 JOB EVALUATION - Process of determining the worth of job based on rates of pay and proper classification of the position.

3.19 "JOB FAMILY" OR OCCUPATIONAL GROUP - Represents the largest grouping of occupations (classes) that can be feasibly related for purposes of recruitment selection, transfer, promotion, and training. Also, fundamental category for the application of compensation policies.

3.20 KSAP's - Knowledge, Skills and Abilities which vary in a population of individuals.

Knowledge - an understanding of facts or principles related to a particular subject or subject area.

Skill - ability to perform psychomotor acts with ease and precision.

3.21 POSITION - Any combination of duties and responsibilities assigned by competent authority, to be performed by one person. A position may be full or part-time, temporary or permanent, filled or vacant. It is distinguished from an employee who may at one time be assigned to it.

3.22 POSITION CLASSIFICATION - System of analyzing positions as to different kinds and levels of work performed and then grouping similar positions together under common job titles.

3.23 POSITION OR TASK DESCRIPTION - A detailed written statement of a job's (position) duties and responsibilities, major to minor tasks performed in the job, and knowledge, skills, abilities and personal characteristics needed to perform the job (minimum essentials in new employees). Each department head should maintain a position description on file for each employee.

3.24 WHOLE JOB RATING METHOD - Non-quantitative approach to position classification. A common set of factors is selected for the positions to be covered by job evaluation. Key jobs or benchmark positions are identified and are currently ranked by certain factors. An individual position is evaluated by comparing it with the key jobs or benchmarks factor by factor. Method of assigning job worth in which rankings of total jobs are compared.

SECTION 4 - Revision of the Job Factor Ranking System

It shall be the responsibility of the Director of Personnel to review the Job Factor Ranking System periodically to ascertain whether it corresponds with existing working conditions, occupational hierarchy, and worker supply and demand found in the County. Proposed revisions shall be documented and submitted to the Chief Administrative Officer for review and approval, and thence forwarded to the Civil Service Merit Board for final approval.

SECTION 5 - Administration Of The Classification Plan

The Director of Personnel shall have the authority for the overall development and administration of the Classification Plan. In developing and maintaining the plan, independent elected officials, division and department heads, the Chief Administrative Officer, staff members, and other technical resources shall be consulted when deemed appropriate, and in accordance with the rules established in Section 6. The Director of Personnel shall maintain a master set of class specifications.

SECTION 6 - Revisions to the Classification Plan

6.01 - Whenever a new position is necessary and authorized, or the duties of an existing position are significantly and substantially changed on a permanent basis, the Director of Personnel shall be notified by the department head. The Director of Personnel shall investigate the request as necessary to determine if a new class specification is required, or if the new position or duties are consistent with a previously established class. If a new class is required, the provisions of Section 7 shall be utilized.

6.02 - No new class may be created, and no existing class or classes may be combined or abolished except by revision of the Classification Plan. Each such revision shall be noted and recorded in the minutes of the Civil Service Merit Board. Nothing in this section shall prevent the Director of Personnel, with approval of the Civil Service Merit Board, from revising the class specifications for existing classes in order to keep such specifications current and realistic.

6.03 - Additions and deletions to the Classification Plan shall be reviewed on an annual basis by the Director of Personnel. A report of analysis and recommendations will be submitted to the Chief Administrative Officer for review and approval, prior to submission to the Civil Service Merit Board. The purpose of the review shall be to determine if the plan accurately reflects existing job conditions, that class specifications accurately reflect the work being performed, occupational groupings, job conditions, levels of difficulty, hazard and responsibility, or the amount of supervision given and received.

SECTION 7 - Allocation of Positions

7.01 - Whenever a new position is necessary and authorized, or the duties of an existing position are significantly and substantially changed on a permanent basis, the department head shall notify the Director of Personnel. The Director of Personnel shall determine the proper class, certify in writing such allocation or reallocation to the department head and employee concerned, and make the necessary changes in the personnel records. However, if the position is to be assigned to a grade above grade 20, the Director of Personnel shall secure a recommendation from the Classification Committee and approval of the Civil Service Merit Board.

7.02 - On his/her own initiative, the Director of Personnel may at any time direct that job audits be made. In accordance with these rules, the Director of Personnel may reallocate positions whenever the facts warrant such action. No reallocation of any position shall be made under this rule until the department head and the employee holding the position shall have had a reasonable opportunity to be heard before the Civil Service Merit Board or the County Mayor acting through the Chief Administrative Officer. If reallocation is approved, the Director of Personnel shall certify in writing such reallocation to the department head and employee concerned, and make the necessary changes in the personnel records as may be required.

7.03 - When a position has been reallocated to a higher class because of additional duties and responsibilities or to correct classification errors and such reallocation has been approved by the Director of Personnel, the incumbent of the former position may be promoted to the higher class, provided funds are available, without examination and upon request of the department head. However, it must be shown to the satisfaction of the Director of Personnel, subject to the approval of the Chief Administrative Officer, that the person for whom promotion is requested is capable and has fully performed and assumed the responsibilities and duties of the position. If the position cannot be filled because the incumbent in the former position lacks the required skills and ability, the position shall be declared vacant and shall be filled in accordance with established rules and procedures. The incumbent in the former position shall be placed in a new position in accordance with established rules and procedures.

7.04 - A non-probationary employee whose position is allocated to a lower class shall be given status in the lower class without examination. Effort may be made by the Director of Personnel upon request of the employee, to transfer the employee to another position in the County service which will support the higher classification and level. However, in such a transfer, the employee must meet the minimum qualifications for the new position and such a transfer must be approved by the head of the department to which the transfer is contemplated.

SECTION 8 - Request for Review of Position Allocation

Elected officials, department or division heads shall have the right to request and obtain a partial or comprehensive review by the Director of Personnel of the position allocations for the division or department. Employees may also request a review of their position allocation if they submit their request through their department head.

SECTION 9 - Abolition of Positions

Whenever an existing position is abolished, the department head shall notify the Director of Personnel in writing. Whenever an existing single-incumbent position is reallocated to a different class, a new position shall be deemed to have been created in lieu of the one previously existing, and the latter shall be considered to have been abolished.

SECTION 10 - Classification Committee

10.1 - The County Mayor shall nominate five County employees and one alternate to serve on the Classification Committee. Appointments shall be approved by the Civil Service Merit Board and be made on a calendar year basis. Employees may serve for up to three consecutive years. The Committee shall select a chairman.

10.2 - The Classification Committee operates as a arm of the Civil Service Merit Board to review and make recommendations to the Board on changes of the job class master (including establishment of a class title, elimination of a title, changing a salary grade). This Committee also reviews reclassifications and establishment of new positions above grade 20. Additionally, its members, operating in three (3) person appeal panels, hear appeals of reclassifications of positions below grade 21 and bargaining unit positions and make final decisions concerning these cases.

10.3 - Establishment or reclassification of positions above grade 20. No such position shall be established or reclassified without a recommendation from the Classification Committee and approval of the Civil Service Merit Board (See Section 11.2 - 11.4).

SECTION 11 - Establishment and Reclassification of Positions

11.1 - Establishment of new positions below grade 21 and Bargaining Unit Positions. The following process will be used:

(a) Request to Director of Personnel by Department Head to establish position.
(b) Submission by department of position questionnaire documenting duties and responsibilities of the position.
(c) Review and recommendation by Compensation on classification and grade of the new position.
(d) Approval of the Director of Personnel and Elected Official or his designee.

11.2 - Establishment of new position above grade 20. The following process will be used:

(a) Request to Director of Personnel by Department Head to establish position.
(b) Submission by department of position questionnaire documenting duties and responsibilities of the position.
(c) Review and recommendation by Compensation on classification and grade of the new position.
(d) Approval of the Director of Personnel and Elected Official or his designee.
(e) Review and recommendation by Classification Committee and approval by Civil Service Merit Board.

11.3 - Reclassification of positions below grade 21 and Bargaining Unit Positions. The following process will be used:

(a) Request to Director of Personnel by Department Head to establish position.
(b) Submission by department of position questionnaire documenting duties and responsibilities of the position.
(c) Review and recommendation by Compensation on classification and grade of the new position.
(d) Approval of the Director of Personnel and Elected Official or his designee.

11.4 - Reclassification of position above grade 20. The following process will be used:

(a) Request to Director of Personnel by Department Head to establish position.
(b) Submission by department of position questionnaire documenting duties and responsibilities of the position.
(c) Review and recommendation by Compensation on classification and grade of the new position.
(d) Approval of the Director of Personnel and Elected Official or his designee.
(e) Review and recommendation by Classification Committee and approval by Civil Service Merit Board.

11.5 - Appeal of reclassification decisions on positions below grade 21 and Bargaining Unit positions. A three- (3) member panel composed of Classification Committee members will hear the appeal. The three-member panel shall decide the matter by majority vote.

SECTION 12 - Interpretation of Class Specifications

Class specifications shall be interpreted in their entirety and in relation to other classes in the Classification Plan. Particular phrases or typical duties will not be isolated and treated as full definitions of a class. Specifications shall be deemed only as descriptive and explanatory of the kind of work required in positions in the several classes, but not necessarily inclusive of the duties to be performed.

SECTION 13 - Interpretation of the Classification Plan and Job Factor Ranking System

The Director of Personnel, subject to the approval of the County Mayor, is authorized to make any necessary administrative interpretations concerning the Classification Plan and the Job Factor Ranking System not inconsistent with these rules or with any other personnel related law.

SECTION 14 - Position Descriptions

14.1 - Each department head will be responsible for assuring that a position description is developed and maintained for each employee. The description will be complete in a format approved by the Director of Personnel.

14.2 - It shall be the duty of each department head to submit a modified position description form immediately whenever there is a significant and substantial change in the duties assigned to the incumbent of any position or whenever a new position is authorized. However, when such assignments in an existing position are of a temporary nature and are not expected to continue beyond 90 days, no revised statement of duties need be submitted. The statement of job duties and responsibilities on file with the Personnel Department shall be the basis for a classification analysis of the position.

SECTION 15 - Detail of Employees

If an employee is temporarily assigned to perform the duties of another position for a period in excess of 90 days, the department head must notify the Director of Personnel in writing designating the date the detail was initiated, the title of the position to which the employee is detailed, and the projected ending date of the detail. No details may exceed 6 months. The employee must either be reassigned to the original position or the new duties must be classified.

III. INTRODUCTION - SHELBY COUNTY COMPENSATION PLAN

SECTION 1 - Introduction and General Operation of Pay Plan

1.01 - The key to the success of any pay plan is that it is equitable to all employees and provides them with the means to satisfy some or most of their needs, and provides them with a feeling that they are being fairly rewarded for the services they render. Even with a sound method of determining compensation, however, distortions may occur. These are often caused by unionization, by shortages of critically needed skills, and by supplements paid to County employees by other levels of government over which the County has no control.

1.02 - In order to gauge the local labor market and establish the range of salaries to be

included in Shelby County's Compensation Plan, wage and salary surveys are used for "bench mark" positions. Agencies in the Mid-South -- including both public and private agencies -- participate in the surveys. The results of these surveys are analyzed and provide the basis for the two compensation schedules.

1.03 - The Basic Salary Schedule includes 21 pay grades. The Job Factor Ranking System is used to relate the several job classes in the Classification Plan to the 31 total pay grades to the two salary schedules. The "factors" which help establish the job classes, hierarchically arrange the classes, and determined the pay grades for each class are as follows:

(a) Knowledge required of the position
(b) Supervisory Controls
(c) Guidelines
(d) Complexity
(e) Scope and Effect
(f) Personnel Contacts
(g) Purpose of Contacts
(h) Physical Demands
(i) Work Environment

SECTION 2 - Definitions Used in the Compensation Plan

2.01 COMPENSATION PLAN - A detailed statement of pay philosophy, policies and salary schedules which is correlated to the Classification Plan. Is updated annually and approved by the Civil Service Merit Board and the County Commission in conjunction with approval of the County Budget.

2.02 COMPENSATION SCHEDULE - A chart showing all of the pay grades and pay steps which are included in the Compensation Plan.

2.03 DEMOTION - A reduction in pay, class, position or status.

2.04 EMPLOYEE PERFORMANCE EVALUATION - An evaluation of the employee's performance of the duties and responsibility of his/her position.

2.05 GENERAL ADJUSTMENT - The amount of annual increase approved by the Shelby County Commission at the beginning of the fiscal year that is applied to the pay schedules.

2.06 JOB WORTH RATE - The step designated on the pay schedule that represents the market value of a job relative to the compensation system of Shelby County Government.

2.07 PAY GRADE - A numerical level in the Compensation Schedule based on the distinctions made using the Job Factor Ranking System and which indicates the relative worth of positions in the Classification Plan.

2.08 PAY STEP - A pay increment within a grade that may be used for either merit or competency increases.

2.09 PROMOTION - A change in status from a lower grade to a higher grade.

2.10 RED CIRCLE RATE - A rate of pay received by an incumbent of a position which is higher than the maximum rate of pay established for the grade in which the position is classified.

2.11 STEP INCREASE - A pay step increase within an established grade granted to the employee who is at least competent and has this rating documented on the Employee Performance Evaluation Form.

2.12 SPECIAL SURVEY SCHEDULES - A salary plan identifying job classes that have been determined to be "special" in nature. Examples of the criteria used placing jobs in a special salary schedule are as follows:

a. Bargaining Units - Salaries are negotiated and approved by a memorandum of understanding
b. Market Pricing - Salaries established for jobs that have been deemed critical (in short supply), must be closer to area salary rates for recruiting and retaining employees.

2.13 WAGE AND SALARY ADMINISTRATION - Systematic employee payment based on classification of job worth.

2.14 WAGE AND SALARY SURVEY - A method of comparing rates of pay on key jobs in other companies in the community with confidence that the jobs under survey are actually comparable jobs.

2.15 WAGE RANGE - Salary range for specific grade and/or class of employees.

SECTION 3 - General Regulations

3.01 - Each employee in the classified service shall be paid at one of the rates set forth in the Compensation Plan for the grade or class of position in which he/she is employed, except for red circle rates or in accordance with the provisions of Section 5.

3.02 - All positions in the classified service involving comparable duties, responsibilities, experience and level of difficulty shall be paid comparable salaries in accordance with the relative market value of the services to be performed.

3.03 - The pay grade for each class shall have at least eight steps to provide for pay adjustments within the pay grade, except for classes having flat or fixed salaries or wage rates.

3.04 - The Director of Personnel may recommend to the Civil Service Merit Board flat or fixed salaries and wage rates for special classifications where provisions for step increases and competency increases are deemed to be inadvisable.

3.05 - The County Mayor may recommend increasing or decreasing rates of pay for any or all classes in the classified service. Such increases or decreases in pay shall apply to all employees in the classifications so affected, including incumbent employees and new employees, subject to the approval of the recommendations by the Civil Service Merit Board and the County Commission subject to the provisions of Tennessee State Law and the provisions of the Civil Service Merit System.

3.06 - The Compensation Plan shall be reviewed at least once annually and comparisons made with current rates for like positions in the Memphis area to determine if changes in the Plan are required to insure retention of the present personnel and the ability to attract qualified applicants.

3.07 - No classified employee shall be promoted to a higher classification unless there is a position vacant or becoming vacant in the classification to which promotion is sought or unless a new position in said classification is authorized and approved by the Chief Administrative Officer or elected official and the employee's unit has funds available to meet the increase.

3.09 - In the event an employee has reached the maximum salary of the grade at which the position has been classified, the position shall not be classified to a higher grade simply as an expedient for providing higher compensation. Reallocation shall occur only in accordance with the applicable rules of the Classification Plan.

3.10 - Part-time employees shall be compensated on a proportional or hourly basis for the time actually worked.

SECTION 4 - New Appointments

New appointments, including appointments of former employees, shall normally be made at the minimum rate (Step A) of the pay grade. After six (6) months in Step A (and with a documented evaluation of competent or better), the employee shall be advanced to Step B if recommended by the department head and after six (6) months in Step B (and with a documented evaluation of competent or better), the employee shall be advanced to Step C with the approval of the department head. However, appointments may be made above the minimum rate under special conditions when such action is determined to be in the best

interest of the County. A department desiring to start a new employee or former employee in Steps B, C, or D, may make a written request, describing special circumstances and advantages which will accrue to his/her department and to the County. The Director of Personnel will review the request and make a written recommendation to the Chief Administrative Officer within ten working days.

SECTION 5 - Effect of Reallocation of Position on Compensation of Incumbent

5.01 - When a position is reallocated to a higher grade, the provisions of Section 6 shall apply in determining the compensation of the incumbent of said position.

5.02 - When a position is reallocated to a lower grade, an employee shall be retained at the existing rate of compensation provided budget funds are available in the new position. However, such an employee shall not be eligible for any subsequent raises while the pay is at or above the maximum step for the lower grade.

5.03 - In a situation where a position is reallocated to a higher grade, and within a year after such reallocation, a job audit is made and it is determined that the incumbent of the reallocated position is not performing the duties of the higher class and grade for which the reclassification was originally allowed, then the employee's salary shall be reduced to the salary grade and step paid immediately prior to the original reallocation action.

SECTION 6 - Compensation for Promotions

6.01 - When an employee is promoted to a class with a higher pay grade, the entrance rate shall be at the lowest step in the higher grade that will provide an increase at least equivalent to a two (2) step differential at the higher grade (which is approximately 5.0 percent), but in no case lower than Step B. The Division Director or appointing authority may recommend an additional one step increase with justification. In the event that the employee is salaried at the B step, the employee may move to C step after six (6) months in the new position, if given a good performance review. However, in the event that the promotional salary adjustment places the employee on C step or beyond, they are not eligible for a probationary step increase at the end of three (3) months or six (6) months.

6.02 - Exceptions may be employees on Special Salary Schedules, in Bargaining Units, and/or on grant funds.

SECTION 7 - Demotions

7.01 <u>INVOLUNTARY DEMOTION</u> - Involves the involuntary reduction of an employee's pay, class, position or status in the same or in another department. If more than one department is involved, the concurrence of both the losing and gaining authorities is required. An employee may be demoted without a reduction in salary, subject to the approval of the appointing authority with the concurrence of the Personnel Administrator, if his/her

salary rate is within the range of the lower grade. If a salary reduction is required, the salary shall be reduced by at least two (2) steps, but in no case shall the salary exceed the maximum rate paid in the new classification. This amount must approved by the appointing authority and the Personnel Director.

7.02 VOLUNTARY DEMOTION - Involves the voluntary movement of an employee from a position in one class to a position in another class having a lower pay grade in the same or in another department. If more than one department in involved, the concurrence of both the losing and gaining appointing authorities is required. Any employee who chooses to demote shall be subject to a reduction in salary. Such reduction shall be determined by the receiving department and/or appointing authority and the Personnel

Director, but in no event shall be less than two (2) steps, which is approximately five (5) percent unless this falls below B step of the new grade. The salary reduction in no event will fall below the "B" step of the new grade.

7.03 - Exceptions may be employees on Special Salary Schedules and in Bargaining Units.

SECTION 8 - Probationary Employees

A new County employee who is serving a probationary period in Step A shall be advanced to Step B effective the first day of the pay period following the successful completion of the probationary period.

SECTION 9 - Step Increases Within a Pay Grade

9.01 - A performance pay increase of one or two step may be given to employees in recognition of exceptional work performance. The one or two step increase may be granted on a temporary or permanent basis provided that the employee has not reached the highest step of the grade. Such increases may be granted only when recommended in writing by the department head and documented by a Employee Performance Evaluation, to the Director of Personnel who shall make a recommendation to the Chief Administrative Officer and/or the Elected Official. The Elected Official may approve the performance pay increment if funds are available.

9.02 - No merit increase shall be granted above the maximum rate prescribed for the pay grade in the Compensation Plan.

SECTION 10 - Starting Rate on Return to Duty

10.01 - When an employee returns to duty in the same position or classification after a separation of not more than one year from the County Service and the separation was not due to cause, such employee may receive the current rate of pay for the grade and step served in at the of separation. The employee shall serve in this grade and step for at least such a period as is normally required for advancement to the next higher step or grade.

10.02 - Any employee who leaves or has left the County's employment to enter active duty with the Armed Forces of the United States, and who subsequently is reinstated to a position or class previously held, may be hired at the step to which the employee would have been entitled had County service not been interrupted by service in the Armed Forces.

SECTION 11 - Executive and Professional Compensation

The Elected Official shall establish the level of compensation paid to persons in executive and professional positions in accordance with budgetary limitations and County policy. Salaries of personnel under the Executive Salary Schedule shall be reviewed annually.

SECTION 12 - Interpretation of the Compensation Plan

The Director of Personnel, subject to the approval of the County Mayor, is authorized to make any necessary administrative interpretation concerning the Compensation Plan not inconsistent with these rules or with any existing personnel law.

SECTION 13 - Appeal of Pay Issues or Questions

These matters will be reviewed and decided through the basic process set out in the Administrative Grievance Procedure as outlined in Volume II of the Personnel Management System and the Employee Handbook. The first step of this process will start with a review and recommendation of the Department Administrator. The second step requires a review and recommendation by the Administrator of Personnel and the third step is the approval of the Elected Official or his/her designee. All three steps are necessary to resolve any pay issue.

THE PAY AND CLASSIFICATION SYSTEM

Pay and Classification issues are some of the most difficult to deal with as a supervisor because normally you have little control over these issues.

The one thing you can do as a supervisor that would help when these issues arise is to know how the pay and classification system of Shelby County works, so that you can forthrightly answer questions your employees have about these matters.

THE SHELBY COUNTY PAY SYSTEM

The pay system of Shelby County Government is updated every year (during the budget process) in the form of Salary Policy as approved by the Civil Service Merit Board and the County Commission.

The pay system consists of several pay scales with grades and steps and a set of policies that govern how pay is set. There are 21 grades (4-24) and steps A through P on the regular pay schedule. The executive pay schedule has ten grades (51-60) and steps A through P. Each classification is put on a grade on one of these scales and is paid within the pay range for that grade.

You, as a supervisor, should be generally familiar with the guidelines of pay policy so that you can answer basic questions that are asked by the employees you supervise. Each department has a copy of current salary policy that should be available to Supervisors for review.

SHELBY COUNTY CLASSIFICATION PLAN

A well-constructed classification plan is the foundation of a dynamic personnel system that is responsive to the needs of line organizations. The classification plan is crucial for proper budgeting; for developing training programs and career progression ladders, and career lattices; for assessing manpower needs; for evaluating job performance; and for establishing recruiting standards.

The development of a sound classification plan is directly dependent upon a thorough analysis of the activities performed by individuals employed in the County service. The purpose of such a position evaluation study is to identify and determine the value to the County of those elements in a particular job which differentiate it from other jobs. Only the job is evaluated in such a study; not the person holding the job. Further, position evaluation seeks to determine the minimum qualifications necessary for an individual to be able to satisfactorily perform the duties of the position.

Position Evaluation is accomplished by using a "position classification questionnaire". Prior to the distribution of the instrument, Compensation discusses the objectives of the study and the purpose of the questionnaire with the various department and agency heads, and independent elected officials or their designated representatives. After review and approval by the employee's supervisor and department head, the questionnaire is returned to Compensation. A detailed analysis and study of the position is then made, using the questionnaire as the primary source of information, a written study and recommendation is then completed and submitted to the appropriate authority for final approval.

A second major part of a classification plan is to group positions that contain similar duties and responsibilities and which require similar qualifications, knowledge, skills and abilities into a "class". The creation of classes enables a general class description to be written and uniform testing and job posting procedures to be developed. Positions that fall in one class should be similar in characteristics in employee type regardless of the differences in organizational type.

A major tool in the Classification System is the Job Factor Ranking System (JFRS). This is a method of analysis which allows the isolation of a number of "factors" or characteristics in any particular job and the allows jobs to be compared along each of the factors. The factors used in the JFRS are:

(a) Knowledge required of the position
(b) Supervisory Controls
(c) Guidelines
(d) Complexity
(e) Scope and Effect
(f) Personal contacts
(g) Purpose of Contacts
(h) Physical Demands
(i) Work Environment

Using the Job Factor Ranking System, job classes are arranged hierarchically and career ladders are developed. Also, on the basis of this hierarchical ranking of classes, it is possible to link the Classification Plan to the Compensation Plan.

THE ADMINISTRATIVE GRIEVANCE PROCESS

The Administrative Grievance Process of Shelby County Government (as outlined on page 46 of the Employee Handbook) may be used by any employee to grieve any action or condition of employment that affects their employment status or working conditions.

It is important as a supervisor, that you allow open and free discussion between you and the employees you supervise, concerning complaints and work conditions. Open communication usually resolves job problems early and many times avoids formal grievances from being filed.

In the event that a formal grievance is filed by one of your employees, it is your responsibility to see that it is handled properly by doing the following things:

1. Take all grievances seriously, even though the issue might be trivial to you, it can be very important to the employee.

2. Be prepared to answer all grievances promptly and within the time limits allowed within policy.

3. Get all the facts before answering the grievance. Many times understanding all aspects of the issue helps to resolve it in a more equitable way.

4. Talk with the employee about the issue so you are sure you understand the issue and always explain your decision in person so that you are sure you are understood.

5. Follow-up on the grievance in the future to make sure all commitments to take action are carried out. Also check to see if the employee's dissatisfaction still exists.

The employee grievance process is a very important means of employees letting management know when they have a problem and allowing management to address it directly before it becomes a major issue. All employee grievances should be addressed informally through good communication on a regular basis with the employees but if an employee files a formal grievance, it should be taken seriously and processed expeditiously.