Chapter 11a
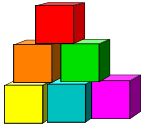
M/C NS Performance Advance Plans

Chapter Topics

M/C NS Performance Advance Plans Process

Performance Advance Plans are required for certain M/C employees in Non-Statutory (NS) positions before they can receive a performance advance. All filled M/C NS positions that are not equated to a grade and all filled M-8 positions are required to be on the Performance Advance Plan. This includes filled positions with and without salary ranges. There is no longer a requirement to list vacant positions on these plans.
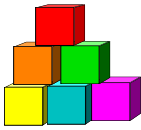
Agencies can initiate Performance Advance Plan transactions in NYSTEP and submit them to the Division of the Budget (DOB) for approval. DOB staff can review and approve the plans in NYSTEP. Once a plan has been DOB approved in NYSTEP, Position Summary data will be updated to reflect the newly approved rates. In addition, Office of the State Comptroller (OSC) staff can view the approved plans when making determinations on related PayServ transactions.

For more information about the performance advance process in general, please see:

- Budget Policy and Reporting Manual Item D-250 Appointments and Salary Increases for Exempt Class, Non-Competitive NS and M-8 Positions;
- Budget Policy and Reporting Manual Item D-280 Performance Advances and Merit Awards for Managerial or Confidential (M/C) Employees; and
- Any relevant Budget Bulletins.

NOTE: Only those users with access to NYSTEP BDAs will be able to access Performance Advance Plans in NYSTEP.

Initiating a Performance Advance Plan

Performance Advance Plans **should not be initiated until** DOB has released a Budget Bulletin with instructions for the payment of performance advances for the fiscal year **and** any General Salary Increases (GSI) have been paid.

1. Click on the **NY Title and Position Mgmt > TPM Mass Change > Use> Initiate Perf Adv for M/C NS** links.
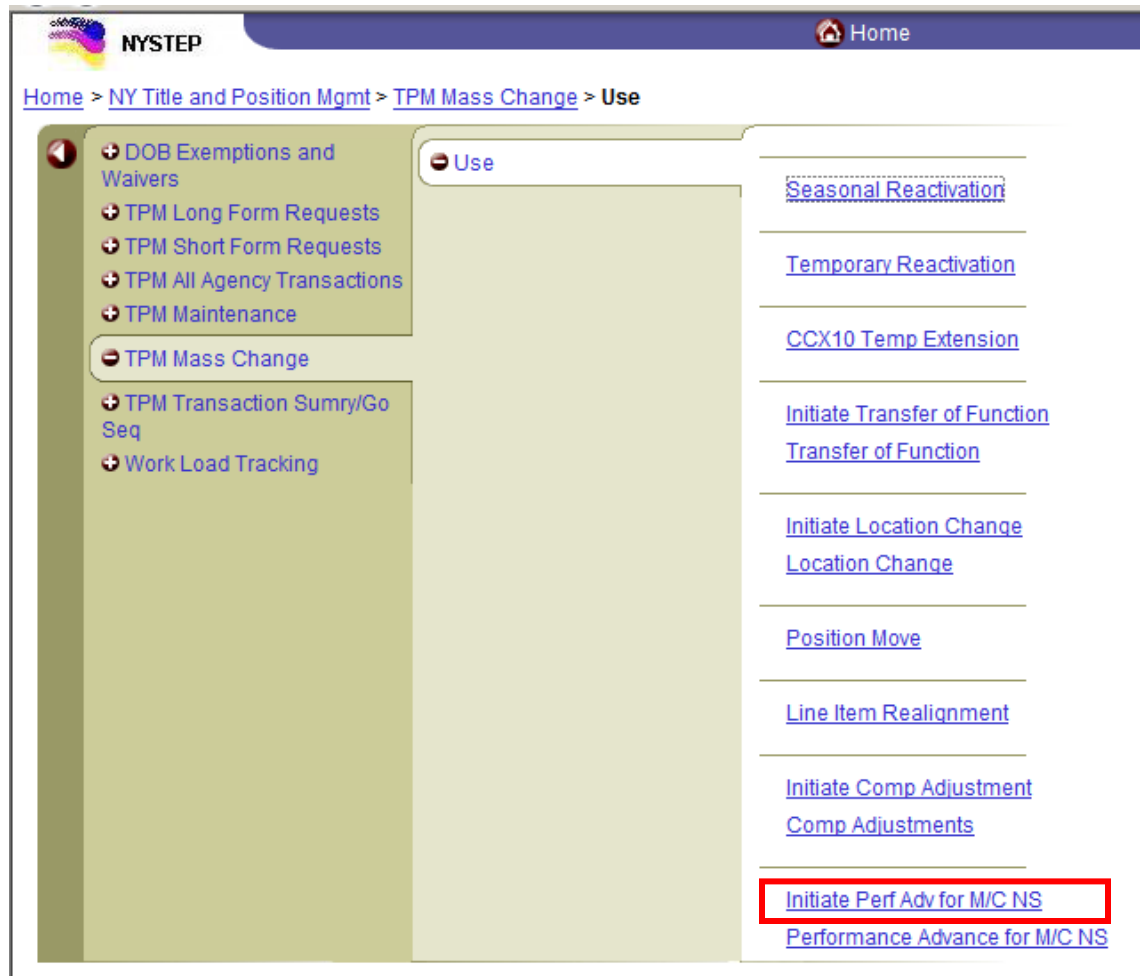
2. Enter the 5-digit NYSTEP agency code in the **Agency** box.
3. Click on the **Add** button.

4. Enter the effective date indicated in the Budget Bulletin in the **Effective Date** box. The Budget Bulletin that authorizes payment of performance advances will contain information on effective dates for payments. There will be two different effective dates – one for Administrative payroll cycle agencies and one for Institutional payroll cycle agencies.

5. Click on the **Initiate this M/C NS Performance Advance** button.

6. The plan has now been initiated and will be available at the start of the next business day. Click on the **OK** button.
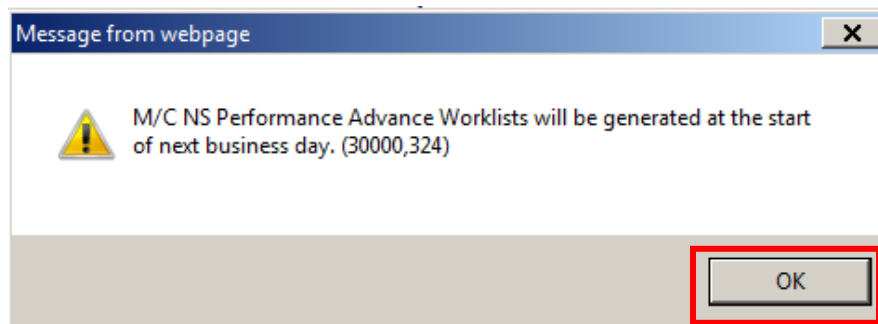
7. For agencies with multiple agency codes (i.e., facilities), a plan should be initiated for each agency code. You can click on the **Add** button from the Initiation screen to start the initiation process for another agency code.
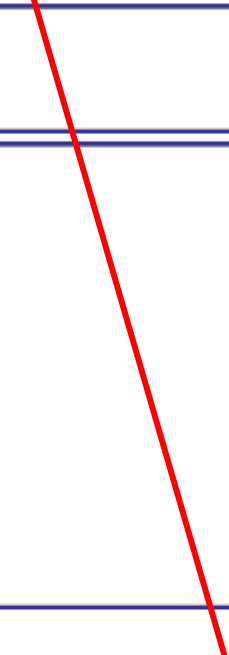
User: User,Agency

Agency: 11111   State Agency

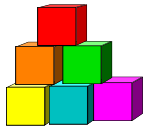Effective Date: 04/07/2016

Initiate this M/C NS Performance Advance

Add

Working with a Performance Advance Plan

Accessing the Page

1. Click on the **NY Title and Position Mgmt > TPM Mass Change > Use> Performance Advance for M/C NS** links.

2. Enter the tracking number or agency code and then click on the **Search** button.

3. If there is only one transaction, the transaction will now open and appear on the screen. If there is more than one transaction, click on the link for the transaction you want to open.

Verifying Information

The NYSTEP M/C Performance Advance Plans use both NYSTEP and PayServ data to identify positions, incumbents, rate frequencies, salaries as of the plan's effective date and salary ranges.

The plans are designed to include all filled M/C NS positions that are not equated to a grade and filled M-8 positions as of the effective date of the plan.

Agencies should verify that:

- All of the correct positions and incumbents have been included on the plan.
- The **Rate Frequency** matches Position Summary Data as of the plan's effective date.
- The incumbent's **Current Salary**, and any **Hiring Rate** and **Job Rate** amounts are correct.
- **Salary Range** amounts are accurate.

| | | Home | | Worklist | | Reports | | Help | | Sign Out |

Agency: 11111 State Agency 1	**Type:** PerfAdv	**Tracking #:** 1718-90123

Mark All? Total Marked: 0   Original Roster   Approve   XLS File   Effective Date: 04/06/2017   Sort: Off
Sort: Field 1: ___ Field 2: ___ Field 3: ___   Query: Off

Quick Query

Mark	Rate Freq	Rate	Title	Current Salary	Filter	Refresh
☐		🔍			Filter	Refresh

Find | View All   First ◀ 1-10 of 10 ▶ Last   Roster created with NYSTEP data as of 04/06/2017

	Mark	Name	Line No	Rate Freq	Last Max Approved	Title	JC	Position #	GSI Applied	Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Comments
1	☐	Name,Employee4	00003	A	$60,694	Title 3	2	88888883	Yes ▾	$57,901	$49,889	$61,908	$12,019	$0	$57,901	▾	▾	
2		Name,Employee9	00004	A	$114,232	Title 4	2	88888884	No ▾	$116,517				$0	$116,517		No	
3	☐	Name,Employee10	00005	A	$108,265	Title 4	2	88888885	No ▾	$107,974	$85,690	$108,265	$22,575	$0	$107,974	▾	No ▾	
4		Name,Employee3	00006	N	$75,000	Title 1	6	88888886	Yes ▾	$61,200				$0	$61,200		No	
5		Name,Employee1	00007	N	$75,000	Title 1	6	88888887	Yes ▾	$74,220				$0	$74,220		No	
6		Name,Employee5	00008	A	$90,155	Title 6	2	88888888	Yes ▾	$91,958				$0	$91,958		No	
7		Name,Employee6	00009	A	$79,431	Title 7	2	88888889	Yes ▾	$81,020				$0	$81,020		No	
8	☐	Name,Employee8	00010	A	$155,083	Title 9	1	88888810	No ▾	$149,401	$129,249	$155,083	$25,834	$0	$149,401	▾	▾	
9	☐	Name,Employee7	00011	A	$155,083	Title 8	1	88888811	No ▾	$158,185	$131,835	$155,083	$23,248	$0	$158,185	▾	No ▾	
10		Name,Employee2	00012	N	$75,000	Title 1	6	88888812	Yes ▾	$71,400				$0	$71,400		No	

Agency: _____   **Division of Budget:** _____   _____

The incumbent's current salary should include any General Salary Increases (GSI) as of the effective date of the plan. If a GSI was paid at the beginning of the fiscal year or after the last plans were approved, salary ranges will automatically be increased by the GSI percentage for incumbents.

If a GSI was automatically applied to a salary range, the GSI Applied Box will default to Yes. If a GSI was:

- Withheld or the incumbent did not receive a GSI and the Current Salary is _correct_, click on the down arrow in the **GSI Applied** box and change the indicator to **No**.

- Withheld or the incumbent did not receive a GSI and the Current Salary is _incorrect_, click on the down arrow in the **GSI Applied** box and change the indicator to **No**, and contact your Budget Examiner to have the salary corrected.

The **Hiring Rate** and **Job Rate** will automatically be adjusted on the plan to include the GSI if **Yes** is selected in the **GSI Applied** column.

If any **Current Salary**, **Rate Frequency**, **Hiring Rate** or **Job Rate** amounts are incorrect, contact your Budget Examiner. Please include BDA or compensation adjustment information that shows the correct salary, rate frequency or hiring and job rates.

The **Salary Range** is automatically calculated by NYSTEP and should be equal to the **Job Rate** minus the **Hiring Rate**. Any problems with the range amounts should be reported to your Budget Examiner.

Making Recommendations

To be advance eligible, an employee has to have a salary range, be below the Job Rate, and have served at least 13 pay periods in a qualifying position prior to the effective date of the plan. (Employees who have a salary range, but are below the Hiring Rate, are not eligible for an advance.)

For advance eligible employees:

1. Click on the down arrow next to the **Served at least 13 PPs** box for the incumbent and select **Yes**.

eated with NYSTEP data as of 04/06/2017

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Comments
$57,901	$49,889	$61,908	$12,019	$2,003	$57,901	Yes		

2. Click on the down arrow next to the **Advance Eligible** box for the incumbent and select **Yes or Partial**.

eated with NYSTEP data as of 04/06/2017

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Comments
$57,901	$49,889	$61,908	$12,019	$2,003	$57,901	Yes		
$116,517				·	$0	$116,517	No / Partial / Withheld	
$107,974	$85,690	$108,265	$22,575	$0	$107,974		Yes	

3. NYSTEP will now calculate the **Proposed Advance** and the **Requested Salary** will be updated to include the advance.

eated with NYSTEP data as of 04/06/2017

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Comments
$57,901	$49,889	$61,908	$12,019	$2,003	$59,904	Yes	Yes	

When NYSTEP calculates the advance amount (one-sixth of the salary range and not to exceed the job rate) and applies it to the current salary, if the **Requested Salary** is higher than the **Job Rate**, the **Requested Salary** will be capped at the **Job Rate**. The **Advance Eligible** box will automatically be changed to **Partial** and the **Proposed Advance** will reflect the partial advance amount.

For employees who are not advance eligible:

1. Click on the down arrow next to the **Served at least 13 PPs** box for the incumbent and select **Yes** if the incumbent served more than 13 pay periods in a qualifying position prior to the plan's effective date or **No** if he/she has not.
2. Click on the down arrow next to the **Advance Eligible** box for the incumbent and select **No** if he/she is not advance eligible or **Withheld** if the advance is withheld.

reated with NYSTEP data as of 04/06/2017

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Co
$57,901	$49,889	$61,908	$12,019	$0	$57,901	No ▾	No	
$116,517				$0	$116,517		Partial / Withheld	
$107,974	$85,690	$108,265	$22,575	$0	$107,974	▾	Yes	

3. For all employees, type any necessary comments in the **Comments** box.

reated with NYSTEP data as of 04/06/2017

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	Comments
$57,901	$49,889	$61,908	$12,019	$2,003	$59,904	Yes ▾	Yes ▾	
$116,517				$0	$116,517		No	Position has no range
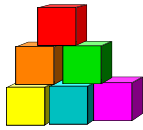
Submitting a Performance Advance Plan

Before a plan is submitted for DOB review, agencies should obtain any necessary internal approvals. Also, all rows for employees who have a range and may be advance eligible must be worked before the plan can be submitted.

To submit a plan to DOB for review and approval:

1. Ensure all rows are worked and all information is accurate.
2. Click on the **Approve** button.

3. Click on the **Yes** button when the approve this request message appears.

The Approval Process and Approved Plans

Once a plan has been approved by DOB, Position Summary Data will be updated for positions receiving an advance. Rate information will be updated with the Job Rate for the approved position. A worklist item will be sent to the Agency Requestor indicating the plan has been approved.

OSC staff will be able to review DOB approved plans in NYSTEP and can use the information for making determinations about PayServ transactions.

Approved Plan

Current Salary	Hiring Rate	Job Rate	Salary Range	Proposed Advance	Requested Salary	Served at least 13 PPs	Advance Eligible	DOB Action
$57,901	$49,889	$61,908	$12,019	$2,003	$59,904	Yes	Yes	Approve

Position Summary Data

Home > NY Title and Position Mgmt > DOB Exemptions and Waivers > Inquire > **Position Summary**

Position Summary \ Position Summary Grid \ Position Fund \ Position Fund Grid

Position #:   88888883

View All   First ◁ 1-3 of 5 ▷ Last

Eff Dt / Seq Action Dt Reason Tracking / Seq #	Agency Code / Line # / Status Agency Title Title Code	JC / SG / NU Location 55 Tag Freq / Rate	Pos Estab Pos Ends Phi Tag	% Use Pos Type CSC Exr	Frozen / Waiver / End Dt CC Earmark / Date DOB Earmark / Date CSC Earmark / Date
04/06/2017 0 05/05/2017 NSA 1718-90123 0	11111 10007 Active State Agency 1 Title 3 1111113	2 / NS / 06 0110 Albany A $61908	12/03/2009	100 Permanent N	N N CC: DOB: CSC: