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## Contents: Compensation

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

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<a href="#">1. Annual Salary Review</a>	<ul style="list-style-type: none"> <li>• Develop and submit Salary Increase Fund (SIF) proposal for approval.</li> <li>• Prepare and distribute review materials.</li> <li>• Develop and submit review recommendations.</li> <li>• Review and approve recommendations.</li> <li>• Prepare and distribute Employee Information Records.</li> </ul>
<a href="#">2. Weekly Progression Increases</a>	<ul style="list-style-type: none"> <li>• Distribute report of eligible employees.</li> <li>• Review and approve documentation.</li> <li>• Prepare and distribute Employee Information Records.</li> </ul>
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[Request for Change in Employee Status](#)

## Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area contains the following reporting obligations:

- To the Contracting Officer for compliance with Appendix A, Section 3-A-1. Salaries and Wages, of the DOE/BSA Contract.
- To the Contracting Officer for compliance with Appendix A, Section 3-I. Bargaining Unit Employees, of the DOE/BSA Contract.

## References

Appendix A, Section 3-A-1. Salaries and Wages, DOE/BSA Contract

Appendix A, Section 3-I. Bargaining Unit Employees, DOE/BSA Contract

[Performance Appraisals](#) Subject Area

[Salary and Wage Ranges and Job Descriptions, Human Resources & Occupational Medicine Division, Compensation Group](#) website

## Standards of Performance

The Laboratory recognizes performance excellence with individual and organizational rewards based on performance.

Managers shall support our ability to deliver innovative scientific and technological research products and analysis by the following:

- Offering flexible and competitive compensation and benefits programs that encourage achieving organizational goals by hiring and maintaining qualified staff; and
- Dealing with all staff fairly and consistently.

## Management System

This subject area belongs to the **Human Resources** management system.

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## Introduction: Compensation

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

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This subject area provides Laboratory-wide procedures for compensation administration. Brookhaven National Laboratory's compensation administration program is aimed at achieving the following program objectives (see the exhibits [Determination of Rates](#) and [Salary and Wage Structure](#)):

- To maintain pay levels that are competitive with those of similar organizations and other relevant job markets.
- To pay distinguished performers rates that are higher than average market levels.
- To ensure fair and consistent salary treatment among employees.
- To attract, motivate, and develop the highly competent employees necessary to achieve the Laboratory's goals.
- To ensure that compensation decisions are made without regard to race, color, religion, age, gender, national origin, sexual orientation, disability, or veteran status.

The compensation administration program is administered by the Human Resources & Occupational Medicine (HR&OM) Division, which annually publishes updated salary and wage information for distribution to all employees and conducts a review of individual pay rates at least once each year. Salary ranges, salary budgets, and certain salary actions must be submitted by the Laboratory for Department of Energy approval before implementation (see the exhibit [Human Resource Action Approvals](#)).

Appendix A of the DOE/BSA Contract sets forth the principle personnel policies and procedures governing the Laboratory, which are approved for determining reimbursement of personnel costs and related expenses under that Contract.

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Subject Area: **Compensation**

# 1. Annual Salary Review

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

## Applicability

This information applies to managers, supervisors, and administrative staff involved in the annual review of classification and salary levels of all nonbargaining unit employees.

## Required Procedure

<b>Step 1</b>	The Human Resources & Occupational Medicine (HR&OM) Division develops and submits proposal for annual Salary Increase Fund (SIF) and salary structure movement to the Department of Energy (DOE) for approval.
<b>Step 2</b>	DOE notifies HR&OM of the approved SIF amount and salary ranges.
<b>Step 3</b>	HR&OM holds a “kick-off” meeting to discuss and distribute review materials to Department Chairs/Division Managers and administrators.
<b>Step 4</b>	<p>The Department Chair/Division Manager</p> <ul style="list-style-type: none"> <li>• Issues review guidelines to managers and supervisors responsible for making salary change recommendations in the review;</li> <li>• Ensures that managers and supervisors are provided with employee data, either through direct access to PeopleSoft HR-Plan Salaries or relevant reports. (Employee records can be accessed via PeopleSoft HR-Manager Self-Service. This includes Compensation History, Education, Honors/Awards, Licenses/Certificates, and Professional Memberships); and</li> <li>• Establishes any required organizational review meetings and internal approval procedures.</li> </ul>
<b>Step 5</b>	The authorized individual(s) for each Laboratory organization enters performance levels that are consistent with individual performance appraisals (see the <a href="#">Performance Appraisals</a> Subject Area) and proposed salary actions into PeopleSoft HR-Plan Salaries

	Representative Pay Grades.
<b>Step 6</b>	The Department Chair/Division Manager ensures that the salary increase totals conform to increase allocations, and obtains required approvals from the Associate Laboratory Director (ALD).
<b>Step 7</b>	HR&OM reviews and approves proposed actions. Promotions to higher grades in some salary schedules are reviewed by Laboratory-wide committees.
<b>Step 8</b>	HR&OM obtains Laboratory Director and DOE approval of salaries above the established threshold.
<b>Step 9</b>	HR&OM distributes Employee Information Records showing approved classification and salary information to the Department Chair/Division Manager for distribution to the affected employee's supervisor.
<b>Step 10</b>	Supervisors sign and distribute Employee Information Records to their staff during an announcement period shortly before the salary review effective date. They discuss individual salary review actions with each employee and respond to employee questions.

## Guidelines

### Monthly Employees

Salary review actions should be planned according to an employee's summary performance level and range third using the Salary Increase Guideline Matrix.

Salary Increase Guideline Matrix			
		Range Third	
Summary Performance Level	Growth	Competitive	Premium
<b>DP</b> Distinguished Performance	... - ...%	... - ...%	... - ...%
<b>CP</b> Commendable Performance	... - ...%	... - ...%	... - ...%
<b>EP</b> Expected Performance	... - ...%	... - ...%	... - ...%
<b>NI</b> Needs Improvement	... - ...%	... - ...%	... - ...%
<b>UP</b> Unsatisfactory Performance	Normally No Increase	Normally No Increase	Normally No Increase

Increase Guidelines

### Increase Guidelines

The matrix recommends a range of increase percentages from which to select, based on an employee's performance level and the third of the salary range in which their current salary falls. The increase guidelines vary from year to year based on changes in the overall salary plan amount. The guidelines may also vary by salary schedule or other employee grouping that may be targeted for additional increase amounts. Five performance levels, described in review materials, and ranges divided into thirds (Growth, Competitive, and Premium), are used.

Supervisors must identify the performance level of each employee they review before using the matrix, and must provide that performance level when recommending a salary action. This performance level should be consistent with the performance level entered on the employee's current performance appraisal.

Overall increase expenditures must not exceed allocations, which are provided to each organization. The Laboratory must restrict expenditures for salary increases to the annual amount approved by DOE.

### Promotion Guidelines

Guidelines for promotional increase amounts are normally linked to the Salary Increase Guideline Matrix recommended increase ranges, and may vary from year to year.

Promotional increase amounts are limited to allocations that are provided only at the Department/Division level. Those coordinating the review for Departments/Divisions administer these additional amounts.

## **Weekly Employees**

### Increase Guidelines

Weekly employees' salaries progress according to a predetermined schedule up to 24-months or job rate for their grade. Progress beyond the job rate can be achieved through performance that exceeds job expectations. The salary levels and timing of progression increases are shown in [Salary and Wage Ranges and Job Descriptions](#).

The rapid progression of salaries in the progression part of weekly schedules is considered fair recognition even for those who excel or are growing rapidly in their jobs. Exceptions to the normal weekly step progression may be proposed under certain circumstances. Weekly employees whose salaries are at or above the job rate are generally granted an increase equal to the schedule adjustment percentage, but this may vary based on the employee's performance. HR&OM provides guidance each year regarding recognizing performance for those whose salaries fall above the job rate.

Salary increases may not result in a salary over range maximum. As with monthly employees, expenditures must be limited to allocations.

Additionally, scheduled step increases, or increases consistent with range adjustments, may be withheld when an employee's performance does not meet expectations.

## Promotion Guidelines

To provide well-timed career growth, weekly employees salaries should normally have reached or exceeded the 24-months or job rate before they are considered for promotion. Supervisors should evaluate the employee's responsibility and knowledge levels relative to the classification to which the employee is being considered. Promotional amounts are based on the guidelines provided by HR&OM each year.

## **Special Employee Groups**

Scientific Research Associates and Visitors are not reviewed within the annual Labwide salary review. Their salaries are reviewed on their anniversary date. HR&OM conducts a separate review for Scientific, Professional, and Technical Interns; Co-op Engineers; Student Assistants and High School Trainees; and Clerical Assistants and Tour Workers, shortly after the Laboratory annual salary review.

## **References**

[Performance Appraisals](#) Subject Area

[Salary and Wage Ranges and Job Descriptions, Human Resources & Occupational Medicine Division, Compensation Group](#) website

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## 2. Weekly Progression Increases

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

### Applicability

This information applies to managers, supervisors, and administrative staff involved in the review and approval process of progression increases for nonbargaining unit weekly employees.

### Required Procedure

<b>Step 1</b>	Approximately 2 to 4 weeks before the scheduled date of a weekly progression increase, the Employee & Guest Records Supervisor distributes a Monthly Step Increase Report to Department Chairs/Division Managers or their administrators for review and approval of a scheduled step increase.
<b>Step 2</b>	The Department Chair/Division Manager approves the action and returns the signed report pages to the Employee & Guest Records Supervisor.
<b>Step 3</b>	The Employee & Guest Records Supervisor prepares and issues an Employee Information Record to the Department Chair/Division Manager for distribution to the affected employee's supervisor.
<b>Step 4</b>	The employee's supervisor signs and presents the Employee Information Record to the employee.
<b>Step 5</b>	The Employee & Guest Records Supervisor enters the new salary into the PeopleSoft system on the effective date of the increase.

### Guidelines

Weekly progression, or step increases, occur at the following intervals:

- Step 1 = Start
- Step 2 = 3 Months

Step 2 = 3 Months  
Step 3 = 6 Months  
Step 4 = 12 Months  
Step 5 = 18 Months  
Step 6 = 24 Months or Job Rate  
Step 7 = Maximum Range

The rates for each of these steps can be found at [Salary and Wage Ranges and Job Descriptions](#). An employee who (at hire, or upon promotion) enters the progression at a step above the start rate, or step 1, continues the progression according to the time period between steps.

## References

[Salary and Wage Ranges and Job Descriptions, Human Resources & Occupational Medicine Division, Compensation Group](#) website

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## 3. Off-review Salary Actions

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

### Applicability

This information applies to managers, supervisors, and administrative staff involved in off-review salary actions for nonbargaining unit employees.

### Required Procedure

<b>Step 1</b>	The Department Chair/Division Manager contacts the Compensation Group in the Human Resources & Occupational Medicine (HR&OM) Division to discuss anticipated off-review salary action.
<b>Step 2</b>	After agreement is reached on a course of action, the Department Chair/Division Manager prepares and forwards support documentation and a <a href="#">Request for Change in Employee Status</a> form to the Compensation Group (see the exhibit <a href="#">Human Resource Action Approvals</a> .)
<b>Step 3</b>	The Compensation Group reviews the support documentation and approves the <a href="#">Request for Change in Employee Status</a> form.
<b>Step 4</b>	The Employee & Guest Records Supervisor prepares an Employee Information Record and issues it to the Department Chair/Division Manager for distribution to the affected employee's supervisor.
<b>Step 5</b>	The Supervisor signs the Employee Information Record and presents it to the employee.
<b>Step 6</b>	The Employee & Guest Records Supervisor inputs the new employee status information into the PeopleSoft system on the effective date of the salary action.

### Guidelines

Off-review salary actions are intended to be limited to recognizing significant and immediate

changes in job responsibilities that occur rarely and are not anticipated at the time of the annual salary review. However, exceptions will be considered for extraordinary circumstances. Employee performance, even exceptional performance, should be addressed in the annual salary review and performance appraisal processes because it can be considered more equitably within those processes. However, when an increase may have been withheld from an individual during the salary review due to poor performance and the employee's performance has changed significantly, a supervisor may propose an off-review salary increase.

### **Management Stipend**

Managers appointed to head scientific Departments/Divisions on a term basis (generally 5 years) are granted a management stipend, which is added to their salary. It is intended to recognize the additional responsibility they assume. The stipend amount varies according to the position of the employee's salary with respect to the range for the management position, and the salaries of other employees in similar positions. It is paid as part of the manager's monthly salary, and is removed at the conclusion of their term. If they continue to a second management term, the stipend is incorporated permanently into their base salary.

### **Interim Appointment Stipends**

In special cases, employees who have been appointed to a management position on an "interim" basis during the search process for a permanent incumbent may be granted a temporary stipend. The stipend is a temporary increase to the employee's salary while they are in the acting role. Senior managers who wish to initiate stipends should contact the Compensation Group.

### **Reclassification to Job in Lower Grade**

If an employee is reclassified to a job in a lower salary grade as a result of a reorganization, career change, etc., and their current salary exceeds the range maximum for their new classification, steps are taken to bring the salary within the salary range.

If, upon reclassification, the employee's salary is more than 10% over the range maximum, a 5% annual salary reduction begins immediately. If the employee's salary is less than 10% over the new maximum, their salary is frozen for up to 2 years until any annual range adjustments result in a range maximum higher than their salary. If, after a two year salary freeze, the salary still exceeds the maximum, it is reduced by 5% per year until it is under the maximum.

Beyond this requirement, managers may reduce the salaries of employees moving to positions of lesser responsibility or positions in another functional area for which they are less qualified, to achieve equity with salaries of peers even when the salary is within the salary range.

The Laboratory Director may exempt distinguished key employees from salary reduction and may approve non-base lump sum amounts as rewards in lieu of annual merit increases for those with frozen salaries.

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Subject Area: **Compensation**

## Determination of Rates

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

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### Determination of Rates

Employee salaries and wages are determined through a combination of three processes:

1. Job Evaluation. The job evaluation process identifies the value of a job (not an individual employee) to the Laboratory's mission. A job description is used to describe the nature and level of work performed. Jobs are measured against others at the Laboratory to establish a relative ranking of value. The job value ranking, in conjunction with outside market comparisons, determines the pay grade to which each job is assigned within the overall pay structure.
2. Salary Surveys. The Laboratory conducts and participates in national, regional, and local surveys of prevailing rates for jobs comparable to those at BNL. These surveys, which furnish the best statistical information available, form the basis for continuing appraisal of the Laboratory's overall competitive market position and provide benchmarks for salary ranges and individual jobs. Job descriptions are used to establish comparability with benchmark jobs contained in surveys.
3. Individual Rate Determination. Salaries and job classifications of employees are set at hire and assessed in an annual review designed to ensure that employees are (1) properly classified according to work assigned, and (2) properly paid according to level of performance (see the section [Annual Salary Review](#)). While the annual review ensures each employee of periodic individual evaluation, no guarantee of a yearly pay increase is implied. It should also be understood that due to annual total salary increase authorizations and budget limitations, it is not always possible with one salary increase to adjust each employee's salary to the proper position in the salary range and relationship to the salary of other employees. This is often accomplished over several salary increases.

### New Employee Salaries and Classifications

New employee salaries and classifications are based on the job requirements and an evaluation of the relevant education, experience and achievements of the new employee. The salary of other employees with similar responsibilities, education, experience, and

achievements is also considered. The Employment and Compensation Groups in the Human Resources & Occupational Medicine (HR&OM) Division ensure equitable classification and salary for new employees.

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Subject Area: **Compensation**

# Human Resource Action Approvals

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

## Salary Approvals

All salary actions require approval by a manager at least two levels higher than the employee affected in addition to satisfying the requirements listed below.

Salary Level	Required Approvals
At or over \$100,000	Laboratory Director and DOE (1)
At or over \$90,000	Assistant/Associate Laboratory Director (ALD) and Director, Human Resources
Up to \$89,999	Department Chair/Division Manager, and Manager, Compensation

*(1) Part time salaries less than 50% FTE require only internal Laboratory approval. Increase to FTE % over 50% for employees with salaries over \$100,000 requires DOE approval.*

## Approvals for Job Classification (1)

Job classification requires approval by a manager at least two levels higher than the employee affected in addition to satisfying the requirements listed below.

Category	Required Approvals
1st and 2nd Level Laboratory Managers, Sr. Scientists, Tenure, Management Grades 2 and above	Laboratory Director
Scientist, Grades M-1, P-10	ALD and Director, Human Resources
All other positions	Department Chair/Division Manager, and Director, Human Resources

(1) Job classification occurs at hire, promotion, reclassification, or demotion.

**Approvals for Assigning a Job to a Salary Grade**

<b>Salary Grade</b>	<b>Required Approvals</b>
Grades M-3 and above	Laboratory Director and Director, Human Resources
Grades M-1 and M-2, P-10	Director, Human Resources
All others	Manager, Compensation

**Approvals for Non-Base Compensation**

Establishment of non-base compensation programs	Laboratory Director
Establishment of program pool amounts  Over \$10,000 Up to \$10,000	Laboratory Director Director, Human Resources
Payments under non-base programs  Over \$10,000 Up to \$10,000	Laboratory Director Director, Human Resources
Payments not covered by an approved program	Laboratory Director

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Subject Area: **Compensation**

## Salary and Wage Structure

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

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### Job Classifications

All positions are assigned a job classification based on the nature and level of the work performed and the knowledge, skills, and abilities required by the position. Titles are assigned by the Human Resources & Occupational Medicine (HR&OM) Division to each job classification for the purpose of identifying the job. HR&OM maintains summary job descriptions for each classification, which outline the typical duties and skills required to perform the job (see [Salary and Wage Ranges and Job Descriptions](#)). The job descriptions serve as guidelines that managers use to assign employees to job classifications. HR&OM assists in determining that the guidelines are applied consistently.

### Salary Schedules

The pay structure consists of eight schedules that cover all general categories of work (nonbargaining unit) performed at the Laboratory and are divided into monthly - and weekly-paid groups. The categories are grouped as follows:

#### Monthly Salary Schedules

Management  
Scientific  
Engineer/Scientific Associate  
Information Technology  
Technical Support/Supervisory  
Administrative

#### Weekly Salary Schedules

Technical Wage  
Clerical Wage

Different jobs are assigned to the same salary schedules primarily on the basis of the similarity of the nature of work performed. For example, the work of the Budget Analyst, Accountant, and Contracts Specialist is sufficiently similar to be assigned to the Administrative Salary Schedule. Because the Laboratory has such a wide variety of jobs

Administrative Salary Schedule. Because the Laboratory has such a wide variety of jobs, some less common jobs are placed in salary schedules containing jobs of a relatively dissimilar nature. Such jobs are assigned to the schedule that provides a pay grade which most accurately reflects the market value of the position.

Each of the eight schedules contains a number of pay grades. For each grade there is a salary range. Job classifications are assigned to grades based on market value and a comparison of the level and scope of the job with other jobs.

Salary ranges for each grade are compared to market survey data every year and are normally adjusted to maintain comparability to market salaries, according to Laboratory policy (see [Salary and Wage Ranges and Job Descriptions](#)).

## Pay Grades

### Monthly Grades

Each monthly salary range is divided into three equal areas that are related to job market rates. Salary review guidelines for range thirds are designed to move employee salaries within the grade in a way that reflects their achievements and promotes equitable pay. The range thirds are as follows:

1. The Growth third of a range contains a band of salaries that is lower than the general market average and is appropriate before an employee has reached full maturity in a job.
2. The Competitive third of a range indicates a level of salary that is roughly equal to what BNL has determined that employees in comparable jobs in other organizations are paid. While the Laboratory uses market data to estimate an average market salary for standard jobs, there is often a significant amount of variation of reported salaries about the estimated average. BNL therefore uses a range to define competitive pay.
3. The Premium third of a range indicates a level of pay that is greater than what might be expected for a fully competent employee in a job at BNL. It should be reserved for those who have markedly and consistently achieved levels of performance above what would be expected for their job title. Employees in senior and supervisory job titles are expected to perform more advanced duties in a competent manner, and the pay level for their classification reflects that expectation. Valid reasons for pay advancing to the premium level might also include consistently competent performance of supervisory duties that are not typically required of the employee's job title.

### Weekly Grades

1. The step progression area extends from the minimum or start rate of the range to the 24-month or job rate. Recently hired or promoted employees with satisfactory performance, typically progress through this part of the range to the job rate by receiving specially budgeted amounts according to a standard schedule.
2. The merit area extends from the job rate to the maximum of the range. This area is restricted to superior performers.

## Job Families

Job families are sequences of related job classifications that share the same nature of work, but are assigned to different salary grades within the same salary schedule based on the level of work assignments and responsibilities. They define a logical sequence for promotion of employees and exist for many, but not all, areas of Laboratory work.

An example of a job family within the Administrative Schedule is the Staff Specialist job family consisting of Assistant Staff Specialist, Staff Specialist and Senior Staff Specialist. An example of a job family within the Engineer/Scientific Associate salary schedule is the Engineering job family consisting of Associate Staff Engineer, Staff Engineer, Project/Research Engineer II, Project/Research Engineer I, and Sr. Project/Research Engineer.

The use of job families provides proper compensation and career growth to employees by allowing adjustments to an employee's classification and related salary range after substantial job changes occur. The changes involve only the responsibility and difficulty of the work, while the nature of the work remains similar. While the assumption of supervisory responsibility is sometimes a sufficient condition to warrant promotion, it is not the only criteria for advancement. Growth in knowledge and experience resulting in a higher level of responsibility or more difficult work assignments are also considered. Promotions within a job family are not based on the length of service or time in a classification.

Normally, substantial changes in responsibility within a job family are gradual. This permits such changes to be recognized with promotions that need occur only during the annual salary review.

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## Promotion Justification Information Form

*(Tab to Successive Entry Fields)*

**Name:** Life Number.

Department:

Present Title: Grade:  
Month/Year into current Class:

Proposed Title: Grade:

Performance Level: Supervisor's Name:

**Please describe:**

- (1) The scope of the employee's **current responsibilities** and duties.
- (2) Any **additional responsibilities** that the employee will be assigned upon promotion.
- (3) The most significant and complex **decisions** that the employee must make regularly.
- (4) Any **additional decisions** that the employee will regularly make upon promotion.
- (5) Specific **achievements** by the employee in their current position.
- (6) The amount and nature of relevant **experience** that the employee has accumulated.
- (7) The amount and nature of the employee's **knowledge**, training, and education that is relevant for the new position.

**Please Sign:**

Prepared by \_\_\_\_\_ Date \_\_\_\_\_

Approved by \_\_\_\_\_ Date \_\_\_\_\_



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## Request for Change in Employee Status

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

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## Definitions: Compensation

Effective Date: **February 2004**

Point of Contact: [Compensation Manager](#)

Term	Definition
administrators	Those responsible for the administrative operations of the organization (i.e., Business Operations Manager).

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## Revision History: Compensation

Point of Contact: [Compensation Manager](#)

### Revision History of this Subject Area

Date	Description	Management System
February 2004	This subject area provides Laboratory-wide procedures for compensation administration.  This subject area takes the place of Section 5.0, Salary Administration in the Supervisors' Personnel Manual.	Human Resources

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