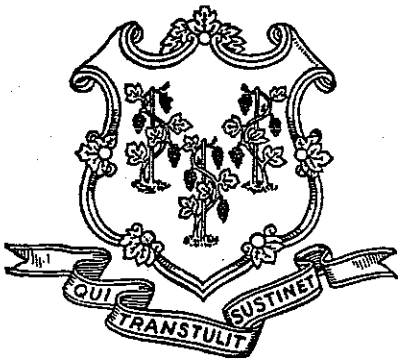
PERSONNEL SERVICES IN STATE GOVERNMENT

Connecticut

General Assembly



LEGISLATIVE
PROGRAM REVIEW
AND
INVESTIGATIONS
COMMITTEE

JANUARY 1992

CONNECTICUT GENERAL ASSEMBLY
LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

The Legislative Program Review and Investigations Committee is a joint, bipartisan, statutory committee of the Connecticut General Assembly. It was established in 1972 to evaluate the efficiency, effectiveness, and statutory compliance of selected state agencies and programs, recommending remedies where needed. In 1975, the General Assembly expanded the committee's function to include investigations, and during the 1977 session added responsibility for "sunset" (automatic program termination) performance reviews. The committee was given authority to raise and report bills in 1985.

The program review committee is composed of 12 members. The president pro tempore of the senate, the senate minority leader, the speaker of the house, and the house minority leader each appoint three members.

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PERSONNEL SERVICES IN STATE GOVERNMENT

EXECUTIVE SUMMARY

In February 1991, the Legislative Program Review and Investigations Committee authorized a study of personnel services in state government. This review was an outgrowth of the Thomas Commission Study of the Management of State Government, and was one of several legislative initiatives to look at broad systems that affect all agencies. The scope of the study includes the administration of the personnel system and the way in which candidates are examined, selected, and promoted.

The committee's review found several major weaknesses in the personnel system, including the great number of narrow classifications, and the time-consuming examination process which can take up to nine months in some cases. Despite the number and time-consuming nature of examinations, only a minority of candidates are selected through the open-competitive process. In addition, the personnel procedures are greatly dependent on paperwork, contributing to the prolonged and bureaucratic process. The study also found that the information system supporting personnel services in state government is seriously deficient, and needs immediate upgrading if the personnel system is to undergo reform.

The program review committee proposes a series of recommendations aimed at creating a more flexible personnel system that is responsive to agencies' personnel needs, yet ensures central control of candidate screening and selection. At the same time, the recommendations promote a more competitive system that ensures well-qualified candidates are available to fill agency positions in a short time. A complete listing of the committee's recommendations, as they appear in the report, follows.

RECOMMENDATIONS

1. The roles and missions of the three entities involved in personnel--OPM, DAS, and the operating agencies--shall be developed as part of a human resources strategic plan.

2. The Department of Administrative Services shall develop a long-range strategic plan that anticipates the state's personnel needs for the next decade. The plan should analyze how current staff will meet those needs, whether and what type of retraining will be necessary to provide the state's services, what additional hiring will be needed, and what recruitment efforts should take place. In addition to setting long-range goals, the plan should establish short-term strategies on how to accomplish these goals, including how various personnel sections within DAS will work together to accomplish them.

3. The Department of Administrative Services shall incorporate in the proposed strategic plan approaches for building the image of state employment and state employees to Connecticut's citizens, potential candidates for state jobs, and current state employees.

4. The Committee on Upward Mobility should be revived, and that eight additional members be appointed by the commissioner of administrative services: two representatives from state agency personnel administrators; one representative from the Office of Policy and Management; another representative from the Department of Administrative Services who is involved in classification activity; two additional labor representatives; and two additional state employees. The committee will meet quarterly and report periodically to the commissioner of administrative services on ways to improve the upward mobility program.

5. The Department of Administrative Services shall establish a set of personnel standards to guide agencies in personnel management. The standards should govern promotions, reclassifications, new classifications, and positions.

6. The number of classifications in classified service should be reduced. Further, once the reduction has been completed, DAS should place a cap on the percentage of new classifications approved.

7. Section 5-200c of the Connecticut General Statutes be revised to allow for red-circling of classifications to eliminate compensation inequities.

8. The Department of Administrative Services should begin to streamline the compensation schedule used in state government by reducing the number of pay grades and increasing the number of steps for each grade. The first objective should be to reduce the schedule for managerial level positions from 26 levels to 5.

9. The merit promotion system, as authorized under C.G.S. Sec. 5-220(b), shall be eliminated and replaced with the proposed selection and promotion model.

10. Eliminate the current requirement that a transfer registry be maintained by the Department of Administrative Services.

11. The performance evaluation system for nonmanagers should be enhanced. An additional evaluation of employees, based on key job requirements and performance objectives jointly established by the employee and supervisor, should be instituted. This performance evaluation should not be used to demote, dismiss, or withhold a salary increase. The results are to be used to assess an employee's readiness for promotion, as well as to form a component of the automated system to screen and evaluate candidates for vacancies in state government.

12. Where appropriate, the performance evaluation process for managers should be changed to allow for more participation from the employees the manager oversees, as well as the manager's peers.

13. The Department of Administrative Services shall develop and complete a comprehensive automated personnel system by July 1, 1993. The legislature should appropriate the necessary funding to complete the new system. The commissioner of the Department of Administrative Services should make this a top priority in the department and one of the objectives to be accomplished by department managers in their management incentive plans. Further, managers designated as responsible for the project should be held accountable for meeting the deadline, and for the project's results.

14. The number of occupational areas for personnel purposes should be reduced to seven main groups. The new occupational groups consist of the following:

1) Information Systems/Technical;
2) Engineering/Scientific;
3) Accounting/Finance/Business;
4) Health/Social Services;
5) General Administrative/Research/Planning;
6) Corrections/Protective Services/Law Enforcement; and
7) Office Support/Related.

15. Under the new selection model, a maximum of five career progression levels should be used by the personnel division. The new levels should include:

Entry → Working → Lead ▌ SUPERVISOR → MANAGER

Each career level will have minimum requirements as to knowledge, skills, and abilities that must be met before an employee can begin working at that specific level. These requirements may include education, work experience, special skills, or any combination thereof. Employees must possess at least the established minimum qualifications before being employed at a particular career level. Also, each of the approximately 2,700 job titles found within the classified service should be categorized into the most appropriate new career level and occupational group. (A)

16. Section 5-219 of the Connecticut General Statutes should be amended to allow DAS the option of whether or not to use education as a criterion necessary for employment or promotion within the state's classified service.

17. Amend C.G.S Sec. 5-219 to require that the personnel division begin accepting *all* employment applications on a continuous basis for any occupational group at any of the previously recommended career levels. Also, C.G.S. Sec. 5-218, which

requires DAS to give public notice of examinations, should be amended to require DAS to post exam announcements for vacancies only if the candidate pool cannot provide a sufficient number (as determined by DAS) of qualified candidates.

18. DAS should design the basic employment application to allow candidates to apply for career levels and broad occupational groups previously outlined. In addition, applications should be in a form that can be electronically reviewed by DAS.

19. In addition to the basic application, each candidate applying for competitive jobs (as determined by DAS) be required to submit a biographical questionnaire/personal qualifications statement to the personnel division. The questionnaire should be designed to allow candidates to describe their experiences and skills, achievements in school, employment, and other activities in detail. It should be devised to supplement the candidate's application, and should be in such a form that the answers can be electronically scored.

20. The initial application and/or biographical questionnaire should be used to determine if a candidate meets minimum requirements to be admitted to take a supplemental exam. The exam should be designed to test candidates' basic skills and abilities as they relate to a particular career level and occupational group. As well, all exams should be in a form that can be electronically scored by DAS.

21. For supervisory and managerial positions, DAS should assess candidates' general supervisory or managerial skills and abilities.

22. A central candidate profile database shall be created. The database should include all relevant information about candidates once they have been determined to meet the minimum qualifications required by DAS for a given occupational group and career level. The database should also enable DAS to slot candidates into the most appropriate occupational group according to answers on their employment applications, biographical questionnaires, and other exams. Lastly, the central candidate profile database should allow DAS the ability to respond to agency requests for candidate lists in relatively short time.

23. Candidate records shall remain active on the profile database for a maximum of two years, unless otherwise requested by an applicant. Candidates should be permitted to update their qualifications as their personal and professional circumstances warrant. Also, if a candidate revises his or her file, that file would automatically remain on the system for another two years. However, if candidates do not update their files during any two-year period, such files would automatically be removed from the database. The responsibility of creating and maintaining this central database shall reside with DAS and be outlined in the personnel act.

24. Under the new model, relevant sections of the personnel act and DAS regulations should be amended to include a selection process designed in the following manner:

- The central candidate profile database must be utilized whenever an agency has an approval to fill a vacancy.

- The process begins with an analysis of the vacant position by the hiring agency and the personnel division to determine the necessary characteristics successful candidates must possess, as well as a description of the job's key requirements.

- Agencies shall then submit key job requirements to the personnel division as they pertain to the particular vacancy. (Such requirements should best relate to the division the main duties and responsibilities of the vacant position).

- After such key job requirements are submitted, the division shall enter the requirements into the candidate profile database. An automatic match will then be made between the agency's requirements and the candidate profiles contained in the database.

- The personnel division must then create a list of all candidates who best match the agency's requirements. After the match is made, the personnel division shall forward the list to the agency.

25. The personnel act should be amended to provide that all certified candidate lists sent to agencies by the personnel division be on an unranked, pass/fail basis. The scores that DAS assigns to candidates shall also be present on the list.

26. Provisional appointments should be approved only if DAS cannot supply a list with a sufficient number of candidates to agencies within 60 days. A provisional appointment should be approved only after this time period. Further, the duration and conditions regarding provisional appointments shall remain the same as the current law provides.

27. The relevant sections of the personnel act shall be amended to reflect the following changes to promotions:

- All promotions up to the supervisory level shall be made through the reclassification process based on the following criteria: 1) the employee meets the minimum qualifications established for the particular career level in which the reclassified position is classified; 2) reclassification is made only to the next higher position within a career series; 3) the employee has maintained an adequate performance record and his or her most recent two consecutive

appraisals shall be "fully successful" or above; and 4) the employee has been in his or her current position for a minimum of six months.

- When the above four criteria are met, no examinations will be used whenever a position is reclassified. If the reclassification does not meet these criteria, the candidate profile database must be used to fill the position.

- All supervisory and managerial positions shall be filled on an open competitive basis using the candidate profile database. The screening process for these positions is the personnel division's responsibility, but should at least include an evaluation of candidates' supervisory or managerial abilities and a candidate's knowledge of the relevant program or function area.

28. The candidate selection model outlined in the recommendations shall be operational by July 1, 1993.

INTRODUCTION

This personnel services study, undertaken by the Legislative Program Review and Investigations Committee (LPR&IC) in February 1991, is only one of a number of recent legislative efforts to examine systems and procedures that cut across agency lines to ensure their effectiveness and efficiency. Other legislative initiatives include the LPR&IC study on performance standards, the 1990 Thomas Commission study of state government management, and the current Commission to Effect Government Reorganization, which is studying the way state government is structured and how it delivers services.

The committee believed Connecticut's personnel system needed review for a number of reasons. The Thomas Commission had cited in several studies that the state's personnel system was problematic, but had not made comprehensive recommendations to remedy the system. In addition, state agencies have long complained that the personnel system is too bureaucratic, cumbersome, and lacks flexibility. In addition, the system's procedures have been criticized as costly and time-consuming.

Scope. The scope of the study included the organizational structure, resources, and major personnel functions related to the classification, examination, and selection of candidates for state employment. The objective of the study was to allow for greater flexibility, yet maintain a personnel system that is merit-based and retains accountability and central control.

Areas of the personnel system that were not part of the committee's review were the state's collective bargaining system, objective job evaluation program, affirmative action program, and its workers' compensation program for state employees.

Methods. A variety of sources and research methods were used in conducting the study of Connecticut's personnel system. State statutes, budget documents, Department of Administrative Services (DAS) reports on personnel, and other department documents and data were reviewed. Committee staff also reviewed the general literature on personnel and human resources, including several recent personnel studies conducted in other states. (For a complete listing of sources consulted, see Appendix A.) Committee staff also contacted several other states concerning the structure and resources of their personnel systems.

Committee staff interviewed a variety of parties involved in personnel matters including state agency personnel officers, DAS Personnel Services staff, human resource personnel in the private sector, and state labor unions. In addition, the

committee staff attended several DAS-sponsored meetings and focus groups held to discuss job classifications.

To gauge agency and job candidate satisfaction with the personnel system, a survey was distributed to 65 state agency personnel administrators, and to a sample of 415 candidates who applied and/or took the merit promotional system (MPS) exams during a 12-month period between 1990 and 1991. (See Appendices B and C for tabulated results of these surveys.) In addition, a public hearing was held in September 1991 so the committee could gather testimony on the state's personnel system.

Report Organization. The report contains five chapters. The first chapter contains background information on personnel systems, references to recent studies that have been done in the personnel area, and an overview of Connecticut's personnel system including its organization, resources, and functions. The next three chapters contain description and analysis of major areas of the state's personnel system: Chapter II discusses the classification system; Chapter III contains the current selection process in state government; and Chapter IV describes personnel support functions including auditing, automated information systems, and performance evaluations. Chapter V contains the committee's findings and recommendations on the personnel system.

CHAPTER I

SYSTEM OVERVIEW

Governments face a unique set of problems in personnel management. They encounter the same demands as other organizations--to provide goods or services efficiently, quickly, and cost-effectively. Ideally, to accomplish this, an organization should be able to hire quickly, deploy staff where most needed, ensure that personnel are performing well, and take appropriate corrective action if they are not.

Generally, all organizations would say that employees are hired on the basis of merit. However, unlike businesses, public entities must have a process they can point to show why someone was hired. Therefore, what government must constantly do is ensure that a balance is struck between two often conflicting objectives: 1) that services are provided effectively and efficiently; and 2) that the personnel system supporting such services is merit-based.

Governments are criticized because their personnel systems designed to protect merit principles have become inflexible and cumbersome, fueled by paperwork, lists, exams, and temporary appointments. These characteristics are viewed as seriously impairing the major objective of providing government services. Both the United States and Canadian federal governments have studied their civil service systems, and found these significant flaws to exist.

The U.S. Congress passed what is known as the Civil Service Reform Act of 1978, aimed at streamlining and decentralizing the federal civil service system. Since its passage, there have been ongoing attempts to implement the legislation, monitor its affects, and revise the law where necessary. Another more recent major study of the U.S. federal civil service system was undertaken by a commission headed by former Federal Reserve Board chairman Paul Volker. The resulting report, entitled Rebuilding the Public Service, focused on such issues as changing public perceptions of the government service, recruiting and retaining the federal workforce, education and training, and performance and compensation.

Similarly, a Canadian commission established to examine its federal workforce and human resource system recommended ways to make the system more responsive, flexible, accountable, and, ultimately, improve service delivery. In the U.S., many states have also examined their workforces, and the manner in which personnel support services are provided.

The common thread throughout these studies is that governments must adapt their personnel systems to meet a changing work environment. By all counts, the workforce is changing. Demographics indicate that more women are in the labor force

than ever before. Also, minorities will make up most of the growth in the workforce, and the median age of the working population is increasing. And, while it seems almost far-fetched in the depths of this current recession, labor statistics indicate a shortage of qualified workers by the year 2000.

The workplace is also changing; technology is making dramatic changes in the way people do their jobs. To adjust, governments must change the way they operate if citizens are to be served effectively and efficiently during the next decade.

An overview of Connecticut's current personnel system is provided in this Chapter, while major operations -- classification, selection, and support functions -- are discussed in detail in the following three chapters. Recommended changes to improve the state's personnel system are discussed in Chapter V.

Connecticut's Personnel System

Purpose. The purpose of Connecticut's merit-based personnel system is to secure and retain a uniform, equitable, and well-qualified workforce capable of carrying out state programs in an efficient and effective manner. The merit principles upon which the system is based date back to 1937. These principles maintain that candidates are to be hired and promoted based upon individual merit, not on a system of awarding jobs for political affiliation. In addition to this fundamental rule, other merit system principles guiding the state's personnel system include:

- providing equitable and adequate compensation;

- training employees, as needed, to assure high quality performance;

- retaining employees on the basis of adequacy of their performance, correcting inadequate performance, and separating employees whose inadequate performance cannot be corrected; and

- assuring fair treatment of all applicants and employees in all aspects of personnel administration.

Organization. Functions related to personnel are broadly distributed in Connecticut state government. The Department of Administrative Services, the Office of Policy and Management (OPM), and individual agencies all play a role in servicing and managing state government personnel. The roles of each of these entities are described below.

Department of Administrative Services

Most personnel matters involve some degree of centralized oversight or approval. Responsibility for centralized personnel matters rests with the Department of Administrative Services' Bureau of Personnel and Labor Relations. The bureau's organization is shown in Figure I-1.

As highlighted in the figure, the functions related to the scope of the committee's study -- selection, promotion, and classification -- are carried out by the Technical Personnel Services Section. A brief description of the section and each of its units, as well as the staffing levels as of December 1991, follows. It should be noted that DAS has indicated at least four professional staff in central personnel services will be leaving as of February 28, 1992, as part of a statewide retirement incentive program.

In addition to the Personnel Services Section, some functions related to certifying candidates on examination lists, monitoring personnel transactions, and operating the automated personnel information system are carried out within the Administrative Services Section. Overall, the section has 28 employees including seven part-time staff.

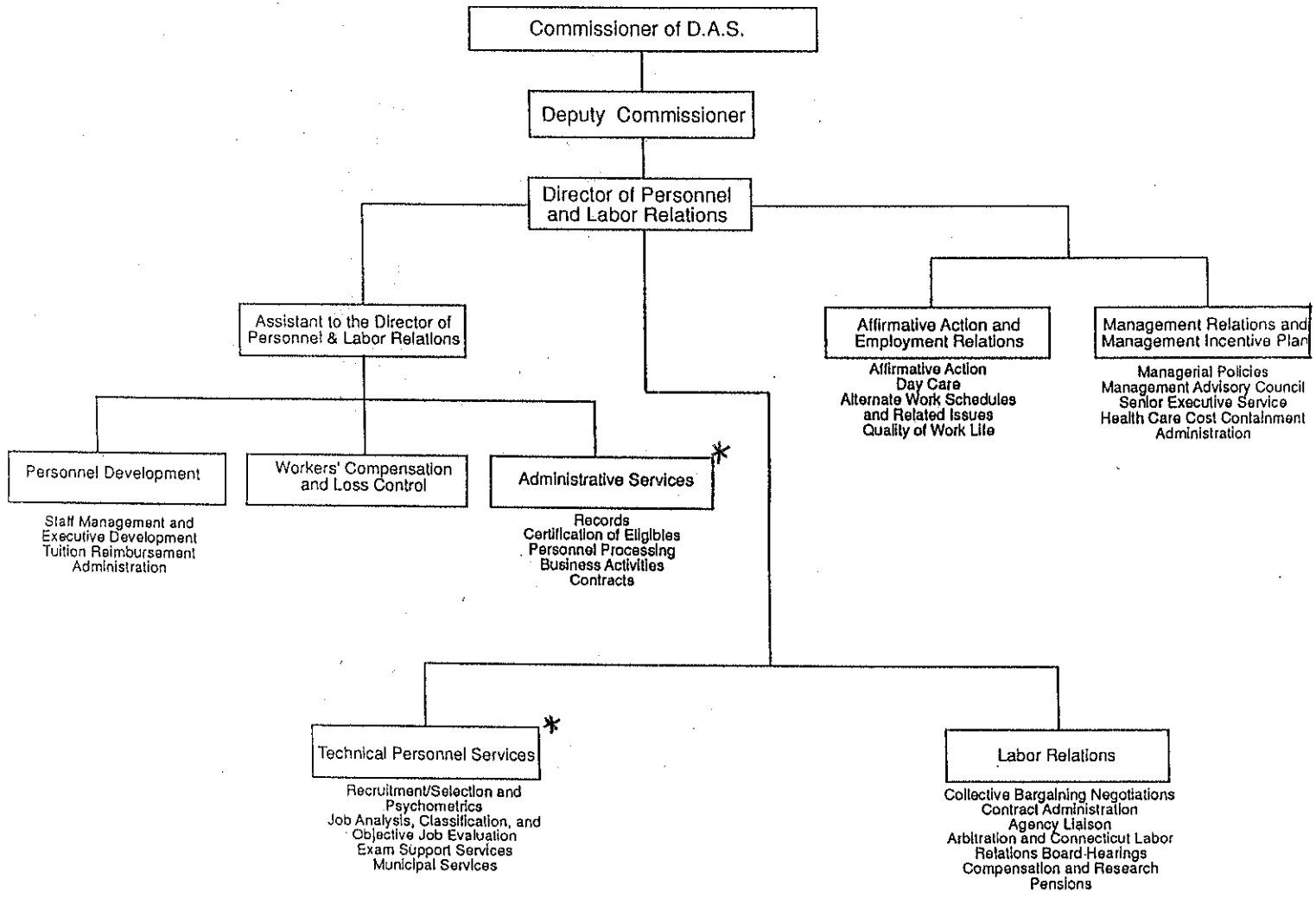
Personnel Services Section. This section, headed by a chief and an assistant chief, is responsible for all recruitment, selection, testing, classification review, and the initial setting of compensation levels for new classes. There are four personnel units within the section responsible for testing and classification. Each handles these responsibilities for several state agencies. In addition to managers of the four units, there are 18 full-time and four part-time analysts, and five support staff.

Five major units comprise the remainder of the section. The Psychometric Unit provides quality control and research development components for examinations. The unit is also responsible for hearing and deciding appeals filed by candidates questioning the scores they received on examinations. The unit is staffed with four full-time psychologists -- one of whom is the unit's chief psychologist -- and two support staff.

The Merit Promotion Unit is staffed by a unit manager, three full-time and one part-time analysts, and one full-time and two part-time support employees. This unit provides support services for merit promotion exams, such as helping agencies select testing methods, screening applications for qualified candidates, and assisting with selection panels. The unit also provides limited information system support.

The Exam Support Services Unit provides the data entry and clerical functions for the section, as well as the scheduling and monitoring of exams. The unit has 13 full-time and 2 part-time staff.

Figure I-1. Organizational Structure of the Bureau of Personnel Services and Labor Relations, Department of Administrative Services.



Source: Department of Administrative Services

The Objective Job Evaluation Unit (OJE) has a unit manager, three analysts, and one part-time clerical employee. The unit is responsible for conducting a statutorily required evaluation of all jobs in the classified service and positions belonging to collective bargaining units in the unclassified services. From this evaluation, jobs are to be rated based upon certain criteria to ensure equal pay for equal work.

Finally, the Recruitment and Testing Unit is responsible for interviewing candidates, conducting continuous recruitment and certain statewide promotional exams, and distributing exam announcements. It is staffed by a unit manager, two full-time analysts, and three part-time support staff.

Resources. Tables I-1 and I-2 and Figure I-2 illustrate expenditures and staffing levels for the Personnel Services Section for fiscal years 1986 through 1990. This section, for budgetary purposes, includes all units except those involved in labor relations, personnel development (training), and workers' compensation administration. Table I-1 includes all expenditures for the section and shows that during the five-year period, the section's overall budget increased by 53 percent. As the table indicates, the greatest increase occurred in "other expenses", which grew by 145 percent during the period. This is largely due to the funds expended to upgrade the computerized personnel information system, which is discussed later in the report.

Table I-1. Personnel Services Section Expenditures FY 86 -- FY 90.

EXPENSES	FY 86	FY 87	FY 88	FY 89	FY 90	% Change
Personal Services	$3.2	$3.6	$4.0	$4.6	$4.2	31
Other	$.767	$.838	$1.3	$1.5	$1.88	145
TOTAL	$4.0	$4.5	$5.3	$6.0	$6.1	53

Dollar Amounts In Millions
Source: LPR&IC Staff Analysis

As Table I-2 shows, overall staffing levels have remained relatively constant. The number of filled, full-time positions declined by 12 percent, from 115 in FY 86 to 101 in FY 90. This was offset, however, by the number of full-time equivalent (FTE) employees, which more than doubled during the same period.

Figure I-2 compares growth in the Personnel Services Section's expenditures with that of the Department of Administrative Services and the overall budget for state government. It should be mentioned that three adjustments have been made to the DAS budget for this analysis. First, the workers' compensation payments which are issued to state employees injured on the job, have been excluded. Second, the

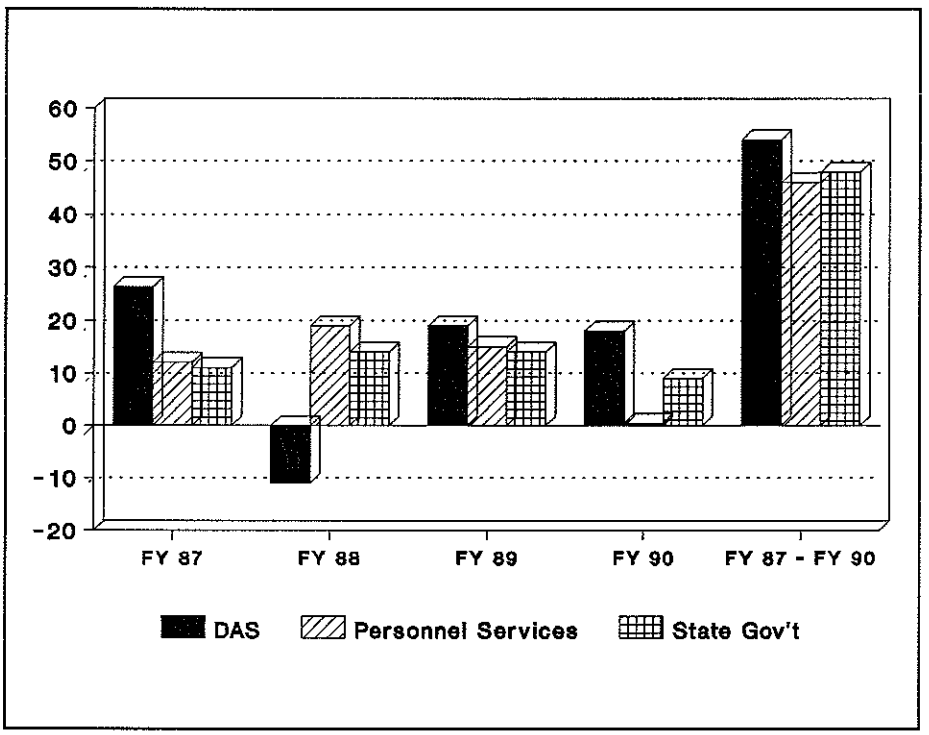
portion of the DAS budget for Personnel Services has been subtracted. Third, the portion of DAS' FY 86 budget for the Bureau of Public Works, which became a separate department with its own budget, has been excluded to make the period comparable.

Table I-2. Department of Administrative Services -- Personnel Services Section Staffing Levels FY 86 - FY 90.

CATEGORY	FY 86	FY 87	FY 88	FY 89	FY 90	% Change
Full-Time	115	118	114	102	101	(12%)
Other FTE	9	12	17	16	24	167%
TOTAL	124	130	131	118	125	1%

Source: LPR&IC Staff Analysis.

Figure I-2. Budget Growth Comparison (in percentages).



Source: LPR&IC Staff Analysis.

In three years of the four years shown in Figure I-2, the Personnel Services Section's expenditure growth has lagged behind its own department's spending. However, because of a decrease in DAS expenditures for FY 88, the overall percentage change for the four-year period is similar for both DAS and the Personnel Services Section. In fact, overall spending growth for the three entities is comparable, although the rates of change have varied in different years.

Office of Policy and Management

The other major agency involved in state government personnel matters is the Office of Policy and Management. By statute, the Office of Policy and Management must approve the creation of a new position or the filling of a vacancy, and certify that any necessary appropriation has been made to fund that position. Depending on the overall fiscal condition of the state, as well as the agency, OPM's authorization can be difficult to obtain or relatively cursory. Since March 1991, the Office of Policy and Management has adopted a policy whereby all vacancies have become unauthorized. Agencies must now obtain approval from both DAS and OPM to fill the vacancy--similar to as if the position were initially being created.

Individual Agencies

Most state agencies have at least one person responsible for handling human resource issues. Duties for such employees include submitting agency personnel requests to DAS and OPM, coordinating merit promotion system functions, developing and implementing affirmative action plans, and maintaining attendance and payroll records.

Program review staff distributed a survey to the personnel offices of 62 state agencies. Responses were from 42 agencies. Among the information collected through the survey was the number of staff performing personnel functions in the agencies. Table I-3 summarizes the survey data concerning agency personnel staff. It is important to note that these data were collected through self-reporting on the survey, and committee staff did not verify the accuracy of the data provided.

As the table indicates, half of the 42 agencies that responded have four or less full-time staff working in the personnel area; 75 percent perform personnel functions with 8.5 or less people. The top 25 percent of the responding agencies had between 8.5 and 60 persons working in personnel. When the number of personnel staff is compared to the overall number of staff in each agency, the resulting average ratio is one personnel staff to 105 total agency staff.

Table I-3. Agency Staff Performing Personnel Functions.	
PERCENTAGE OF AGENCIES	NUMBER OF FT STAFF
25 Percent	2
50 Percent	4
75 Percent	8.5
100 Percent	60
TOTAL IN ALL 42 AGENCIES	355.5
AGENCY AVERAGE	8.5

(N=42)
Source: LPR&IC Staff Survey.

DAS Personnel Functions and Responsibilities

The Department of Administrative Services is statutorily required to perform the following major functions related to personnel:

- test and evaluate the qualifications of applicants for appointment to or promotion in the state's classified service;
- establish employment and reemployment lists for classes of positions;
- certify the names of persons eligible for employment or reemployment;
- install and administer service-rating systems;
- devise plans and cooperate with agencies in conducting employment training programs;
- conduct research into personnel standards, methods of selection, service ratings, and personnel administration problems;
- arrange for, and cooperate with, agencies in effecting transfers;
- cooperate with appointing authorities in employee recruitment programs;

- ensure that all promotions, layoffs, demotions, suspensions, removals, and retirements are made in accordance with applicable statutory and regulatory provisions;

- establish classes of positions for all state employees holding positions in the classified service;

- establish, abolish, divide or combine classes of positions, with OPM approval;

- establish and maintain a roster of all employees, and update that register as changes in employees' status occurs; and

- set the compensation for new classifications and establish a compensation schedule reflecting the compensation ranges for all classes in classified service.

The Department of Administrative Services' jurisdiction in providing most personnel services is limited to those areas in state government considered classified service. All segments of government are deemed classified service, unless otherwise indicated in statute. Connecticut, like most other states, exempts the following major areas: the judicial and legislative branches of government; the state's higher education system; all elected state officials; and all agency heads and others appointed by the governor. Table I-4 gives a breakdown of positions by type of service including classified competitive, classified non-competitive, and unclassified. A more detailed discussion of these employment categories and the role personnel services has in each is contained in the following chapters.

Table I-4. Categories of Positions in State Government.

POSITION CATEGORY	DEFINITION OF CATEGORY	NUMBER OF FULL-TIME POSITIONS FILLED MARCH 1991
Classified Competitive	This category covers the vast majority of positions. These positions are statutorily required to be filled through a competitive exam process.	25,012
Classified Non-Competitive	These positions are in classified service but are not subject to an examination process for selection. These positions are usually for custodial care, or for positions where recruiting difficulty exists (e.g., nurse). Candidates cannot move into a competitive classified position without first passing a competitive exam	13,897
Unclassified	Statutorily exempt from classified service. Hiring agencies may decide how employees will be selected.	*12,735

*Does not include legislative positions, which are also unclassified

Source: LPR&IC Staff Analysis of Classification Data.

CHAPTER II

CLASSIFICATIONS

As defined in C.G.S. Sec. 5-196, "position classification" (also called a "class" or "class of positions") is a group of positions in the state classified service that:

- are sufficiently similar in respect to duties, responsibilities, and authority that the same title may be used to designate each position allocated to that class;

- have similar requirements as to education, experience, capacity, knowledge, proficiency, ability, and other qualifications, as required;

- similar tests of fitness may be used to choose qualified employees; and

- the same schedule of compensation may be made to apply.

Every transaction concerning classifications in the classified service must have DAS approval. Transactions include establishing, modifying, or abolishing a classification. If the classification change has a fiscal impact, then OPM must also give approval. In addition, a position can be reclassified, either to a higher or lower classification, but only with DAS approval. The procedure for establishing a new classification is outlined below. Generally, similar processes are followed for all classification requests.

Establishing a New Classification

To establish a new classification, an agency must submit the request to the DAS Personnel Services Section, along with a proposal of the responsibilities and the expected qualifications and experience needed for the classification. For a small percentage of new classes, DAS initiates the action. DAS then reviews the request and may approve it, send it back to the agency for modification, or deny the request. There are no established criteria that DAS uses to base a decision to approve a new classification. The individual analyst makes a judgement that is based on some or all of the following: the department's organization; its classification structure; and a job analysis.

Personnel analysts make the initial decision on the classification request, which is then reviewed by the Objective Job Evaluation Unit and the Office Labor Relations. In addition to that review, the decision must be approved by the assistant section chief of personnel services, the director of affirmative action, and the director of the Office of Personnel and Labor Relations. If the new classification requires only that job specifications be changed, and does not necessitate additional compensation, the

review is complete. However, if additional costs are involved, then the request must also be approved by the commissioner of DAS and the secretary of the Office of Policy and Management.

New Classification Requests

Table II-1 shows the number of new classification requests received by DAS for FYs 87 through 91. The information presented includes requests received and completed during the fiscal year, and the number pending (not yet acted upon) at the end of that fiscal year. As the data indicate, there was a substantial increase in classification requests between FY 87 and FY 88. Since then, the number of requests initiated has dropped each year. Similarly, the number approved each year has also declined. The requests that are withdrawn has grown, however, both in terms of the actual number and as a portion of the total requests made in a year. This decline suggests that as the state's fiscal situation tightened, state agencies were less likely to submit requests for new classes.

Table II-1. New Classifications FY 87 Through FY 91.

FISCAL YEAR	NUMBER INITIATED	NUMBER APPROVED	NUMBER WITHDRAWN	PENDING AT FY END
87	164	160	17	26
88	213	210	8	21
89	194	172	6	30
90	184	154	14	46
91	132	126	28	24

Source: LPR&IC Analysis of DAS Data

The committee staff's survey of state agency personnel officers discussed earlier included a question concerning the reasons why agencies sought new classifications. Forty-two agencies of the 62 surveyed responded, and their answers to the classification question are summarized in Table II-2. As the table indicates, the most frequent reason that agencies request a new classification is due to department reorganization.

Table II-2. Reasons Agencies Request New Classifications.	
Reasons	Number of Agencies*
Existing job specs too limiting/DAS unwilling to accommodate with broader classes	3
Grievance settlement/Arbitration award	2
Needed classes to reflect duties unique to agency/Duties for class had changed	12
Changes in agency organizational structure or additional programs	14
Inadequate and narrow classes/Inflexibility of classification system required new classes	1
Requested modifications to old specifications/DAS recommended new classes	1
No new classification requests	12
* Some agencies responded with more than one answer Source: LPR&IC Survey of Agency Personnel Staff	

Total Classifications

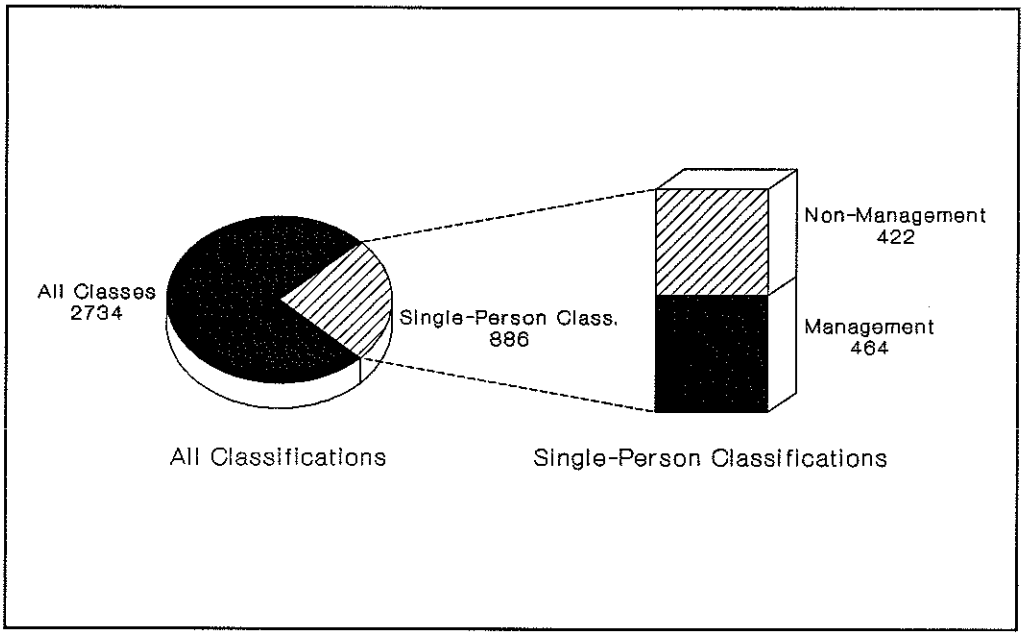
According to the Connecticut State Employees Information System (CSEIS), there are 4,000 classifications that cover all state employees. However, 1,266 of those classifications cover employees in the unclassified service, and, as noted earlier, do not fall under DAS jurisdiction. Therefore, the total number of classifications that DAS does have responsibility for is 2,734.

It is difficult to assess whether the total number has changed over time. The automated personnel information system cannot give a yearly accounting of the number of classifications in classified service. However, DAS staff indicate that the number has been fairly constant for the past decade, despite efforts to streamline the number of classes. Typically, at least 125 new classification requests are approved each year, as indicated in Table II-1 above.

Low-incumbent classes. One of the concerns raised by the Thomas Commission report concerning personnel matters was the high number of classifications with relatively few incumbents in a class. Program review staff analyzed class title data

generated through the computerized state employees information system and found that of the 2,734 classified service jobs, 886 (almost one-third) have only one person in that job. Figure II-1 illustrates the proportion of classes that have only one person, and of those, the number that are management classes.

Figure II-1. Single-Person Classifications (Classified Service).



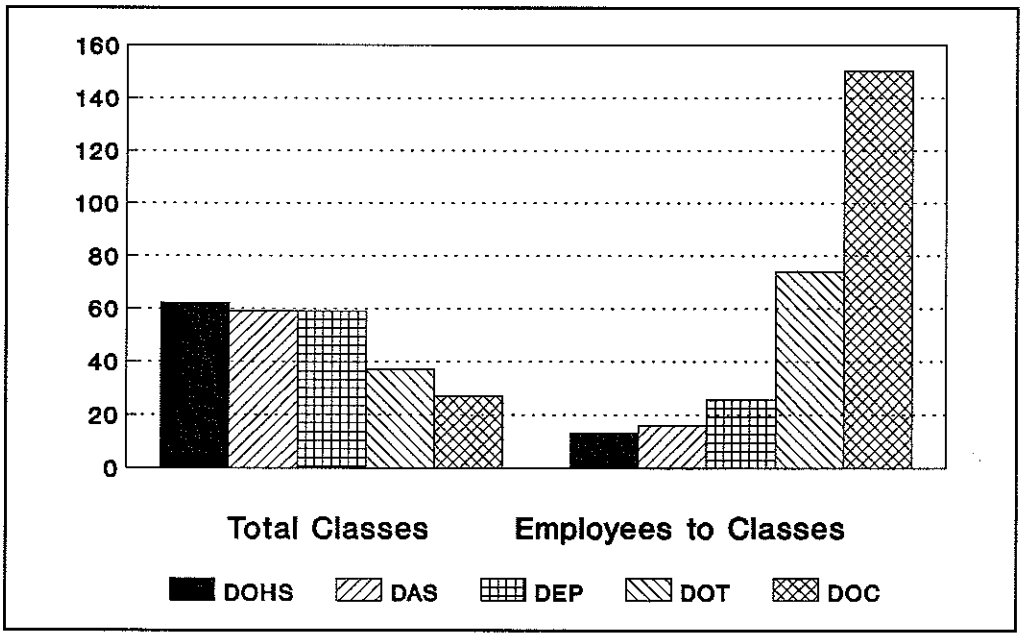
Source: LPR&IC Analysis of DAS Data

Management classifications. As Figure II-1 indicates, 464 management classes have single incumbents, meaning more than half of those 886 single-person classes are at the management level. Further, about another 100 management classes have 2, 3, or 4 incumbents in them. Table II-3 below categorizes management classifications that have four or fewer incumbents in that class.

Table II-3. Management Classifications with Four Incumbents or Less.	
NUMBER OF INCUMBENTS	No. OF CLASSES
4 incumbents	12
3 incumbents	35
2 incumbents	56
1 incumbent	464
TOTAL	567

The use of these low-incumbent management classifications is heavily concentrated in a few agencies. In fact, five agencies account for 43 percent of all 567 classes noted above. Figure II-2 shows the five agencies having the greatest number of low-incumbent manager classes. Usage, in terms of numbers of such classes, is depicted on the left side of the graph, while the right side illustrates the ratio of all employees in each agency to low-incumbent manager classes.

Figure II-2. Use of Low Incumbent Classes*: Agencies with Highest Use.



* Management Classes
Source: LPR&IC Staff Analysis.

As might be expected, two of the five agencies with the greatest number of low-incumbent management classes also have high total numbers of employees, probably indicating that they use a great number of classifications overall. For example, the Department of Transportation (DOT) employs 4,374 persons, translating into a low-incumbent management class for every 74 employees. In the Department of Correction (DOC), which has a staff of 4,060, the ratio is one low-incumbent management class for every 150 employees.

However, the other three high-use agencies each employ less than 1,000 employees. Figure II-2 shows that the ratio of these low-incumbent manager classes to total employees is one for every 13 in the Department of Health Services (DOHS), one for every 16 in DAS, and one for every 26 in the Department of Environmental Protection (DEP). Thus, in addition to a high numbers of employees in an agency, other factors -- such as diversity in the number and the nature of programs and the types of employees needed to operate those programs -- can contribute to an agency's use of numerous classifications.

CHAPTER III

SELECTION AND TESTING

This chapter describes and analyzes the different methods used by the state to examine and select candidates. Turnaround times for the selection and certification processes are also included. In addition, the systems in place for appealing personnel issues and employee transfers are explained.

Selection Methods

Almost all requests for personnel transactions begin with individual agencies. If an agency wants to fill a position, and has approval to do so, it requests an employment list from DAS. If no list exists, or if there are an insufficient number of candidates on the list, the agency must request that DAS develop and administer an exam in order to create a list for that particular job class.

There are several methods available to DAS and state agencies to establish employment lists within the classified service using merit-based examinations. DAS, in conjunction with individual agencies, determines which candidate selection method to use. A list of the various methods available to select candidates follows.

- Open Competitive: This selection process is open to all qualified candidates who apply for a position in state service. The scoring for open competitive exams is a numerical grade. DAS screens all the entrance applications and administers the examinations.

- Agency Promotional: DAS administers and scores promotional exams that are limited to employees within a particular agency. This centralized process is separate from the merit promotion system, a decentralized selection method, which is discussed below.

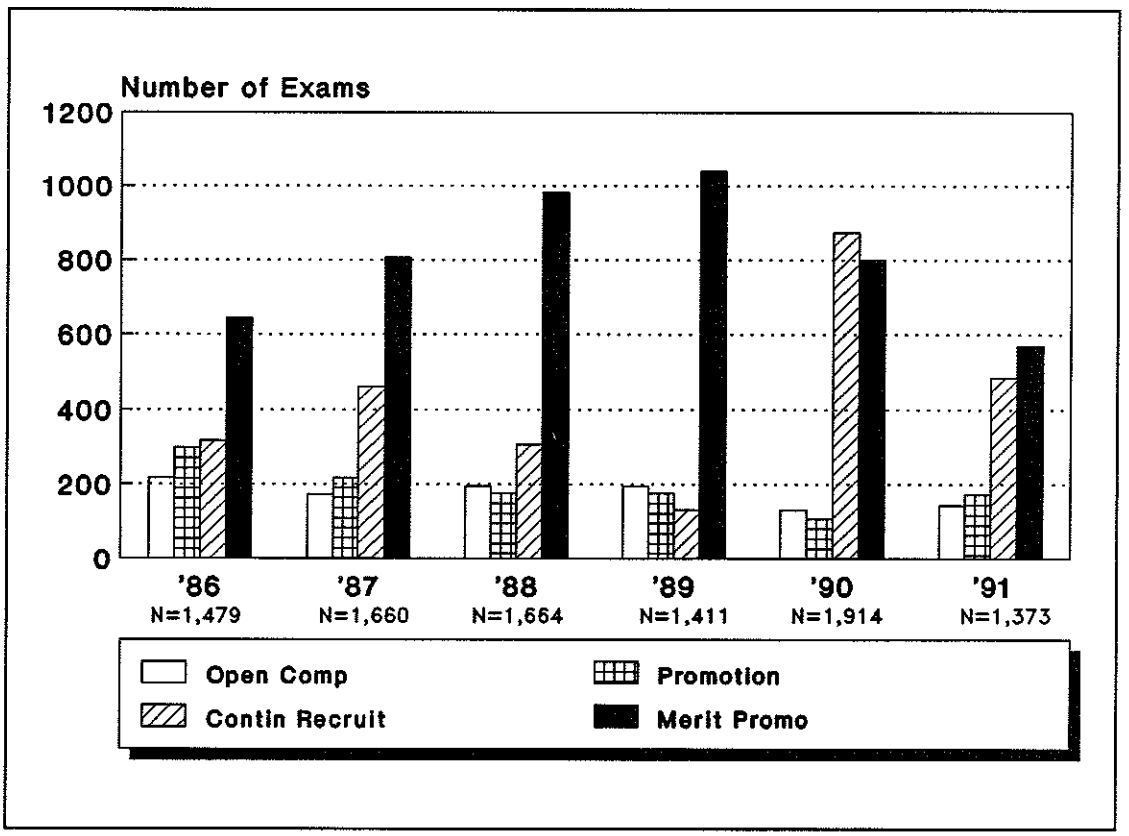
- Statewide Promotional: This centralized selection method, also separate from the merit promotion system, is open only to current state government employees but without limitation as to what agency currently employs them. DAS is responsible for applications screening, exam administration, and eligible candidate certification.

- Continuous Recruitment: Due to a continuing need to fill specific types of positions, or to difficulties in recruiting candidates, DAS conducts certain examinations that do not have closing dates for filing applications. This is done to maintain an adequate supply of candidates for positions with high demand or turnover. Scoring of continuous recruitment exams is on pass/fail basis and the exams are administered by DAS.

• Merit Promotion System (MPS): Examinations for this recruitment method are open only to candidates who have permanent status in state service and six months of current or former service (similar to the other promotional exam methods) with the agency announcing the promotional exam. DAS develops MPS exams and screens applications to determine which candidates will be admitted to take the exam. The individual hiring agencies are responsible for administering the exams and developing the certified lists of candidates.

Figure III-1 illustrates the number of exams given for each of the selection methods described above. As the figure indicates, in all but FY 90, the most widely used method to fill a vacancy is merit promotion. The second most commonly used method is continuous recruitment. The dramatic increase in the number of continuous recruitment exams between FY 89 and FY 90 is due to an administrative change in the way DAS accounts for the number of continuous recruitment exams given during the year.

Figure III-1. Frequency of Selection Methods Used, FYs 86-91.

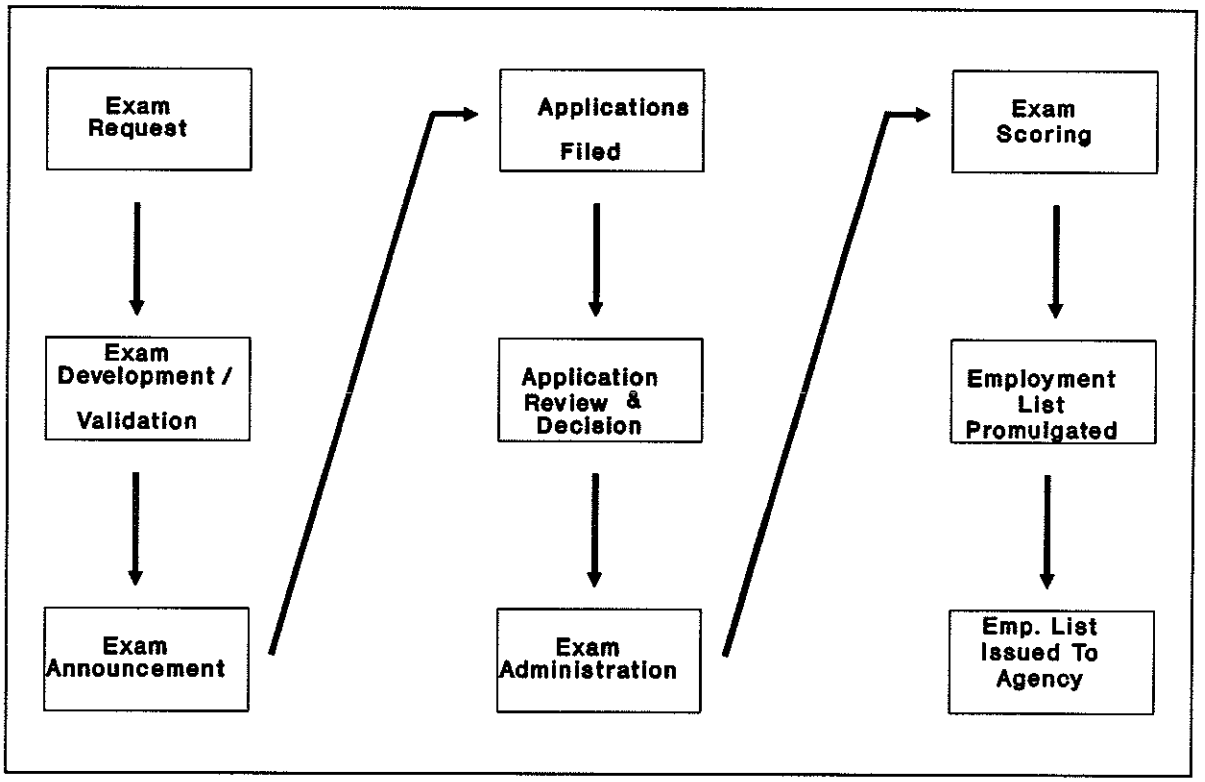


Source: LPR&IC Staff Analysis of Personnel Division Annual Reports, FYs 86-91.

Testing Process

Once an exam request is made, and a selection method is determined, DAS follows a particular process for administering a test and, ultimately, developing an employment list. Figure III-2 outlines the test administration process DAS uses when an open competitive exam is given.

Figure III-2. Test Administration Process for Open Competitive Exams.



Source: LPR&IC Staff Analysis.

By law, DAS must give public notice at least two weeks prior to giving an exam. The notice period is usually simultaneous with exam development, and allows time for candidates to apply and for DAS to screen the applications. Once these steps are completed, the exam is administered, scored, and an employment list is created. The list is then sent to the agency.

Examination Modes

There are a number of ways that applicants can be tested. The selection methods used by DAS to establish an employment list should not to be confused with exam modes, which are the different types of exams given to test candidates after it is determined how they are to be selected.

The decision on which test mode to use is made jointly by DAS and the agency requesting the exam. It is largely dependent upon the number of candidates expected to apply. Below is a brief description of each type of exam mode.

- Written Exam: Requires applicants to read questions and/or narrative, and provide some type of written response (e.g., multiple choice, essay, or drawings.) Written exams are usually given when a large number of applicants is expected. The multiple choice exams can be scanned and scored by computer.

- Whole Job Rating: Evaluates an applicant's experience by job title for a certain time period. Values are assigned to particular job type considered relevant to the classification for which the exam is being given. Applicants are rated based on the length of experience in those relevant jobs. This type of exam is used when the applicant pool is small. At the time of the committee study, the Personnel Division was revising the way whole job examinations are to be scored, and will go to a system that is less dependent on job titles. This is because candidates often receive identical scores due to the basis for rating the exams. DAS was using the new scoring method on a limited basis at present.

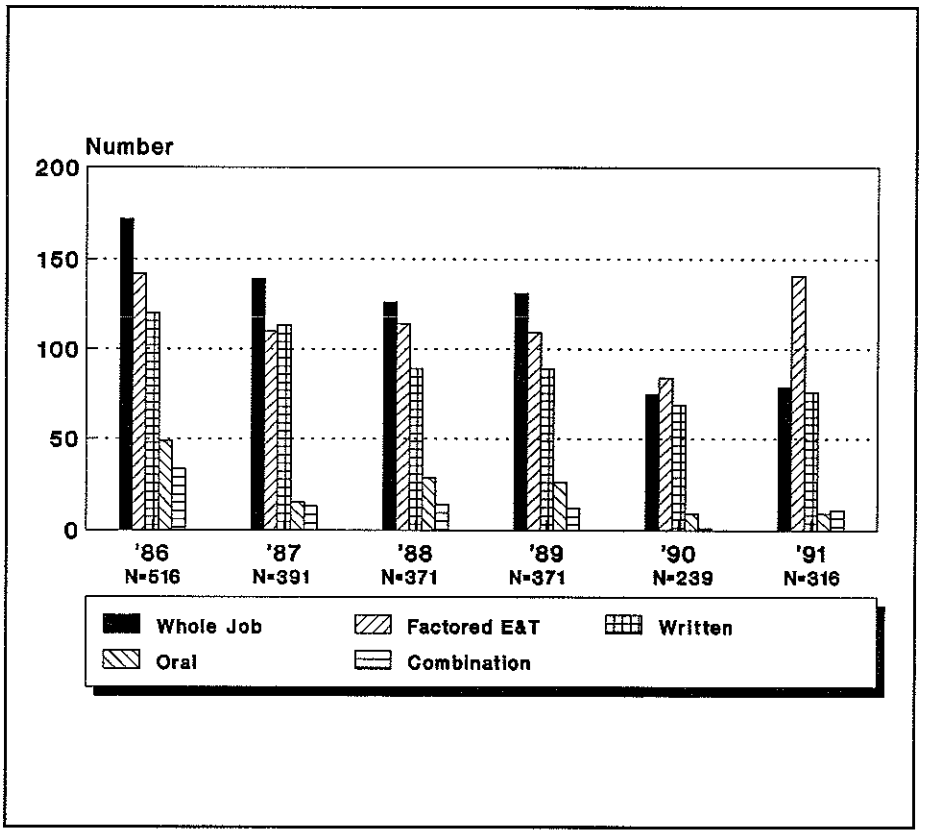
- Factored Experience and Training: Evaluates an applicant's background and experience as it relates to the classification for which the test is being given, and systematically scores that experience. Unlike Whole Job exam rating, this type of evaluation focuses more on the relevance and scope of experience rather than length of experience.

- Oral Exam: A structured examination administered in an identical fashion among all applicants. It is typically conducted by a panel of three or four persons asking the same questions of each candidate. Candidates' answers are measured against standards that are set prior to the exam being administered.

- Combination: Combination exams use a combination of the modes described above. Practical exams are also given, although very rarely.

Figure III-3 shows the number of times each exam mode was used for open competitive and DAS-administered promotional exams for fiscal years 1988 through 1991. As the figure illustrates, the most widely used types of exams for the years reviewed were the whole job and factored experience and training exams. The written exam has consistently been the third most frequently used exam. Oral and combination exams were the least used modes. Since so few practical exams given (in most years none were given) they are shown as part of the combination exam mode.

Figure III-3. Types of Exams Administered, FYs 86-91.



Source: LPR&IC Staff Analysis of Personnel Division Annual Reports -- FYs 86-91.

Employment Lists

Once an examination has been given and scored, an employment list is generated in rank order for all those who have passing scores. Similar to the variety

of examination modes and methods described above, there is also an assortment of employment lists that an agency may use to fill a position. Table III-1 describes each type of list, how it is generated, and how it is used.

Table III-1. Employment Lists for Classified Competitive Positions.

	ORIGINAL APPOINTMENT	INTERNAL PROMOTIONAL APPOINTMENT	REEMPLOYMENT APPOINTMENT	STATEWIDE PROMOTIONAL APPOINTMENT
How List Is Formulated	1. Open Competitive 2. Continuous Recruitment	1. MPS; 2. DAS Internal Promo. Exam; 3. Department list generated from Statewide Promo. exam	List of laid off employees in the class or classes for which they are qualified	List generated from exam open only to state employees
When Agency Uses	To appoint a person other than through promotion	To appoint a person who already works in that department	Agency must first use this list before it may make an original appointment (but not promotions)	To appoint from the list or from department employees on the list
Statutory Limits on Appointments	Top five ranks for Open Competitive; Anyone with a passing score for Continuous Recruitment	Top five ranks for one vacancy, one additional rank for each additional vacancy	Top five ranks based on reverse order of layoff.	Top five ranks of overall list or, upon agency request, top five ranks of agency employees (supplemented to five from the overall list if necessary)
Protected Class Provision -- Five Top Ranks Containing Protected Classes	Upon the request and documentation of the agency for open comp.; no ranking on Cont. Rec.; provision not necessary	Provision does not apply	Provision applies upon agency request and documentation	Provision applies upon agency request and documentation

Source: LPR&IC Staff Analysis

As the table indicates, generally an agency is limited to hiring from the top five ranks on the list, with one extra rank for each additional vacancy. However, there is considerable discretion as to which list an agency may use, especially for promotions. As the last row of the table shows, agencies are also given broader appointing opportunities in order to meet affirmative action goals. If the top five ranks do not include any protected class members, and if the appointing agency requests and provides documentation to indicate its affirmative action objectives would be met by such action, DAS is statutorily authorized to certify the top five ranks that contain protected classes.

Employment lists must state how long they will be in effect. Generally, the personnel statute requires that a list be in effect for at least six months but not longer than one year. However, the list may be extended by the commissioner of DAS for a period not to exceed two years.

Waiver of appointment. Once an agency receives an employment list, a selection must be made within the time period set by DAS. However, an agency may request, subject to DAS approval upon good cause shown, that no appointment be made. If an agency is unable to make hiring arrangements with a person on the list within a time period it considers reasonable, DAS is to be informed. DAS can certify one or more additional eligible candidates.

After a person has taken an exam, and scored well enough to be considered for appointment, there are some circumstances whereby that person may be deemed to have waived his or her chance for being considered for employment. Waivers can occur because the applicant: 1) fails to appear for a scheduled interview; 2) fails to indicate acceptance of an appointment within the time specified by the appointing authority; 3) fails to report to work; or 4) agrees to waive appointment. According to statute, any person who waives an appointment opportunity two times must be placed at bottom of the appropriate employment list.

Working Test Periods

After a person has been hired, he or she must serve a working test period of not less than three months and not more than one year. Within 10 days of the conclusion of the test period, the employing agency must report to DAS as to whether the employee is capable of and willing to accept permanent employment.

A person may be removed during the working test period if the appointing authority believes he or she is unable or unwilling to perform work requirements. If this occurs, a report must be made to DAS after the dismissal. Any employee dismissed in one agency may be restored to the appropriate employment list, if DAS considers the employee suitable for employment elsewhere in state government.

If a person has served part of a working test period at a certain position classification, and then serves another part of the test period in a higher classification in a field of work directly related to the prior position but is dismissed prior to the completion of the test period, he or she must be reappointed to the lower position. Any time spent in the higher position counts towards the working test period for the lower position.

Like new hires, all promotional appointees are also required to have a working test period. If an appointee from within an agency is dismissed during this period, he or she is to be restored in a position in the same class held prior to the promotion. An appointee chosen from statewide service who is dismissed during the test period is to be restored to: a vacancy in the same class; a vacancy in a comparable class; or a vacancy in any other position he or she is qualified to fill in the prior employing agency. The person may also have his or her name placed on a reemployment list.

Turnaround Times

One focus of the committee study was the timeliness of the state's personnel process, or how long it takes the DAS Personnel Division to test candidates and, subsequently, establish employments lists. Timeliness is also one issue that came under scrutiny in the Thomas Commission study of the Department of Administrative Services. According to the commission report, "examination turnaround times for DAS administered exams are unacceptably high and [have] increased historically." In addition, analysis of the program review committee staff's survey of state agency personnel officers indicates that timeliness is a problem with the current system.

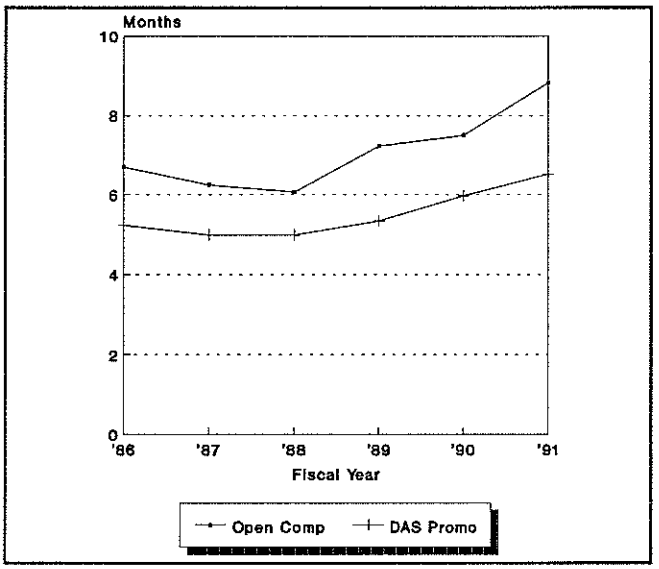
Data concerning turnaround times and numbers of tests given for open competitive and promotional exams administered by DAS, are shown in Figure III-4. The graph on the left shows the average time elapsed from the date an exam request was received to when an employment list was developed during each of the last six fiscal years.

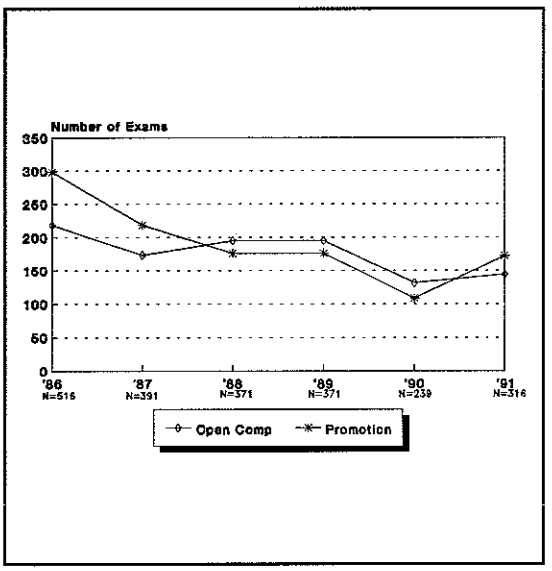
As illustrated by Figure III-4, turnaround times for exams administered by the Personnel Division decreased somewhat between FY 86 and FY 88. Since FY 88 however, processing times have steadily increased to a high in FY 91 of almost nine months for open competitive exams and more than six months for promotional exams. This is notable because the number of total exams administered by the division, shown in the graph on the right, have actually decreased over the period analyzed.

As previously mentioned, DAS administers promotional exams at both the agency and statewide levels. However, separate turnaround time data for each method are not available. Therefore, the information presented in Figure III-4 shows combined turnaround times for promotional exams at both the agency and statewide

levels. The figure does not include promotional exam data for either merit promotion or continuous recruitment exams.

Figure III-4. Open Competitive and DAS-Administered Promotional Exams Turnaround Times, FYs 86-91.

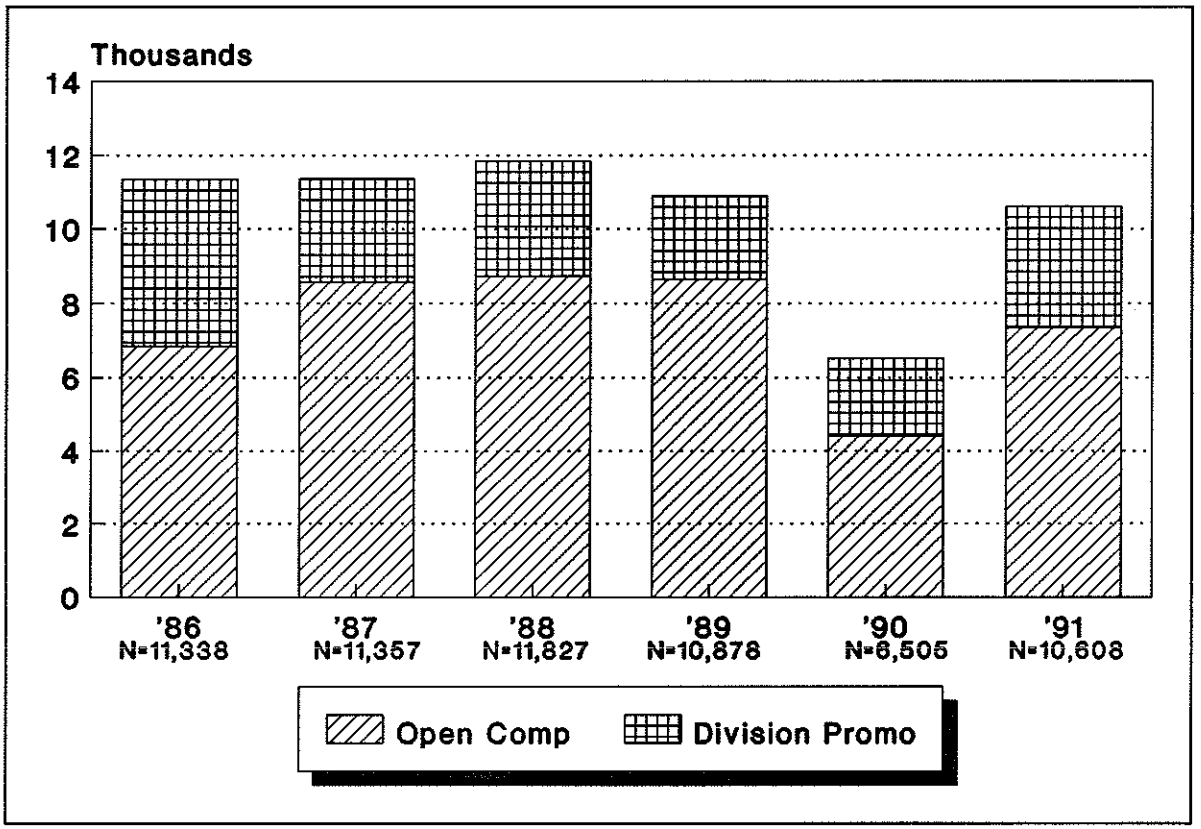




Source: LPR&IC Staff Analysis of Personnel Division Annual Reports -- FYs 86-91.

In addition to analyzing the number of exams given by DAS, the trend in the number of candidates examined was also reviewed. Results are shown in Figure III-5. As the figure illustrates, from FY 86 to FY 88 the number of candidates examined increased from 11,338 to 11,827, or just over 4 percent. Between FY 88 and FY 90, the number of candidates for both open competitive and promotional exams steadily declined from 11,827 to 10,608, or just over 10 percent. In FY 90, the number of candidates taking open competitive exams dropped by 40 percent from the previous fiscal year. However, this decrease may be attributable to a computer tracking malfunction that did not accurately account for all candidates tested during the year. Over the entire period analyzed, the number of persons tested by DAS decreased over six percent (from 11,338 to 10,608), yet turnaround times actually increased for both open competitive and promotional exams.

Figure III-5. Number of Candidates Tested for Open Competitive and Division-Administered Promotional Exams, FYs 86-91.



Source: LPR&IC Staff Analysis of Personnel Division Annual Reports, FYs 1986-91.

Nonpermanent Status Appointments

In addition to the selection methods describe above, agencies can also fill vacancies using several other means for which competitive examinations may not be initially required. A description of these methods follows.

Provisional appointment. One way an agency may choose to fill an existing, vacant position is by provisional appointment. Such appointments can only be used upon the approval of DAS, and only after the agency requests an employment list but DAS can only provide a list with less than three eligible candidates. By statute,

provisional appointments are only valid until DAS establishes an employment or reemployment list for the particular position classification. Also, no person is permitted to receive more than one provisional appointment, or serve more than six months as a provisional appointment, during a fiscal year.

Although provisional appointments can be made without competitive testing, a competitive examination must be given to fill classified positions permanently. Therefore, if a person is a provisional appointment and wants to become a permanent employee in that position, he or she must take a test and score within the top five ranks on an employment list like any other candidate.

Temporary appointment. If an agency determines that, due to short-term increased work, an extra classified position is needed, it can seek approval from DAS to establish a temporary position. A temporary position can be filled with or without using a competitive exam. Temporary appointments cannot be authorized for longer than six months nor renewed within any fiscal year. Similar to provisional appointments, if a person in a temporary appointment wants to be permanent, he or she must score within the top five ranks on an employment list for the corresponding classification.

Emergency appointment. In the case of an emergency, agencies are permitted to make appointments to positions if the situation is such that an agency does not have enough time to seek an employment list. However, emergency appointments are only allowed for a maximum of two months and are not renewable. Agencies must also report emergency appointments to DAS.

Temporary service in a higher class (TSHC). Another option available to agencies is to appoint a nonmanagerial employee of the department from a lower classification to perform the duties in a higher class. This type of appointment, known as temporary service in a higher class, can be used to replace another employee on leave. In addition, if a position is vacant and no valid employment list exists to fill the position, an employee can be appointed temporarily until the promotional exam can be given and the list certified.

If an employee currently serving temporarily in a higher class decides to take the exam for that class, the experience he or she has gained in the higher class is credited as earned in their permanent position. For example, if a Personnel Analyst I is temporarily serving as a Personnel Analyst II, the time spent in the Personnel Analyst II position is counted as experience in the candidate's regular, permanent job of Personnel Analyst I. This is done so that a person serving in the position being tested for neither gains experience in the higher position, nor loses experience in his or her permanent position.

Trends. Trends in nonpermanent status appointments in the classified service, based on data received from the Department of Administrative Services, were reviewed. Average yearly figures on usage are summarized in Table III-2. Although not all months were available for all years, the averages are based on at least seven months of data for each year shown.

Table III-2. Average Number of Nonpermanent Status Appointments, Calendar Years 1988 - 1991 and January - July 1991.

TYPE OF APPOINTMENT	1988	1989	1990	1991
Provisional	160	128	123	128
Emergency	23	17	45	44
Temporary	84	72	48	33
TSHC	538	515	625	467
TOTAL	805	732	841	672

Source: LPR&IC Staff Analysis of DAS Data.

Overall, for the period analyzed the number of nonpermanent status appointments as a percentage of all classified employees is low, about two percent. However, TSHC appointments consistently made up two-thirds of the total.

Merit Promotion System Examinations

Connecticut statute provides that "vacancies in positions shall be filled so far as practicable, and for the best interest of the state, by promotional appointments from within the agency and service-wide promotional appointments" (C.G.S. Sec. 5-228(a).) One of the methods used to fill vacancies is the merit promotion system. Under MPS, the commissioner of DAS is statutorily authorized to delegate responsibility to administer specified promotional exams to the heads of state agencies, subject to a post-audit by the department. Currently, approximately 40 agencies have received such authority.

The merit promotion system has been in existence since the early 1980s. When the program first became operational, almost all aspects of the examination procedure were vested in individual agencies. However, because of concerns about

MPS, the Department of Administrative Services hired an independent consultant to study the decentralized promotional system. The consultant's report resulted in several changes to MPS implementation. The two most important recommendations were to centralize some of the authority for exam development back in DAS, and to remove past job performance as a criterion in the exam process.

When an agency plans to fill a vacancy through an MPS exam, it must first post a notice in the agency and give two weeks for persons to apply. The examination notice must state the type of examination (e.g., written, factored experience and training) that will be used. The agency then batches the applications and sends them to DAS for screening. Depending on the type of examination mode, the agency may set an examination date, send an additional questionnaire to qualified applicants so that supplementary information can be gathered and evaluated, or evaluate the candidate's experience as it appears on the application form.

The Department of Administrative Services develops MPS examination instruments. The examination itself is administered by the agency, although DAS may have input regarding such areas as selecting evaluation panels or monitoring oral exams. Examination scoring is an agency responsibility, although the Personnel Division's Psychometric Unit reviews the scoring immediately following the completion of each exam.

Maintenance of certified lists of appointable candidates is kept by the agency. The agency is required to send a copy of the list to DAS when it is first promulgated. DAS oversees the list to ensure that appropriate appointments are made. Agencies must follow the same statutory rules, outlined earlier, for appointments from MPS-generated employment lists as they do for all other employment lists.

As illustrated earlier by Figure III-1, merit promotion is the most frequently used selection method for filling agency positions. In both FY 90 and FY 91, MPS accounted for 42 percent of all exams given. This was a decline from the previous two years when MPS generated well over half of all examinations given.

Because of the prominence of MPS, several aspects of the program were studied by the committee. First, the committee examined how often, since the program's inception, the process has been used among state agencies that have MPS agreements. Using a ratio of exams to the number of agency employees, Table III-3 summarizes that data categorizing agencies by their degree of use of MPS exams. The table covers 28 state agencies employing 35,334 employees as of June 30, 1990. It should be noted that an examination may result in filling more than one position; on the other hand, an exam may produce an employment list from which no one is selected. Thus, the ratios are not necessarily the same ratio for promotions within agencies. Promotions are discussed separately later in this chapter.

Table III-3. Agency Use of MPS Examinations, 1984 - 1991.*	
USAGE CATEGORY	NUMBER OF AGENCIES
One Exam for Every 1 - 2 Employees	5
One Exam for Every 2 - 3 Employees	4
One Exam for Every 3 - 5 Employees	5
One Exam for Every 5 - 10 Employees	6
One Exam for Every 10 - 20 Employees	5
One Exam for Every 20+ Employees	3
Total Exams for the Period = 5,924	
Average Ratio of Exams to Employee = 5.9	

*Two agencies were reorganized into four during this period, which may affect ratios.
Source: LPR&IC Staff Analysis of DAS Data.

Program review staff also distributed a questionnaire to 400 candidates who applied to take an MPS examination between March 1990 and March 1991. One hundred and forty-five candidates responded. The survey asked candidates about their perceptions of MPS including: its fairness; its timeliness; the employee's concerns about MPS; and whether the employee would compete in another MPS examination process.

One question asked respondents if they believed MPS was an appropriate method for promoting people. Forty-five percent of the 128 candidates who responded to that question said they believed it was appropriate, while 55 percent stated it was not. Despite that, 85 percent of the 135 MPS candidates who answered whether they would compete in another MPS exam said they would.

When asked to cite major concerns about the MPS system, the most frequent problem identified was that the candidate who got the job had been preselected before the exam was given. Forty-eight of the 94 respondents who had concerns about MPS identified this as an issue.

To assess whether criticism about preselection was legitimate, program review staff analyzed all MPS exam announcements for calendar year 1990 and January to

August 1991. The announcements indicated whether or not the position was currently vacant. The results of the analysis of announcements are provided in the Table III-4. As the table shows, 70 percent of the examination announcements indicated that the position was already filled, due either to a reclassification of a position or someone temporarily serving in a higher classification until an employment list is generated.

Table III-4. Status of Positions for MPS Exams.

Time Period	Number of Agencies	Number of MPS Exam Announcements	Number of Exams Withdrawn	Number of Exams With Filled Positions	% With Filled Position
1990	34	778	37	544	70%
1991	22	209	12	149	71%

Source: LPR&IC Staff Analysis of DAS Data.

In some cases, it should be noted, the exam announcement also indicated that the employment list resulting from the exam might be used to fill future positions in that classification. Additionally, it is possible that once the exam was given, the appointing authority selected someone other than the incumbent. The data to determine this were not readily available; however, DAS staff stated it happens very rarely.

As noted earlier, agencies are limited to the five top ranks of an appointment list to fill a position. However, under MPS it is rare that this restriction prevents an agency from promoting a person since almost all candidates are reachable for several reasons. First, competition within the MPS process is significantly diminished because only employees with six months or more service in that agency are eligible for the examination. Also, some examinations may have few persons eligible due to the small number of incumbents with experience in classifications that are considered relevant. In fact, over one-quarter of the MPS examinations announced between March 1990 and March 1991 (183 of the 658), had only one applicant. In most of those cases, the examination was waived and the person was promoted, contingent upon satisfactory service ratings.

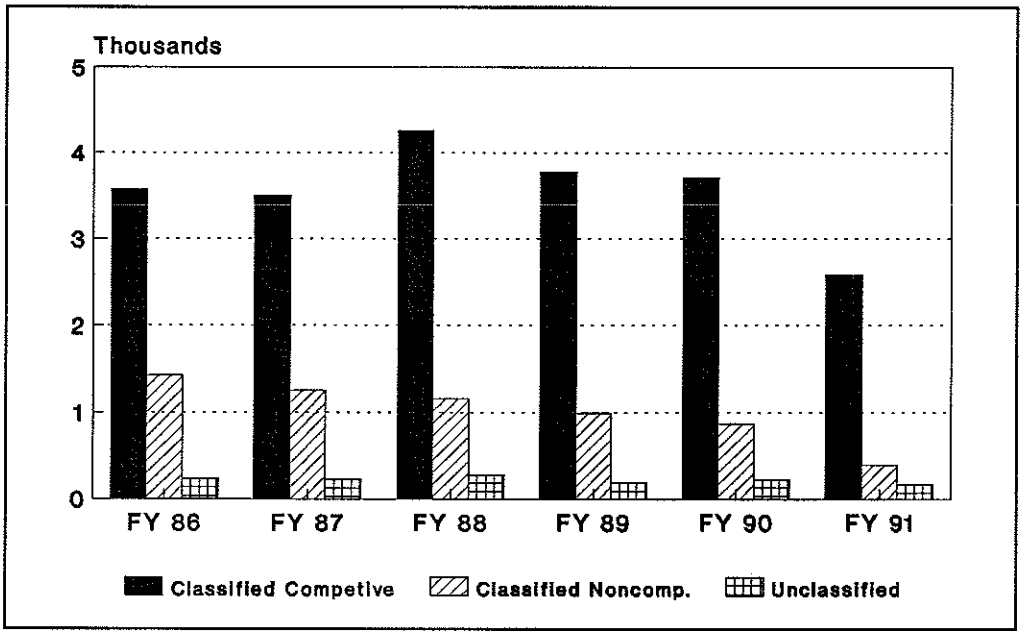
In addition, most of the time agencies were not limited by the rule of five simply because not that many candidates took the individual exams. For example, in only

127 of 658 (19 percent) exams announced between March 1990 and March 1991, did more than five people who take an exam. Further, 89 percent of those who responded to the committee questionnaire stated that they finished in the top five ranks for the MPS exam taken.

Promotions and Transfers

Promotions. As discussed earlier, the personnel statute requires that, where possible, vacancies be filled by promotional appointments. The number of promotions for full-time positions occurring in the three state employee categories over the past five years were reviewed. Results of this review are shown in Figure III-6. As the figure illustrates, in each category numbers of promotions grew during the mid-1980s, reached a high in FY 88, and have since declined.

Figure III-6. Promotions in State Government -- FYs 86-91.



Source: LPR&IC Staff Analysis of DAS Data.

Probably more noteworthy as an illustration of promotion activity, is the comparison of ratios of promotions among the three categories of employees. For example, promotions in the classified service have been running about 10 to 20 times the number of promotions occurring in the unclassified service. However, based on the number of filled full-time positions in each category as of March 1991 (shown earlier in Table I-4), the ratio of classified employees to unclassified employees is

about 2 to 1. The ratio of promotions in classified competitive service also outpaced those in noncompetitive service but by a smaller margin--about 3 to 1; the ratio of competitive employees is just less than twice the number of noncompetitive workers.

There are several plausible explanations for these disparities. First, the reliability of the data is certainly open for debate. The data were obtained from the CSEIS system, and as discussed in this report, the accuracy of the information in that system is not totally reliable. However, the system is the only comprehensive source of personnel information available at this time. Thus, the program review committee used the system's information, but acknowledges its flaws.

Another reason, other than the data, is the Objective Job Evaluation (OJE) process. This process, which focused first on evaluating classified service employees, has only recently begun examining positions in the unclassified service. Since the outcome of OJE was often reclassifying positions upwards, this could have resulted in many more promotions in the classified service than in unclassified service. It does not explain, however, the imbalance in the classified competitive versus non-competitive segments.

Another explanation for the discrepancy could be the greater number of classifications in the classified service, as pointed out earlier. These classifications tend to be narrowly defined in terms of duties performed. If a person is working beyond those functions, then it is possible he or she will be reclassified to the next level--a promotion.

Transfer of employees. Another way of filling a position is to place someone in the position who is already working in that classification in another agency or in another section of the same department. By regulation, the DAS commissioner is required to maintain a transfer registry containing the names of employees interested in transferring to another agency. Eligibility on the transfer list expires after two years.

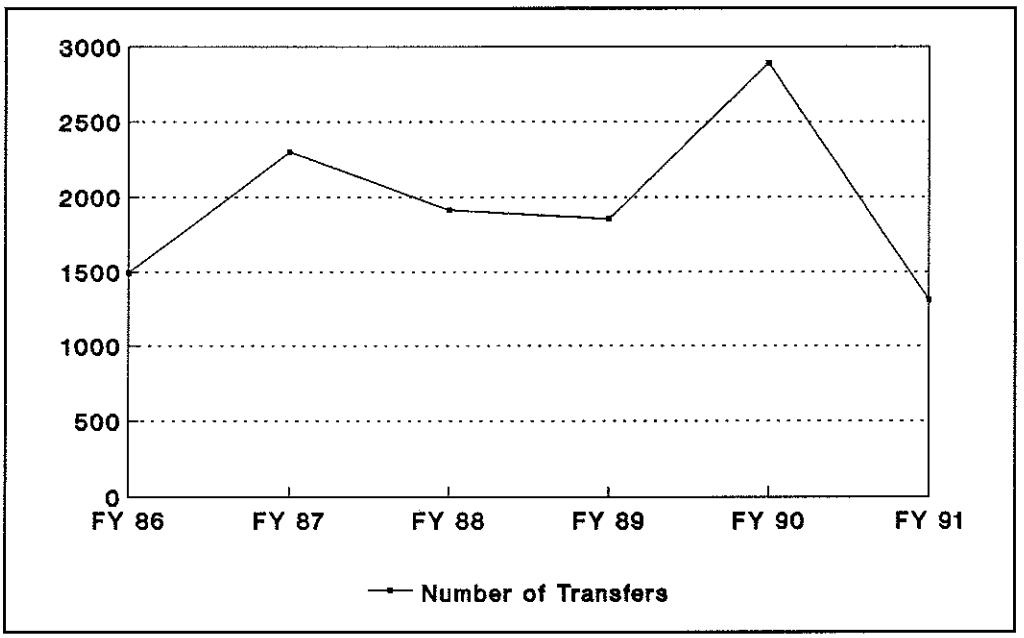
At present, the transfer registry is a paper file listing employees' names by job classifications for which they are eligible. DAS staff who maintain the registry state that it is considered a courtesy for employees, not a prerequisite for transfer. In fact, employees interested in transferring are encouraged to contact agencies on their own. Aggregated information based on the committee staff's analysis of the current transfer file is presented in the Table III-5.

Committee staff's analysis reveals that several employees appeared on different classification lists and that there was no indication any employees on the list had indeed transferred to another agency. There was also no indication that agencies had requested information from the transfer lists. In some instances, it was noted that eligibility had expired, but in most cases it was not.

Table III-5. DAS Employee Transfer List as of August 1991.		
CLASSIFICATIONS	EMPLOYEES	EXPIRED DATES
103	384	164
Source: LPR&IC Staff Analysis of DAS Data.		

Once an employee is transferred, data must be entered into the automated personnel information system after written documentation has been submitted that both agencies involved and the DAS commissioner have approved the transfer. Figure III-7 below shows the total number of transfers for classified competitive positions from FY 86 to FY 91. Both inter- and intra-agency transfers are included.

Figure III-7. Transfers in Classified Service, FYs 86-91.



Source: LPR&IC Staff Analysis of DAS Data

Based on the number of transfers that took place in the classified competitive service in 1991 alone, it appears that agencies seldom use the DAS-maintained transfer list as a pool for filling positions. According to data obtained from the CSEIS system, about three times the number of transfers took place than there were employees on the registry.

Appeals

According to state statutes, the Department of Administrative Services has the ability to: 1) reject the application of any person for admission to an exam being held to establish an employment list for the classified service; 2) refuse to test an applicant; or 3) refuse to certify an eligible person who has been found to lack any of the established qualifications set by DAS. Any person denied admission to take an exam has the right to appeal the decision. The appeal process is explained in both statute and department regulations.

Separate from the process for appealing exam admission rejections, there is also an appeal process outlined in statute and department regulations for such matters as: poor performance evaluations; discrimination; suspension; or dismissal issues for employees not belonging to a collective bargaining unit (managers). These employees must have attained permanent service status in order to file an appeal. For members of the state's collective bargaining units, appeals of these sort follow processes outlined in the different collective bargaining agreements.

The personnel statute also outlines a process for any employee wanting to appeal issues relating to classification or compensation. Each of the various appeal processes are described in greater detail below.

Exam application rejection appeals. If a candidate's application to take an exam for a position in the classified service, including merit promotion exams, is rejected by a Personnel Division analyst, there is a process in place through which the candidate may appeal the rejection. Rejection to an exam may be due to several reasons including: 1) missing the application deadline; or 2) the candidate does not meet the minimum time in state service and/or time spent in an agency.

According to state law, once a candidate's application has been rejected, he or she has seven days following notice from DAS to appeal the decision to that department's commissioner. After the commissioner has been informed of the appeal, a panel of three personnel officers from agencies larger than 100 employees is convened to hear and decide upon the appeal. The hearing panel then has 60 days from the date the appeal was received by DAS to render its decision.

Although the statute concerning application rejection appeals outlines the process to be followed, DAS regulations provide for a more detailed description and

for additional review of a candidate's qualifications prior to the actual hearing. This is done to allow an opportunity to resolve an appeal prior to the hearing stage.

According to the regulations, an applicant who is rejected to take an exam has seven days after being notified of the rejection to appeal the decision. After the candidate is notified by DAS that their appeal is received, any additional material showing relevant experience not indicated on the application may be submitted within 10 days. Also, any information to be presented before the hearing panel must be submitted to the Personnel Division within this 10-day period.

If supplemental information is submitted, the analyst who made the initial decision to reject the candidate reviews the candidate's qualifications again. After this review, a second decision is made whether the person should be admitted to take the exam. If the analyst does not change the original decision, the candidate is notified by the division that an appeal of the rejection may be made before a hearing panel. Candidates may also waive their appeal at any point in the process prior to the actual hearing.

Exam application rejection appeal hearing. An appeal hearing is the last step in the process to decide if a candidate is to be admitted to take an exam. A hearing panel is formed to hear the applicant's appeal, as well as the testimony from a representative of the Personnel Division. The director of the state Personnel Division is responsible for appointing the hearing panel and designating a panel chairperson.

Applicants are permitted to have with them a representative who has a professional interest in the case, such as a union representative or a private attorney. If the applicant is a current state employee, he or she is not permitted to have any representative whose presence could be viewed as a conflict of interest, such as a direct supervisor. Hearings are closed to the public unless the employee who is making the appeal decides otherwise. Following a hearing, transcripts are available for 60 calendar days.

The final decision of the hearing panel is to be in writing and signed by the panel chairperson. The decision must be made within 60 working days from the date the appeal was received by the Personnel Division and is to include a statement of the panel's findings and reasons supporting its decision. Original copies of decisions are filed with the Personnel Division director, with copies sent to the appellant or union representative, and any other person deemed entitled by the panel. All decisions by hearings panels are binding and apply only to the admission or rejection of the exam for which the employee applied.

Analysis of application rejections. As part of its analysis of exam application rejection appeals, committee staff believes it was important to assess how many applications were rejected after the first review by personnel analysts. However, the

Personnel Division's system of tracking these types of appeals does not show the number of applications rejected on the first attempt. Furthermore, appeals regarding application rejections for merit promotion exams are tracked separately from appeals concerning open competitive, agency promotional, and statewide promotional rejections, and are not included in the following analysis.

Table III-5 shows how often candidates are admitted to exams after appealing their first rejection. As the table indicates, 44 percent of candidates who appealed during calendar year 1989 were ultimately admitted to take exams. This percentage increased to 52 percent during 1990, and to 53 percent for the first eight months of 1991. Almost all of the decisions to uphold appeals were made by the personnel analyst after receiving additional material submitted by candidates, and not at the hearing stage.

Table III-5. Exam Application Rejection Appeals Activity, Calendar Years 1989-91.

	1989	1990	1991*
Number of Applications Submitted	16,249	19,144	11,197
Number of Applications Rejected on First Try	5,653	5,152	3,816
Number of Appeals	814	903	383
Number Admitted to Exam After Second Review By Analyst	350	456	195
Number Admitted to Exam After Hearing	11	10	8
Number of Waivers	242	295	126
Number No Action	158	73	34
Number Rejected After Hearing	53	69	20
Percent of Rejections/Ultimately Overturned	44%	52%	53%

* As of 8/14/91
Source: LPR&IC Staff Analysis

Other points illustrated by the table are the number of waivers and no-action cases. No-action means either: 1) an appeal date appears without any subsequent action; 2) a second rejection was made but either a hearing date was not scheduled or the appeal was not waived; or 3) a hearing date was scheduled but final disposition was not indicated. Of the appeals filed, 30 percent were waived (withdrawn) in 1989, and 33 percent were waived during each of the next two years. Also, while 19 percent of the appeals remained unresolved for 1989, this figure dropped to between 8 and 9 percent for 1990 and 1991.

Exam score appeals. Following an examination, a candidate's application and answer papers are open for inspection for 60 days following promulgation of the employment list or, in the case of a pass/fail exam, notification of the results. If a candidate questions his or her exam score, a written request may be filed to have the DAS commissioner review the score. This request must be made no later than 10 days after the candidate has reviewed the exam results. Exam score reviews are done by the Personnel Division's Psychometric Unit.

Although there is no statutory or regulatory provision for a formal hearing to resolve exam scoring or ranking issues, state law does say in broad terms that the DAS commissioner may designate two or more DAS staff to serve as a hearing panel in any matter before the commissioner. Furthermore, department regulations state that in matters concerning exam results, the commissioner or his representative shall, within 21 days from the date a person requested a review, issue a final determination of the score.

Classification/compensation appeals. For appeals concerning classification or compensation issues, employees, their representatives, or their appointing authority, may submit concerns to the DAS commissioner and request a hearing. If a hearing is desired, a panel--usually consisting of the division chiefs from the personnel and administrative sections within DAS, and an experienced agency personnel analyst not from the same agency as the appellant--is convened to hear the appeal. Within two months after the claim is received by DAS, or after a hearing has been completed, the commissioner is required to inform the appellant of the panel's decision in writing.

Other appeals. Any employee who is not a member of a collective bargaining unit within the state may appeal to the employees' review board with a claim concerning: 1) an unsatisfactory performance evaluation; 2) suspension; 3) demotion; 4) alleged discrimination; 5) unsafe or unhealthy working conditions; or 6) violation involving a specific personnel statute or regulation. Before an appeal can reach the review board, however, it must first follow a three-level preliminary review process. This process is outlined in Table III-6.

Table III-6. Appeal Process for Noncollective Bargaining Unit Employees.

Level	Reviewer	Appeal Filing Date	Decision Date	Types of Appeals Heard
Level 1	Supervisor, Dept. Chief, or other Appointing Authority designee	No later than 30 days after incident	Between 7-14 days of receiving appeal, depending if meeting is scheduled with employee	All matters except: 1. exam issues 2. classif. issues 3. OSHA compliance 4. discrim. appeals filed w/ CHRO 5. demotion, susp., dismissal
Level 2	Employee's Appointing Authority	Within 7 days after Level 1 decision	Same as Level 1	Same as Level 1
Level 3	DAS Commissioner or designee	Within 7 days after Level 2 decision for demotion, suspension dismissal, within 21 days after incident	Between 30 and 45 days after receiving appeal, depending if meeting is scheduled with employee	All matters except 1-4 listed under Level 1
Employees' Review Board	Whole board or panel of 3 or more members	Within 10 days after Level 3 decision	Within 60 days from the latter of the date, or conclusion, of hearing	Same as Level 3

Source: LPR&IC Staff Analysis

Noncollective bargaining unit employees who have been laid off or dismissed by reason of economy, lack of work, insufficient appropriation, departmental reorganization, or because their positions have been abolished, may file appeals with the board. Such appeals may be made only if the layoff or dismissal is not in accordance with state law. Also, such employees must have first initiated the third level in the preliminary review process within 21 days of the alleged action.

Employees' review board. The employees' review board consists of seven members who are appointed by the governor. At least one of the members must have experience in administrative or labor law; all members appointed after FY 87 must have substantial current experience as impartial arbitrators of labor-management disputes. Each member is appointed for four-year terms, and no board member may serve more than two consecutive terms. The governor designates one member to serve as chairperson. The board is within DAS for administrative purposes only.

When hearing appeals, the board as a whole may act on the case or it may select three or more of its members to serve as a hearing panel and render a decision. Among other powers, the board or hearing panel has the right to administer oaths, issue subpoenas, and make investigations. Hearings are public, unless the employee filing the appeal chooses otherwise.

After the board or hearing panel has heard both sides in the appeal, a written decision must be made within 60 calendar days from the date of the hearing or its conclusion, whichever is later. If an appeal is sustained, the employee's appointing authority has 10 days following the decision to take measures to rectify the matter as directed by the board or hearing panel.

Employees and the appointing authority are entitled to have representation at any level of the preliminary review process and before the review board. The original decision rendered by the board is kept on file with the state's personnel director, and copies are sent to the parties and any other person deemed necessary by the board.

If an employee believes detrimental personnel action has been threatened or taken against him or her in retaliation for filing an appeal, another appeal may be filed directly with the review board. This appeal must be filed within 30 days of the alleged incident.

CHAPTER IV

RELATED PERSONNEL FUNCTIONS

A number of functions related to classification and testing are performed by the state's central personnel office. Audits, performance evaluations, and automation, all of which are vital to the personnel system, are discussed in this chapter.

Audits

One of the basic controls DAS exercises over personnel actions taken by agencies is the audit function. DAS performs audits either prior to an action being taken or post-transaction.

The audit function that takes place prior to a transaction is closely related to data entry. Every transaction concerning personnel in the classified system is supposed to be entered into CSEIS, the state's automated personnel information system. Before a transaction is entered, data entry personnel must verify that all paper documentation is attached and approved by the appropriate authorities before it becomes effective within the system. Most checks must be done manually.

The other type of verification done by Personnel Services is a post-audit of the exam process. This is mainly conducted for the merit promotion system--the decentralized examination process. Auditing of examination material and scoring is also done, but less frequently, for DAS-administered exams. Post-audits of the MPS exams, which are statutorily required, have two parts. First, the Psychometric Unit in DAS verifies that scoring for factored experience and training or oral examinations has been done correctly. This is typically done within one week after the exam has been scored.

Second, the MPS Unit is responsible for conducting another category of audits done annually of each agency that participates in the MPS program. The purpose of these audits is to ensure that exams were given in a timely fashion and agencies adhered to proper recordkeeping and documentation procedures. The MPS Unit staff assigned to an audit examine all MPS exam files in that department, or select a sample depending on the number of exams given during that year. Some of the factors examined include: whether the rating for whole job exams, which are performed by agency personnel, are calculated correctly; that the scoring for factored and oral exams had been reviewed by DAS' Psychometric Unit; that only one application had been received in cases where the person was promoted without the exam; and that all forms have been signed as necessary.

As part of the audit, the MPS Unit distributes questionnaires to some or all MPS candidates in a department, again, depending on the number, to assess satisfaction or concerns with the process. After the audit has been completed, the MPS analyst issues a report on the audit's findings, which is discussed with the department at an exit interview.

Automation

Connecticut State Employees Information System. The Department of Administrative Services has had an automated personnel system, the Connecticut State Employees Information System, since the late 1970s. The system keeps information in two general ways--by person and by position. Any changes to the system usually update either part of the information system.

According to DAS, some agencies are better than others in sending the information to update CSEIS. Because there is no link between the personnel information system and the state's payroll system, there is little incentive for an agency to transmit changes in personnel information to DAS quickly. Other major flaws with the CSEIS system include its limited tracking capabilities. For example, it can neither track positions over time, nor classes. Further, the system is not linked with any other major information system, such as payroll, budgeting, or exams.

Efforts have been underway for several years to upgrade CSEIS and provide some link to a proposed statewide automated budget system. In fact, since FY 88, approximately $2 million has been appropriated to upgrade the system. Another $1 million was requested by DAS in its FY 92 budget, but none was allocated in the governor's recommended budget.

Applicant tracking and certification. The Department of Administrative Services has had a separate automated system for tracking exam applications since late 1988. Although there have been plans to link this system with CSEIS, the two systems have yet to be joined.

Once an application is received, pertinent data on the applicant and exam are to be entered into the system, as well as tracking information such as: the personnel analyst responsible for review; whether the application was accepted or rejected; whether the candidate actually took the exam; and the candidate's score. The system also has word processing functions that generate form letters, labels, and similar items.

Initially, the automated applicant tracking system was to have included functions related to certification of candidates as well. Due to system problems with that aspect, certification lists and appointments from the list are still done manually.

The certification module of the system, currently being redesigned, is expected to be completed in 1992.

Performance Evaluations

Nonmanagement personnel. Performance evaluation is an important tool used in personnel services management in state government as well as the private sector. State statutes require that the commissioner of administrative services issue, by regulation, a service rating system to evaluate all classified nonmanagement state employees. Statutorily, the service ratings are required to be linked to salary adjustments, and are also the basis for demotions or dismissals. If an employee is aggrieved by the rating results, an appeal may be filed using the process described earlier.

In state service, all personnel must be evaluated during their working test periods and receive a satisfactory service rating before achieving permanent status. Once an employee successfully attains permanent status, personnel regulations require that evaluations--known as service ratings--be conducted and discussed with the employee at least annually, but not more than quarterly. Service ratings must be filed with the employee's agency at least three months prior to the annual salary increase date.

To receive an annual raise, an employee's rating must be "good" or better. If an employee receives a "fair" or an "unsatisfactory" evaluation at any time during the 12-month evaluation period, the employee does not receive a wage increase. In the latter case, the service rating form must also be filed with the DAS commissioner to preclude the annual salary increase from taking effect through the automated system. Also, if an employee has reached the top compensation level for his or her class, an annual increase is not given, regardless of the service rating. State statutes require that all evaluations be kept on file at the agency and that employees be able to review their ratings.

There is no external verification that agencies are conducting evaluations at least annually. In the program review committee staff's survey on personnel practices, agencies were asked if they ensured that performance evaluations were conducted at least annually. Ninety-three percent of the 42 respondents said they did; five percent stated they did not; and two percent said they did not know.

Management employees. The personnel statute allows the DAS commissioner to establish one or more incentive plans for employees designated managerial or confidential. Currently, there are two such plans. The Management Incentive Plan (MIP) is for employees paid on the managerial pay plan and responsible for managing a unit or a major agency program. The other plan, the Professional Incentive Plan (PIP), covers employees who do not meet the second MIP criterion.

Agencies wanting to use either incentive program must submit a plan to DAS; about 43 agencies currently participate in the programs. Part of each incentive plan is an evaluation procedure, which includes periodic progress reports. For those in the MIP, that evaluation is based on achieving a set of goals and objectives established by the manager and his or her supervisor. The PIP also requires a similar evaluation procedure, but based on a performance appraisal form rather than specific job objectives.

Similar to non-managers, evaluations form the bases for managers' annual salary increases. However, the annual increases vary depending on the rating received -- the higher the rating the higher percentage of salary increase. An additional incentive of the MIP and PIP is that lump-sum bonuses are given, even if a manager has reached the top salary level for that class.

There are five ratings in each of the incentive plans: outstanding; excellent; fully successful, needs improvement; and unacceptable. The plan limits the percentage of managers who may receive the top two ratings to 20 percent of managers. There is also a limit on payouts -- 8 percent for "outstanding" and 5 percent for "excellent". All other managers are eligible to receive 3.5 percent for "fully successful" or 2 percent if they "need improvement" in their performance. If a manager receives an "unacceptable" rating, he or she is ineligible for any salary increase. According to DAS data, typically less than 1 percent of managers receive that rating.

CHAPTER V

FINDINGS AND RECOMMENDATIONS

Legislative Program Review and Investigations Committee findings and recommendations concerning the state's personnel system are contained in this chapter. Proposals to do a number of personnel functions differently are included. While challenging some of the premises on which the current personnel system is based, the recommendations are limited in their scope and do not comprise a strategic plan to guide all the state's personnel decisions. To fully prepare the state for the future, other human resources issues that were not included in the scope of this study--collective bargaining, affirmative action efforts, and training--should be examined.

Based on its review, the committee concludes that the development of a strategic plan is absolutely critical to guide the state's personnel decisions over the next decade. Furthermore, the committee believes it is necessary to develop clearer roles for agencies involved in personnel, to establish personnel standards to assist agencies in managing their personnel, and to bolster the image of state employment and employees. Recommendations to achieve these goals are discussed in the first section of this chapter.

The committee found the current system for examining, selecting, and appointing candidates to be cumbersome, duplicative, and uncompetitive. To address these deficiencies, it is recommended that a new model for selection be put in place. The new system requires that many current personnel laws, regulations, and policies be abolished or changed. These changes are discussed in detail in the second part of this chapter.

CONNECTICUT'S PERSONNEL SYSTEM

Current statutes provide two overriding themes to the state's personnel system. First, the system must be administered equitably and uniformly for all employees in state service. Second, the system must be based on merit principles, which, except as specified in the law, are to be ascertained by examination in accordance with the statute.

While both goals are laudable, the program review committee found they are not always met because the roles of the different agencies in the personnel system are blurred. As discussed in Chapter I, the Personnel Division of the Department of Administrative Services, the Office of Policy and Management, and individual agencies

all have responsibilities related to personnel matters in state government. Subsequently, it is unclear whether the main role of the Department of Administrative Services is to service agencies' personnel needs, or to act as the central control and oversight mechanism. Equally unclear is the responsibility of individual agencies in managing their personnel.

The program review committee, therefore, recommends that these roles be clarified, and that the missions of the three entities involved in personnel -- OPM, DAS, and the operating agencies -- be developed as part of the Human Resources Strategic Plan recommended below.

A clear definition of the participating agencies' missions will provide the foundation for human resource planning, implementation of the proposed changes contained in this report, and direction for a new personnel management system.

Human Resource Planning

Strategic planning. Connecticut has not taken a comprehensive look at its current workforce, or what that workforce should be during the next decade. In fact, the Department of Administrative Services does not have a unit within its current organization to carry out human resource planning. The department has seen its role primarily as a control agency, largely responding to agencies' requests, rather than as a strategic planning arm for all the state's personnel needs.

The program review committee believes the personnel planning functions now being performed by DAS do not look at state government as a single employer. Current efforts not set an overall personnel direction on which state agencies, or even DAS' Personnel Division, can focus.

The legislative program review committee recommends that the Department of Administrative Services develop a long-range strategic plan that anticipates the state's personnel needs for the next decade. The plan should analyze: how current staff will meet those needs; whether and what type of retraining will be necessary to provide the state's services; what additional hiring will be needed; and what recruitment efforts should take place. In addition to setting long-range goals, the plan should establish short-term strategies on how to accomplish these goals, including how various personnel sections within DAS will work together to accomplish them.

It is imperative that the state develop an overall blueprint for its personnel needs, what services personnel will provide and how, and the technology that will be used to provide those services. The Personnel Services Section within DAS should use the plan as a working document to update its job specifications, recruit the types of personnel needed, and establish new screening and testing tools to select well-

qualified job candidates. The plan, will furthermore assist in establishing objectives for a statewide affirmative action plan and developing in-service training programs.

How DAS develops the strategic plan is an administrative decision. Other states have used task forces, commissions, or developed a strategy internally. The most important factor seems to be involvement of all parties that have a stake in the outcome of the plan--state agencies, higher education representatives, labor unions, private sector representatives, and personnel experts.

Perception of state employment. A number of the personnel studies conducted by other states and the federal government indicate that public service careers are viewed negatively by general population. While this study did not attempt to measure how state employees are regarded by the public, there is no reason to believe perceptions of public servants differ in Connecticut.

The public image of state employment is linked to many issues that involve personnel: recruiting the best qualified candidates for jobs; retaining good employees; boosting morale; and improving productivity among workers. Without enhancing the image of state employment, all other personnel goals become more difficult to attain.

Therefore, the program review committee recommends that the Department of Administrative Services incorporate in the proposed strategic plan approaches for building the image of state employment and state employees to Connecticut's citizens, potential candidates for state jobs, and current state employees.

The committee believes this responsibility should rest with the DAS Recruitment Unit. The unit's workload has declined with recent layoffs and hiring freezes. Thus, personnel in that unit could devote their attention to publicizing the positive aspects of the functions performed by state agencies and their employees. At the same time, the unit should also enlist state employees' support to do more for the public good outside of the workplace, such as volunteering time or assisting with non-profit and community organizations.

Upward mobility. In 1977, the legislature passed Public Act 77-280, which created a statutory body entitled the Committee on Upward Mobility, comprised of six members appointed by the commissioner of administrative services. The committee is charged with determining how career counseling and training opportunities can best be provided within allotted funds, and advising the DAS commissioner on the broader usage of classification titles affecting upward mobility. The committee was also to prepare, by 1978, written guidelines for implementation of the upward mobility program and establish an effective procedure for reporting compliance to the legislature.

The upward mobility committee has not been active for a number of years, and, in fact, has seen no need to continue after submitting its initial guidelines report to the legislature. Some of its mandated activities have been carried out despite the disbanding of the committee. For example, an upward mobility manual, which explains to state employees how to set career goals, write resumes, and describes the state's personnel system, was recently developed by a group of state affirmative action officers.

The program review committee believes the reasons prompting the establishment of the upward mobility committee in the late 1970s are as important today as then. In fact, the objectives of such a committee -- to ensure that employees are knowledgeable about ways to advance themselves in their jobs -- becomes even more important during a period when government is contracting.

Therefore, the program review committee recommends that the Committee on Upward Mobility be revived, and that eight additional members be appointed by the commissioner of administrative services including: two representatives from state agency personnel administrators; one representative from the Office of Policy and Management; another representative from the Department of Administrative Services who is involved in classification activity; two additional labor representatives; and two additional state employees. The committee will meet quarterly and report periodically to the commissioner of administrative services on ways to improve the upward mobility program.

With this revitalized, expanded committee, state employees will be assured that issues affecting advancement and affirmative action will be examined. The program review committee believes that with the representatives from the OPM, DAS, and agency personnel administrators on the committee, issues affecting career opportunities will be viewed realistically, with the state's broader fiscal and personnel needs in mind.

Personnel standards. In addition to the lack of an overall strategic plan guiding state personnel needs, little is done to establish overall standards for personnel functions across agency lines or measure agency performance in this regard. The program review committee believes there should be general standards to guide and assess agency personnel management concerning the span of control for managers, the ratio of promotions to employees in an agency, and similar items. The standards would also assist DAS personnel analysts in deciding on agencies' requests and actions. The department currently responds with case-by-case judgments on requests and actions, without regard to agency comparisons or the overall effect on state government.

The program review committee is aware that agencies have different functions, different staff performing those functions, varied types of programs to administer, and

different organizational structures to implement those programs. However, the committee believes that measures can be developed for similar agencies, as well as for similar categories of personnel across agency lines. These measures would serve as benchmarks to assess agencies' personnel performance, and guide DAS with its control functions.

Another problem with the current case-by-case management system, is that it is not an effective control mechanism. DAS does not reject many of the agencies' requested personnel actions. Between FYs 86 and 90, DAS disapproved or returned only three or four percent of all requests. In FY 91, the rejection rate increased to 5.7 percent, but this still demonstrates lenient central control in the committee's opinion.

A primary example of where agencies are not governed by any general policy or standards is staff promotions. According to DAS data, ratios for agency promotions ranged from one person in four being promoted to one person in 59 during calendar year 1990. Similar ranges exist for the first three quarters of 1991.

Agencies really have nothing to lose, other than the time and effort for submittal of paperwork, by requesting personnel actions, such as a new classification, a new position, or a reclassification. The committee believes that agencies must take more responsibility for planning, controlling, and being accountable for their own personnel actions.

Therefore, the program review committee recommends that the Department of Administrative Services establish a set of personnel standards to guide agencies in personnel management. The standards should govern promotions, reclassifications, and new classifications and positions.

Such personnel standards will improve agencies' planning and management by increasing their awareness of whether proposed personnel changes are within established parameters. Further, agencies will be responsible for their judgments on the necessity of new classifications, and forced to be more selective in requests for reclassifications and promotions.

Both the federal government and private industry use such standards. For example, the federal government sets acceptable ratios for promotions, and initial hiring salaries for its departments to follow, subject to post audit its Office of Personnel Management. Another example is a large manufacturing company in the Hartford area that limits promotions to six percent of its workforce.

Ideally, standards for agencies, coupled with DAS approval, will provide tighter control than the current DAS approval process alone. However, if agencies are unable or unwilling to comply with the standards, and continue to submit the same number of requests, additional control measures could be explored. These could include

attaching estimates for DAS review or requiring adherence to personnel standards and objectives in managers' evaluations. On the other hand, if it appeared that agencies were managing their personnel in compliance with the established guidelines, exemptions from central approval for some requests might result. In either case, legislative action would be required. The program review committee could propose such action to the Labor and Public Employees Committee if future compliance reports related to this study indicate it is necessary.

PERSONNEL SERVICES AND SUPPORT FUNCTIONS

A discussion of the program review committee findings pertaining to each major function performed by DAS' Personnel Division follows. For the most part, related recommendations are developed later in this chapter as part of a new model for personnel selection that the program review committee believes will correct a number of deficiencies. Other recommendations, designed to remedy a specific functional area but not part of the new model, are contained below.

Classification

Classifications are designation of jobs that are similar in: 1) duties and responsibilities; 2) experience and training requirements; 3) testing that can be used; and 4) compensation schedules. By statute, the Department of Administrative Services is responsible for establishing, modifying, and abolishing classifications.

Number of classes. There are currently about 2,700 classifications for approximately 39,000 competitive and noncompetitive jobs in the classified service in Connecticut. Connecticut ranks eighth among the 50 states in the total number of classifications for its classified employees, according to a survey conducted by the Council of State Governments. Table V-1 shows how Connecticut compares against a number of New England states as well as several other selected states. Among states listed in the table, Connecticut's total number of classes places it second highest; however, Connecticut drops to fourth place in its ratio of classes to total classified employees.

Classification trends. As indicated earlier, it is difficult to state whether the number of classifications has been increasing or declining in Connecticut. The Personnel Division does not have adequate information concerning trends in classifications. The division believes 2,700 is about the same number of classes the state had in the early 1980s. However, there is no way to verify this, since the division's automated information system cannot provide historical information, and no other information is available to identify these trends.

The data available on classifications indicate there are a great many agency requests to the Personnel Division for new classifications. More than 130 classification requests have been submitted in each of the past five years; at least 125 have been approved annually. New classifications approved during the period of FYs 87-91 make up about 30 percent of the state's current number of classes.

Table V-1. Comparison of Classifications Among States

STATE	NUMBER OF CLASSIFIED EMPLOYEES*	NUMBER OF CLASSIFICATIONS	RATIO: CLASS TO EMPLOYEES
Colorado	30,000	1,300	1:23
Connecticut	39,000	2,700	1:14
Georgia	50,000	1,590	1:31
Maine	12,250	1,500	1:8
Maryland	60,000	2,400	1:25
Minnesota	30,000	1,100	1:27
Missouri	30,000	1,100	1:27
New Jersey	64,200	7,000	1:9
Oregon	34,200	1,100	1:31
Tennessee	36,000	1,600	1:23
Washington	50,000	2,200	1:23
Wisconsin	38,600	2,200	1:18
Rhode Island	15,000	1,700	1:9

* Numbers in the table refer to classified employees, not total number of state employees.

Source: Council of State Governments Survey Data and LPR&IC Staff Phone Survey

Low-incumbent classes. In addition to the large total number of classes, the program review committee found that many classifications have only one, two, or three persons in them. As discussed earlier, slightly over half of these low-incumbent classes are at the management level. Further, almost half of all 883 management classes are single-person classes.

The problems with large numbers of narrow classifications are cited throughout recent studies on personnel. A narrow classification system: makes it difficult for managers to move employees to where they are most needed; creates pressure for more promotions and new classes to be created because compensation maximums are more quickly reached (potentially creating top-heavy organizations); and narrow classes can be more easily developed to suit a preselected candidate. Further, narrow classifications create more work for central personnel services in developing exams and employment lists for more classes. A narrow classification system also makes it easier to insulate individual employees when lay-offs occur, which can be a benefit or a hindrance to effective downsizing.

Based on Connecticut's number of classifications, how it compares with similar states, and the accompanying problems attending a great number of classes, **the program review committee recommends that Connecticut reduce the number of classifications in classified service. Further, once the reduction has been completed, DAS should place a cap on the percentage of new classifications approved.**

There are many examples of governments and organizations that have made reductions in classifications. Canada has pruned its public service classification list significantly. Florida is recommending its classifications be reduced from 1,600 to 780. Private sector employers have also pared the number of classes with which they work. One large manufacturer in the Hartford area recently streamlined its unionized job classes from 1,000 to 300, and salaried classes from 3,300 to 400.

The program review committee believes successful reduction in classifications will depend on a number of factors. First, changes will be needed in the compensation area, as discussed below. Second, a framework for categorizing these classifications must be established. Later in this chapter, recommendations that provide such a framework in the proposed model system are discussed. Finally, there must be a commitment from everyone in the system--union leadership, agency heads, personnel administrators, central personnel services, and state employees themselves --to make broader, more generic classifications work.

Once reduction in classifications has been achieved, efforts must be made to prevent a resurgence in the number of classifications in Connecticut. The committee believes a cap ought to be placed on the number of new classifications approved in a given year. Some states, like Texas, have an overall cap, and no new classifications are approved after the cap has been reached. This method seems too restrictive, and the committee, instead, suggests a five-year rolling cap on new classifications. Agencies would be allowed to create new classes, but limited to no more than five percent of their existing classes, or three new classes, whichever is greater, over a five-year period. Of course, the committee assumes that concurrently, consolidation and reduction of classifications would be occurring, preventing additions to the overall number of classes in state government.

Compensation

Setting compensation. In theory, compensation is an integral part of classification. By statute, the Department of Administrative Services is required to set pay for new classifications by comparing pay to similar jobs within the state and "compensation paid for similar jobs elsewhere." Despite that mandate, the department's ability to set compensation based on outside pay is limited because of collective bargaining and objective job evaluation. The salary setting section of the department's manual on classification does not even discuss comparing salaries outside of state government. In fact, the last comprehensive salary survey that compared state government salaries with the general labor market was conducted in 1986.

When setting a salary for a new classification, the personnel services analyst determines the bargaining unit in which the classification belongs, since this will govern the pay plan. Next, the analyst must allocate the class to a pay grade within that plan. Several job factors such as: the knowledge, skills, and abilities required; scope of responsibility; and supervisory or management responsibility are analyzed and then related to pay grades for closely related occupational areas. While classification issues, per se, are not subject to collective bargaining, compensation issues are. Thus, if a union believes the compensation for a given classification is not set at an appropriate level, a grievance may be filed.

Salary increases for most state employees are negotiated through the collective bargaining process. The Office of Labor Relations, in preparation for those negotiations, does collect outside (e.g., other states, municipal, and private sector) compensation information for the jobs in the bargaining unit contract being negotiated. Both sides in the negotiations may review the information, but the outcome may have little link to the data. If no negotiated settlement is reached, the contract dispute goes to binding arbitration. The arbitrator may consider the salary survey data, but may not give it as much weight as other factors (e.g., percentage increases awarded other bargaining units), in making his or her decision.

The department also uses outside salary information to add salary stipends to jobs that are hard to fill because of market demands, rather than establishing the salary for the entire class at a higher level. For example, if occupational therapists are rated the same number of job evaluation points as a number of other health-related jobs and put at the same pay grade, but are difficult to recruit because they are paid more elsewhere, the department may offer the occupational therapist a stipend to bring the salary closer to the external pay rate without raising the salary of the entire pay grade.

Compensation comparison. Connecticut state employees are paid well relative to their counterparts in other states. According to analysis conducted by the Office

of Legislative Research (OLR) on U.S. Bureau of the Census figures for 1990, Connecticut ranked third (behind Alaska and California) among all the states in the average salary earned by full-time state employees. Connecticut also showed the greatest percentage increase in salaries paid over the past decade. Appendix D provides state comparison information.

As an OLR report (91-R-1081) indicates, Connecticut's per capita income also grew significantly during this same period. While Connecticut's average pay for state employees for 1990 outpaced the national average pay for state employees by 20 percent, per capita personal income for all Connecticut residents was 26 percent greater than the per capita income nationwide. Still, the growth in state employee salaries, coupled with a severe recession, are the most likely reasons that the turnover rate in Connecticut state government for FY 91 (excluding layoffs) was less than five percent.

The Thomas Commission also stated in its 1991 report that some state jobs seemed to be priced higher than the market in Connecticut, and recommended that the state develop and implement a state pay policy aimed at positioning state salaries nearer to existing labor market rates. The program review committee believes this would be good public policy, but the implementation of such a policy is difficult, if not impossible, as long as other factors such as collective bargaining by unit and binding arbitration are what really set salaries.

Internal comparable worth. Instead of using labor market comparisons, the department's focus on compensation has been on the comparable worth of jobs inside state government through the statutorily mandated Objective Job Evaluation program. But, even the department's ability to set compensation internally is diminished by interpretations of state law. State statutes prohibit wage inequities identified through the Objective Job Evaluation program from being eliminated through downgrading of any job classifications (C.G.S. Sec. 5-200c, adopted through P.A. 87-407). This has been interpreted, through arbitration, to also prohibit "red-circling" those classes deemed to be over-compensated until other classes catch up. As a result, bringing underpaid classes up to the same level as overpaid ones is the only method available for eliminating inequities. The Thomas Commission cited this as a major problem, stating it "seriously perverts the link between job evaluation and salary setting."

The program review committee concurs with the finding of the Thomas Commission, and recommends that Section 5-200c be revised to allow for red-circling of classifications to eliminate compensation inequities.

The implementation of this recommendation becomes even more important if the department is to create a broader, more generic classification system. It would be fiscally unwise to merge job classes into a new generic class if there is a possibility

that the salary level for the new class would have to be set at the pay for the highest incorporated class.

Pay grades. Also complicating the compensation issue, is the number of pay grades classifications encompass. For example, health care classifications cover more than 30 different pay grades, clerical classifications about 24, and unionized professional classes include 27 different pay grades. Management classifications alone encompass 26 different levels and cover a total salary span of about $70,000.

Individual management classifications, which have no steps, have a difference between minimum and maximum salaries of about 33 percent. The fact that management classes have no steps means that a manager can reach the top of the classification rather quickly, increasing the pressure to be promoted to the next classification, or to have a new classification created.

Most classes in collective bargaining units have seven or eight steps before the maximum of the salary range is reached. A few, however, only have 10 different steps before the maximum compensation is reached, with a total salary span of about 25 percent.

By contrast, the federal government's General Schedule compensation plan covers all 1.4 million non-postal white-collar employees, from clericals to administrators, with only 17 different pay grades. Each level contains 10 steps, with an average pay differential of 30 percent from the minimum to the maximum of each level. While studies of the federal pay system have found problems with compensation, the weaknesses cited have been that federal workers' pay has not kept pace with either inflation or private sector employment, and that pay scales were established on a nationwide rather than regional basis. The compact nature of the General Schedule has not been found deficient.

The program review committee found that the state's compensation plan, like its classifications system, to be unwieldy, hard to explain, and difficult to manage. In addition, outside salary information is not used to the extent it should.

Therefore, the Legislative Program Review and Investigations Committee recommends that the Department of Administrative Services begin to streamline the compensation schedule used in state government by reducing the number of pay grades and increasing the number of steps for each grade. The first objective should be to reduce the schedule for managerial level positions from 26 levels to 5.

Typically, beginning salary ranges for managers increase five percent for each higher pay grade. If all managerial levels where the beginning salary range differed by 25 percent or less were consolidated, the levels could be reduced to five, as suggested.

The managerial pay plan is the most obvious area to start restructuring, since it covers more classes than any other and is not subject to collective bargaining. This would be a beginning point for reducing the number of levels in the compensation schedule overall. Depending on success in this area, DAS could begin reducing the number of levels for employees under collective bargaining as well.

The salary schedule for each level would have to be elongated--the committee suggests 10 steps as the federal government uses--to ensure that workers could get scheduled compensation increases without requiring an upward change in class. Each new incumbent would have to start at the class's bottom compensation level, as is typically required now.

The program review committee believes if the compensation system can be streamlined, the state will be better able to use surveys of prevailing market rates to set salaries in state government.

Testing and Certification

In Connecticut, testing is done for each classification in competitive service, or, upon agreement by an agency and DAS, for similar classes. There are currently about 2,500 classified competitive jobs where testing is required. Thus, there is the potential for 2,500 different exams to be developed and administered. For the past five fiscal years, the number of exams given have ranged from a low of 1,373 in FY 91 to a high of 1,914 in FY 90. The committee found this system of testing for classifications to be inefficient and ineffective, compounding the problem of prolific classes in state government for several reasons.

First, when testing for classifications is too broad, it may not get at the specific knowledge, skills, and abilities that might be necessary for a specific job. Thus, agencies try to make classifications narrower so they can assure selected candidates will suit the needs of the positions filled. On the other hand, the large number of classes has created an administratively cumbersome selection process that still does not ensure the specificity of selection by position.

Second, the current system of testing does not have the confidence of state agencies. Fewer than one-third of the agencies responding to the program review committee staff's survey believe that examining candidates for specific job classes is the only way to evaluate a candidate's knowledge, skills, and abilities.

As described earlier, there are several methods used to select or promote a candidate in state service: open competitive; continuous recruitment; DAS-administered promotional exams; and merit promotion, largely administered by the individual departments. Coupled with these selection methods are a number of examination methods, including written, oral, and evaluation of experience and training based on

either job factors or entire job or class experience. Generally, the individual agency and DAS decide which selection method and exam type will be used.

When filling a position, an agency contacts DAS to get a list of certified names. The list contains the names of persons who have passed an examination for the particular class (or a similar one) and whose score currently places them among the top five ranks. If no list exists, or if there are too few candidates on the list, the agency may request a new exam.

Advertising, examination, and selection for positions are vacancy-based. In other words, a vacancy generates a request for a certified list of candidates. If no list exists, an exam must be developed, announced, given, scored, and the ranked list produced. By statute, the list is in effect for at least six months, but no longer than one year. The list can be extended by DAS for a period of no more than two years. No data are kept on how often these lists are extended, but DAS believes it is about 10 to 20 percent of the time.

Timeliness of examination and certification. As described in Chapter III, if an exam has to be developed and a list promulgated through an open competitive exam process, it takes an average of more than eight months. For DAS-administered promotional exams, the average turnaround time for a list is more than six months.

These turnaround times are considerably longer than in private sector and most other states that program review staff contacted. In general, the time now spent to examine and certify candidates is unacceptable to Connecticut state agencies. Thirty-two of the 42 agencies responding to the committee staff's survey believe the statewide promotion process is not timely; 35 believe that of the open competitive exam process. (See Appendix B for a tabulated Agency Survey).

Further, the time for developing exams and certifying candidates has been increasing for open competitive and DAS-administered promotional exams, while the actual number of these exams has declined by about 38 percent. Although it is difficult to pinpoint the reason for this slower response time, several factors contribute to it.

First, full-time positions in the unit responsible for exam development have decreased, and have been only slightly offset by the increased number of part-time staff. This translates into a decline in the number of person-hours available to develop and process exams.

Second, personnel analysts have responsibilities in addition to exam development, such as reviewing agency requests for reclassifications or new classes. There have been at least 130 new classification requests approved each year since FY 87.

In addition to the classification work itself, newly created classes also require more exam development time than would an existing class.

Third, until recently little attention has been paid to developing and adhering to productivity standards for processing personnel requests--exams, classifications, and the like. The Thomas Commission recommended that targets for these procedures be developed and monitored, and process flaws identified and corrected. In response, the Personnel Services Section has begun to develop some productivity standards for analysts.

Fourth, measures that might improve productivity have been slow in coming. There is an automated system to track applicant information and where the application is in the system. However, most examination development, review of applications, and all certification lists are still done manually. Attempts to automate the certification list function in 1990 were unsuccessful. The department has stated that it hopes a new system will be ready for 1992.

Types of selection. The current personnel system was built on a foundation of safeguarding the merit system. An overriding principle of that system is to hire and promote people based on individual merit. The traditional way of measuring merit has been through open competition, examination, and ranking candidates according to score, with selection limited to a certain number of top-ranked scores.

In fact, only about 15 percent of all competitive appointments in Connecticut are made this way, as Table V-2 indicates. (The data in the table do not include those appointments in the classified noncompetitive service, which are made without an exam.) The other 85 percent of appointments are made through: continuous recruitment, which does have an exam but has no restriction on selection of passing candidates; or promotion, where the competition for examination and/or selection is limited to department or service-wide employees.

Table V-2. Appointments and Promotions in Classified Service By Category, FYs 90-91.

	Open Competitive	Contin. Recruit.	Promotions MPS	Promotions Other	Total
FY 90	690 (16%)	2,063 (49%)	1,152 (27%)	343 (8%)	4,248
FY 91	578 (15%)	1,592 (41%)	898 (23%)	825 (21%)	3,893

Source: LPR&IC Staff Analysis.

The committee believes the current personnel system is detail-oriented, cumbersome, repetitive, and lacks the confidence of most state agencies. Further, in reality the merit system, by its narrowest definition, services only a small percentage of state appointments in Connecticut. Requiring that all the procedures of a merit system be followed for such a small segment of placements is wasteful and inefficient. Recommendations for changing the screening and selection of candidates is contained in the new personnel model described later in this chapter.

Merit Promotion System

As outlined earlier in the report, state statutes provide that "vacancies in positions shall be filled so far as practicable, and for the best interest of the state, by promotional appointments from within an agency and service-wide promotional appointments."

As Table V-2 indicates, most promotional appointments are made through the merit promotion system (MPS). MPS, currently used in 40 agencies, accounted for 42 percent of all exams in both FYs 90 and 91. Also, as discussed earlier, there is wide variation in the use of MPS exams among agencies. Given that most promotional appointments are made through MPS, the program review committee believes this means an employee's opportunities to be promoted vary, depending on the agency where he or she works.

Fifty-five percent of the MPS candidates responding to program review staff's survey said they believe MPS is not an appropriate method by which to promote people. Most respondents stated their major concern was that candidates had been selected before the examination was announced. (See Appendix C for a tabulation of the MPS Candidate Survey responses.)

Program review staff examined all MPS exam announcements for 1990 and 1991, and found that 70 percent indicated the position was already filled. Moreover, competition for the MPS exams is limited. Less than one in five of the MPS exams given between March 1990 and 1991 had more than five people take the exam, thereby casting doubts on what the examination results and the selection among the top ranks actually accomplishes.

Therefore, the program review committee recommends that the merit promotion system, as authorized under 5-220(b), be eliminated and replaced with the selection and promotion model described in the next section.

Transfers

As outlined in Chapter III, the Department of Administrative Services is required by regulation to maintain a transfer list containing the names of employees interested

in transferring to a different department or division. Program review staff examined the current list and found that it is outdated; about 42 percent of the names on the list had gone beyond the two year expiration period. The list gave no indication that anyone had, in fact, transferred, or that departments had used the list. Lastly, there is a belief that only malcontents are on the transfer list.

Therefore, the program review committee recommends eliminating the current requirement that a transfer registry be maintained by the Department of Administrative Services.

Under the selection and promotion model discussed in the next section, the program review committee believes there will no longer be a need for transfer lists. Instead, all candidates (both state and nonstate employees) interested in any state jobs would be part of a broad, automated applicant pool.

Performance Evaluations

Nonmanagement personnel. As outlined in Chapter IV, there are two performance evaluation systems in Connecticut state government, one for managers, and another for nonmanagement personnel. Evaluations of nonmanagers, called service ratings, are required to be done at least annually, but no more than quarterly. Evaluation ratings are statutorily required to be linked to wages, with employees receiving less than a "good" rating ineligible to receive an annual salary increment. The ratings are also the basis for demotions or dismissals.

The program review committee believes the present system of evaluation for nonmanagers is inadequate. The service rating form does not lend itself to specific job functions carried out by individual employees, or to performance measures set by the employee and his or her supervisor. Thus, it is not the best tool for clearly assessing an employee's effectiveness. Ratings of less than "good" do affect an employee's salary increase and are appealable. As a result, according to DAS staff, only about one percent of employees' salary adjustments are withheld. Approximately another one percent of employees are dismissed or demoted each year.

The program review committee recommends that the performance evaluation system for nonmanagers be enhanced. The committee recommends that an additional evaluation of employees, based on key job requirements and performance objectives jointly established by the employee and supervisor, be instituted. This performance evaluation should not be used to demote, dismiss, or withhold a salary increase. The results are to be used to assess an employee's readiness for promotion, as well as to form a component of the automated system to screen and evaluate candidates for vacancies in state government.

The committee believes this evaluation system neither could, nor should, be directly linked to an employee's pay. Service ratings forms, as well as the ratings categories, which are all subject to negotiation, should continue to serve as the evaluation tool for granting or denying salary increases. Any differentiated compensation based on an individual's performance (i.e., pay for performance) works against a system where salary increases are given across the board, based on collectively bargained contracts. Despite that, there has to be a more sensitive instrument that can be used to judge and compare an employee's performance with others doing the same work, and against pre-established job standards. Not everyone can be doing the job equally well, nor is every employee ready for promotion at the same time. An evaluation system must recognize those differences. The recommended system of evaluation would provide for a more meaningful assessment of an employee's readiness for promotion and his or her accomplishments on the job.

Management personnel. The management incentive plan (MIP) and the professional incentive plan (PIP) are the evaluation methods for employees designated managerial or confidential. For those who manage a program or a unit, the evaluation is based on achieving a set of goals and objectives established by the manager and his or her supervisor. For those in the PIP program, annual evaluations are done, with periodic progress reports, and are based on a performance appraisal form developed specifically for them.

These evaluations are also tied to salary increases, but unlike the annual increases for nonmanagers, MIP increases vary depending on the rating received. The plan is optional, but is implemented in 43 state agencies covering approximately 2,400 managers and professionals. There is a part-time coordinator in DAS responsible for examining and approving the agencies' plans, and auditing agencies' evaluations and ratings of their managers. In addition, there is statutory Quality Control Committee, comprised of seven members, to oversee the effectiveness of the management incentive plans. The committee periodically reports its findings and recommendations to the commissioner of DAS.

Pay-for-performance. When the incentive plan was first initiated, agencies had available a pool of money for increases based on four percent of managers' salaries. In the mid-1980s, the pool concept was changed. Since then, agencies have had no set amount to give out. Instead, each award is based on a percentage of the individual manager's salary.

For fiscal years 1986-88, payment percentages were: 8 percent for "outstanding"; 5 percent for "excellent"; 3.5 percent for "fully successful"; 2 percent for "needs improvement"; and 0 for "unacceptable". Only 3.5 percent is built into the manager's base salary; the remainder is given as a lump sum bonus. Since FY 88, funding for the incentive plan for managers has been reduced to: 3.5 percent in

FY 89; and 3 percent with a $1,000 maximum bonus in FY 90. In FY 91, there was no funding for the management incentive plan.

While no limits are placed on the percentages of managers who are rated at fully successful or below, no more than 20 percent of managers can be in the top two categories. The cost of the program increased from $2.5 million in FY 85 to $4.0 million in FY 90, despite reduced funding of the incentive plan.

According to U.S. General Accounting Office (GAO) reports on pay-for-performance, approximately 23 states have some form of merit-based pay. The numbers of participating employees varied among states, from some states where almost all employees are covered to others where only a few hundred personnel are under the plan. One GAO study obtained payment data for eight states where the average awards ranged from $400 given to 14,500 employees in Nebraska, to $2,831 awarded to 400 managers in Michigan. Connecticut's average payout for FY 89 was $1,650, with almost all 2,500 participating managers receiving that amount. California's incentive plan payouts totalled $1.4 million, with average payouts of $1,750 to only a small percentage of its managers. The GAO report also found that most states, like Connecticut, also give annual cost-of-living increases, ranging from about 3 to 5 percent.

Managers in the federal government are also compensated based on merit, with 1.5 percent of managerial salaries as the award pool. Managers receiving an award must receive at least 2 percent of their base salary as a merit increase. In federal fiscal year 1988, federal managers received average merit awards of $1,149.

Compared with other states and the federal government, Connecticut's merit pay system appears generous, both in terms of the percentage of eligible managers awarded, and the average payout. However, the program review committee concluded that the merit pay system in Connecticut is not being used to reward outstanding achievement. Instead, it is used to keep managers' salaries competitive with those in collective bargaining, not as an award system for meritorious performance.

If the state's merit pay system were used to motivate people, reward outstanding performance, and as a corrective measure for those whose performance was rated poorly, the committee believes that fewer managers than the current 99 percent would get the 3.5 percent pay increase (or more, with bonuses) for a fully successful rating. Rather, the few managers whose performance is truly remarkable would be rewarded with a significantly higher merit increase, as is done in the private sector.

However, the committee believes that changing categories and permitted awards would risk placing managerial salaries at or below a level of wages paid to unionized employees. This would create other problems in attracting and retaining managers and promoting good morale. As it is, some salary levels for employees in bargaining units are higher than those in managerial classes.

Further, the committee believes there is a benefit to the performance appraisal process apart from the compensation aspect that needs to be kept and strengthened. The committee maintains that performance measures related to a department's missions and goals, as well as a manager's supervisory skills, ought to be rated by those who come in contact with that manager, including his or her direct employees, other managers in the department, and the employee him or herself.

Thus, the program review committee recommends that, where appropriate, the performance evaluation process for managers be changed to allow for more participation from employees the manager oversees, as well as the manager's peers.

The program review committee believes a manager's role has many dimensions, and while some aspects can best be evaluated by a supervising manager, success in other areas can only be judged by staff with whom the manager has more direct contact. This appraisal system would also be fairer for all managers, mitigating the advantage of higher-level managers getting better ratings because of increased contact with the supervising manager.

The committee believes that, initially, the ratings given by individuals other than the manager's supervisor should be only informational, and not tied to compensation ratings. However, the results of these evaluations should be examined by the MIP Quality Control Committee to decide whether the ratings should be part of a composite. Also, once managerial classes have been reduced as recommended, the Quality Control Committee should evaluate the possibility of limiting the percentage of managers who receive the highest ratings to 10 percent of the managers at each level, and increase the payouts accordingly. In this way, truly outstanding performance at every managerial level could be recognized, and monetarily rewarded.

Automation

As discussed in Chapter IV, the state has had an automated personnel system, the Connecticut State Employees Information System, since the late 1970s. The system keeps information in two general ways--by person and position.

The system has many deficiencies. It is not connected with any other major information database servicing the state, like a budget system, a time and attendance system, or a payroll system. The reliability of the data the system produces is suspect for several reasons, including its lack of historical information and the lack of

attention state agencies give to updating the information. In response to the committee staff's survey of state agencies, 18 of 42 departments thought CSEIS information was reliable, while 19 believed it was not.

The system also has limited tracking capability. For example, it can neither track positions over time, nor even the number of classes. The system is not useful to agencies as a management tool because it's not accessible; only 13 state agencies have a direct link with CSEIS. Other departments must submit their data requests through DAS, but programming resources are very limited meaning agencies often have to wait weeks for information. Because the system is so inadequate, 18 of the 42 agencies responding to the survey stated they had developed automated systems of their own.

Also, it is difficult to array CSEIS information in a format other than the standardized reports. For example, aggregate data by department are almost impossible to obtain. Reports are based on individual transactions--the only method for producing data without additional programming. Thus, report data that could be presented in only a few pages take hundreds. Additionally, because its data are limited historically, the system is not very useful for analyzing trends.

Compounding the limitations of the current system is the fact that a substantial number of personnel procedures are still being done manually. The department still develops all certification lists from paper files, despite attempts to automate this function. Also, service records needed to determine seniority in job classes are not automated. As a stopgap measure, the department had to input data on a personal computer for employees in one bargaining unit to produce accurate information for recent layoffs. Further, all updates on positions or persons to the CSEIS system are initiated with a written request. This means thousands of data forms have to be reviewed and entered into the system, which is time-consuming and inefficient.

Since FY 88, approximately $2 million has been appropriated to upgrade the system and link it with the state's Automated Budget System. Central agencies (e.g., DAS, OPM, and the Comptroller's Office) have met and discussed the development of an integrated system, but results have yet to be achieved.

The program review committee strongly believes that any meaningful reform in personnel cannot be accomplished without significant improvements in automation. There needs to be strong commitment from the legislature to fund comprehensive automation in the personnel area. DAS, along with other central agencies, also must establish this as a priority for all managers responsible for the project. Further, agency heads must hold these managers accountable for its prompt development, completion, and implementation.

Therefore, the program review committee recommends that the Department of Administrative Services develop and complete a comprehensive automated personnel system by July 1, 1993. The legislature should appropriate the necessary funding to complete the new system. The commissioner of the Department of Administrative Services should make this a top priority in the department and one of the objectives to be accomplished by department managers in their management incentive plans. Further, managers designated as responsible for the project should be held accountable for meeting the deadline, and for the project's results.

Ideally, the new automated system should:

- allow agencies to forward all personnel data changes to the department electronically, which the department could review before changing the system;

- permit the retrieval of information from the system at any agency site;

- provide for an automated candidate database that would screen, match, and score qualifications of applicants based on occupational groupings, levels, and key job requirements, and supply lists of qualified candidates and scores electronically;

- produce classification descriptions, key job requirements, and salary information;

- interface with other major state information systems (i.e., budget, time and attendance, and retirement);

- have the capability of tracking positions, classifications, and employees' history in state service; and

- be easily programmed by agencies to provide management information, including statistics on affirmative action, promotions, and hires, in a usable, abbreviated format.

If the system contains these features, personnel transactions will be accelerated and paperwork dramatically simplified. Over the long-term, staff assigned to personnel functions should be significantly reduced. The system would also provide critical information to managers, agency heads, and legislators who rely on such key personnel data to make policy and budgetary decisions.

NEW PERSONNEL SELECTION MODEL

As previously discussed, the program review committee found the policies and procedures of the state's central personnel system to be unresponsive to agencies' needs. There are many narrow classifications, the examination process is lengthy, and list certification of employable candidates is slow. Combined, these deficiencies create a personnel system that is complex, inflexible, cumbersome, hard to explain, and difficult to manage.

To rectify problems the system is encountering, particularly those dealing with testing, selection, and promotion, the committee developed a new personnel selection model for the state's competitive, classified service. The model, discussed in detail below, is a combination of characteristics and processes used by other states, the federal governments of the United States and Canada, and the private sector. It also reflects comments and solutions offered during this study by DAS staff, state agency personnel, and others, through both interviews and surveys.

New Model Objectives

The new personnel selection model put forth by the program review committee is intended to address the inefficiencies found with the state's current personnel system. To accomplish this, the proposed model has the following major objectives:

- retain a merit-based system;
- eliminate outdated and unneeded personnel policies and procedures;
- create a more timely selection process allowing agencies to better meet their personnel needs;
- provide for more competition at all employment levels ultimately ensuring selection of the best qualified candidates;
- allow agencies more flexibility, while maintaining appropriate central control to ensure uniform standards and accountability;
- create a system that is candidate-based rather than vacancy-based--proactive instead of reactive; and
- help agencies better meet their affirmative action goals.

One of the recurring problems faced while developing a new personnel selection model was the classic dilemma of balancing standardization and accountability provided by central control against the inflexibility and lack of responsiveness inherent to such control. Nevertheless, the committee firmly believes the system it has developed is a strong move toward reaching an acceptable balance between these competing factors for both DAS and state agencies. Furthermore, the model is intended to allow DAS central personnel to focus more on providing planning, consultation, and service to state agencies rather than being concerned with rigid control.

Model Framework

One major premise behind the proposed personnel selection model is that job classifications within state government will be made broader, a task that the Personnel Division is actively pursuing. With broader classifications in place, the division will be better able to implement the procedures outlined in this model.

Many of the core personnel functions and processes currently performed by the Personnel Division, such as application screening, testing, and list certification, are redesigned under this model. In addition, new functions, such as human resource planning, compensation analysis, and performance evaluations, need to be added to DAS' responsibilities to fully implement the committee's recommendations.

Under the proposed model, DAS will be responsible for developing an automated personnel system that will allow for all state government jobs to be categorized into broad occupational groups and career levels. DAS will be responsible for establishing acceptable minimum qualifications that must be met for specific career levels and occupational groups.

The program review committee has designed its new personnel selection model to work as described below.

- Candidates applying for state employment within the classified, competitive service each will complete an application form and a biographical questionnaire/ personal qualifications statement. In addition to basic information, these forms will allow each candidate to provide information such as education and training, specific career level and occupational group interest(s), salary level, veteran status, and any other special skills/knowledge required by DAS.

- DAS will then screen the applications to determine if candidates meet established acceptable qualifications for the specific occupational group and career level for which candidates are applying. All candidates meeting these acceptable qualifications will be given a passing score.

- Candidates applying for particular occupations (i.e. clerical or accountant) may be required to take supplemental examinations, as determined by DAS, to demonstrate proficiency in certain areas, such as word processing skills or accounting principles.

- Information about qualified applicants acquired from these forms and additional exams will be stored in a central candidate profile database.

- Profiles for different jobs within state government also will be stored in a profile database. The database should be able to screen candidate profiles and categorize them by main occupational groups and other factors, such as salary requirements, location, and specific department.

- When vacancies occur, agencies will submit relevant job descriptions and knowledge, skills, abilities, and other key job requirements to DAS. DAS will establish criteria to be used to increase candidates' scores, such as additional experience, training, high grade point average, or unique skills or knowledge.

- DAS will enter the information into the candidate profile database which automatically compares candidates' profiles to determine the best matches. If no match is made, DAS must solicit applicants.

- A list of qualified candidates will then be sent to the agency.

The new selection model also provides for progression of qualified candidates to a mid-career point without competition, which is discussed in detail later. The progression is performance-based, not examination-based. The only exception is that *all vacancies* must be filled using the candidate profile database. Moreover, the new model places greater emphasis on screening for supervisory and managerial skills for vacancies at these levels.

Under this selection model, there is greater opportunity for candidates to gain access to state service, especially at higher levels, than exists with the present system. The application process, and how the state ultimately selects employees, also changes under the new selection system eliminating unnecessary effort and time. For example, testing candidates' qualifications would no longer be done for each classification as currently exists, but on a much broader scale. Subsequently, candidates can be considered for a wider range of jobs instead of being examined for individual jobs.

Selection also becomes candidate-based rather than vacancy-based. Instead of the testing and selection processes beginning *after* an agency has a vacancy to fill, which is a reactive rather than proactive process, the new system is devised to

continually have candidates and their qualifications on file. Again, the effort and time taken by DAS to supply agencies with lists of qualified candidates should be greatly reduced.

A diagram of the program review committee's new selection model is shown in Figure V-1.

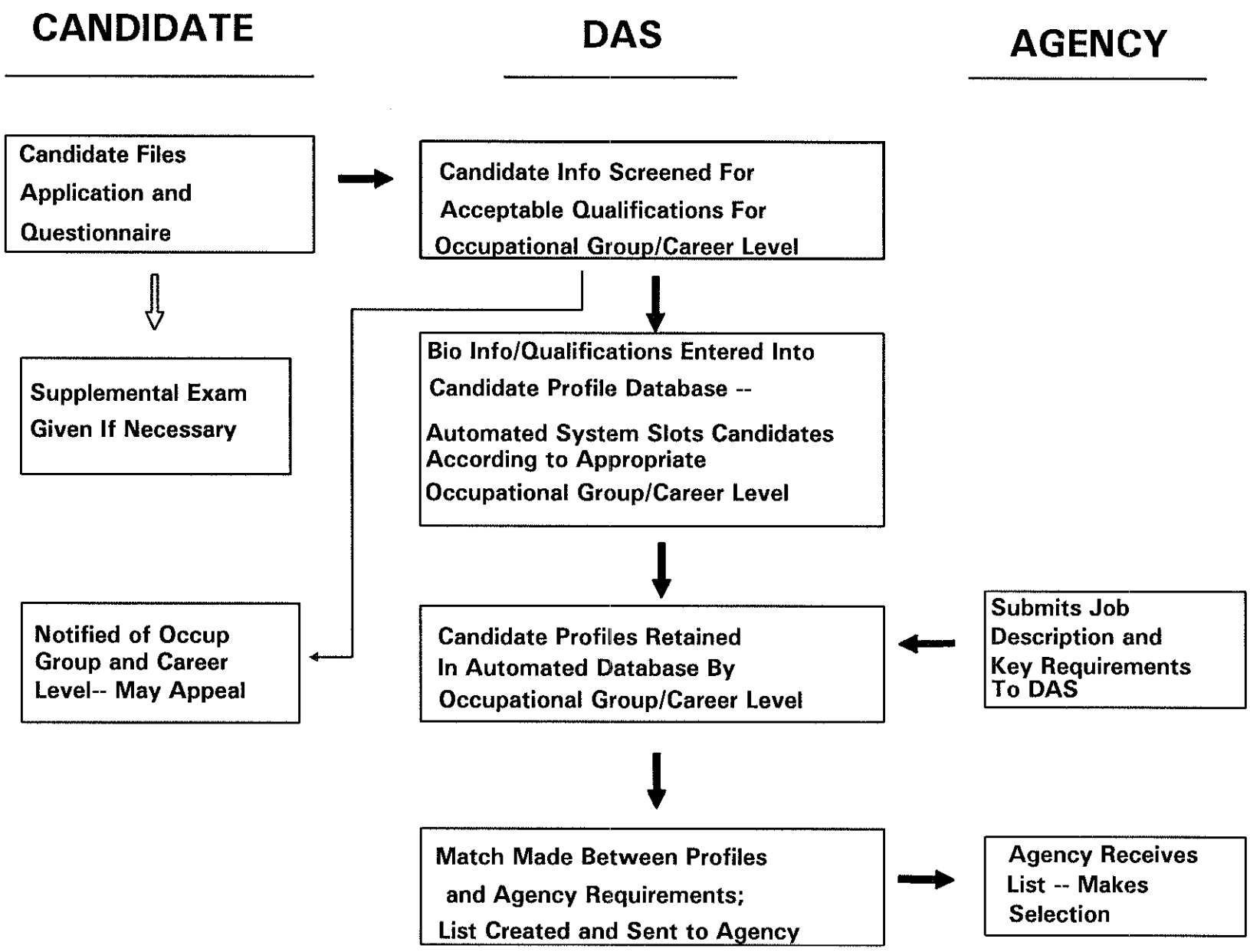
Broad occupational groups. The first basic change required under the new selection model is to combine the different occupational groups DAS presently uses into broader, more encompassing groups. There are more than 40 such occupational groups in the current personnel system for classified employees. Each analyst within the Personnel Division is responsible for testing, classification, and other matters for these many different occupational areas. The program review committee believes the number of occupational groups should be fewer and broader than those currently existing.

Therefore, under the proposed model, the committee recommends that the number of occupational areas for personnel purposes be reduced to seven main groups. The new occupational groups consist of the following:

1) Information Systems/Technical;
2) Engineering/Scientific;
3) Accounting/Finance/Business;
4) Health/Social Services;
5) General Administrative/Research/Planning;
6) Corrections/Protective Services/Law Enforcement; and
7) Office Support/Related.

Although the task of reorganizing the numerous job titles into new occupational groups may seem formidable, broader classifications and the resulting of fewer job titles, will assist DAS with this responsibility. In addition, there are several positive effects of having broader occupational groups. First, candidates will be able to use a single application to apply for more employment opportunities under the revised groups, since a wider range of job titles will be within fewer occupational areas. Second, by decreasing the number of occupational groups and broadening classifications, a decrease in personnel activities will occur. The need for personnel analysts to develop new exams or approve new classifications should be reduced significantly. Thus, analysts can begin focusing their attention on servicing agencies rather than processing personnel transactions.

Figure V-1. New Personnel Selection System Model.



Career progression levels. In addition to broader occupational groups, the main career levels used by DAS will be changed under this model. At present, there can be as many as 10 career progression levels, ranging from initial training to an upper managerial/administrative level, depending on the career series.

The program review committee recommends that under the new selection model, a maximum of five career progression levels be used by the Personnel Division. The new levels should include:

Entry → Working → Lead ▌ SUPERVISOR → MANAGER

Each career level will have acceptable minimum requirements as to knowledge, skills, and abilities that must be met before an employee can begin working at that specific level. These requirements may include education, work experience, special skills, or any combination thereof. Employees must possess at least the established acceptable qualifications before being employed at a particular career level. Also, each of the approximately 2,700 job titles found within the classified service should be categorized into the most appropriate new career level and the previously recommended occupational group.

The committee believes that the Personnel Division should be responsible for developing the basic requirements for each career level. These requirements should help the division assess whether a candidate is adequately trained and has enough experience to perform the duties and responsibilities required at a certain career level.

As previously mentioned, the committee recommends that the state reduce the number of pay grades and elongate the steps within each grade. Without extended pay plans, the potential exists for employees to quickly rise to the top of a career level, and then be promoted to the next career level, thus increasing costs.

Because the overall number of career levels is capped at five under this model, employees need a career progression system that allows for proper professional growth and, at the same time, is manageable and cost-effective. The program review committee believes that broader occupational groups and classifications, and an adequate career progression system with appropriate pay plans, allow for this type of professional growth and manageability. Moreover, with broader classifications comes increased flexibility on the part of agencies. Agencies will be better able deploy their workforce where most needed without concern over employees working out of class, as is the case with narrowly defined classes. In turn, an agency will be able to better meet its work demands. Employees will also become skilled in a wider range of activities, which should increase the level of productivity both within agencies and in state government as a whole.

Education and Training Requirements

Although the Personnel Division sets qualifications for each career level under the new model, the committee believes the current personnel act inhibits the department's ability to properly perform this responsibility. At present, the act states that formal education can only be used as a requirement to take state employment exams for entrance training positions and positions subject to accreditation and professional requirements. Setting educational requirements in other circumstances is prohibited.

In addition, even though the state can use education as a requirement for candidates entering state service at the training level, no such requirement is necessary for subsequent promotions. Thus, employees can be promoted to higher levels within state service without any specific educational requirements.

The program review committee believes this law should be revised and recommends that C.G.S. Sec. 5-219 be amended to allow DAS the option of whether or not to use education as a criterion necessary for employment or promotion within the state's classified service.

The current workplace is ever-changing and becoming increasingly complex due to both the array of programs that governments provide and advancements made in automated technology. For Connecticut state government to continue to be productive and keep pace with future workplace changes, it is essential that employee qualifications meet the increasing demands of these changes.

One way of ensuring this, in part, is to permit and, in some cases require, that educational standards be met prior to employment or advancement. Further, with other recommendations made under this proposal (e.g., broader occupational groups and career levels, and fewer classifications) candidates will need more general training and experience to adapt to the diverse responsibilities associated with the changes made in this model. In many instances, formal education provides this broader perspective.

Selection

Two of the most important and crucial changes made under the new model relate to: 1) the process used by candidates to enter state service; and 2) how the state selects candidates for employment. The committee found that entering state service, especially at higher levels such as supervisor or manager, is difficult for people outside of state government. This "barrier" is perpetuated by current law which specifically states that promotions from within an agency or state government should be the primary means to fill positions. The committee also found that

candidate selection is a highly manual, repetitive process since exams are given for every classification.

Application process. At present, employment applications are received only after an examination is announced, and until a deadline indicated in the announcement. The exception to this is continuous recruitment exams whereby applications are received on a regular basis. Once received by the Personnel Division, the applications are screened by analysts who decide whether applicants meet the qualifications necessary to be admitted to take an exam.

Since exams can be given for every classification, the division receives thousands of applications each year. For example, 53,399 applications were received during FY 90 and 46,529 in FY 91. Furthermore, applicants may only apply for up to two different exams on one application. If a person is interested in several positions, it is likely that duplicate applications are filed, thus increasing the division's workload.

The program review committee believes this process is very cumbersome, and causes several problems for both candidates and the Personnel Division. First, some candidates, who may be extremely well-qualified, may not submit applications because they are unaware that vacancies exist, or because they miss deadlines. As a result, the state may not be getting the most qualified applicant pool possible.

Second, since applications are submitted only when exams are announced, the division may receive numerous applications during a relatively short time frame. The applications must then be reviewed and exams assembled, administered, and scored. This process has been increasing in time since FY 88 and requires almost nine months to complete for open competitive exams, and more that six months for promotional exams administered by DAS. Meanwhile, an agency is delayed in filling its vacancy.

As noted earlier, 14 and 18 percent of the applications rejected for admission to exams were appealed by candidates in FYs 89 and 90, respectively. The Personnel Division informed the committee that handling and deciding upon appeals adds time to the application and exam processes because the division tries to resolve appeals before exams are given. Furthermore, candidates can also appeal their exam scores which also slows the process.

Therefore, the program review committee recommends that C.G.S Sec. 5-219 be amended to require the Personnel Division begin accepting all employment applications on a continuous basis for any occupational group at any of the previously recommended career levels. Also, C.G.S Sec. 5-218, which requires DAS to give public notice of examinations, should be amended to require DAS to post exam announcements for vacancies only if the candidate pool cannot provide a sufficient number of qualified candidates as determined by DAS.

Under this model, candidates interested in state government employment in the classified, competitive service can apply whenever they desire, since applications will be continually accepted by the state. In turn, applications can be quickly processed when a vacancy occurs because candidates' credentials will have already been on file with the Personnel Division.

By allowing candidates to apply for all classified, competitive jobs on a continual basis, the Personnel Division will save time and effort. The division's employment application workload should also be more evenly distributed since applications will be received continuously. Moreover, since candidates can apply for jobs at any time, the process becomes less cumbersome for them. Candidates will no longer have to worry about not knowing of particular job openings or missing application deadlines.

Also, the committee suggests that DAS inform candidates as to what career level and occupational group they qualify for as soon as this determination has been made. At this time, candidates may appeal the department's decision. While appeals may still be filed, the committee does not anticipate they will cause the same process delays as under the current process because they should be fewer in number and will not disrupt the scheduling of examinations as greatly.

The committee also recommends that DAS design the basic employment application to allow candidates to apply for career levels and broad occupational groups previously outlined. In addition, applications should be in a form that can be electronically reviewed by DAS.

With only one application for state employment, candidates will be able to apply for broad occupational groups (which will include many different position classes) on the same single form. This differs from the current system in which candidates can only apply for two exams on one application; if they want to take more than two exams, additional applications are required. Requiring that applications be electronically scannable will increase efficiency and speed processing time.

As previously mentioned, the committee believes that under the new selection model, appeals regarding admission to exams and exam scores should be fewer. Analysts should also have more time to process applications, since the timeframes will be different. By allowing candidates to apply for employment when *they* desire, not when a position becomes vacant, analysts' workloads will be better dispersed. There will no longer only be "window" periods when candidates can submit applications that force work bulges for analysts who must quickly review applications and process exams. Thus, analysts can spend more time with candidates' applications, which should result in fewer appeals. Moreover, by having the automated screen candidates' credentials, the overall processing time should greatly decrease.

Qualifications screening. Once a candidate submits the basic employment application to DAS, a formal screening process similar to the current procedure will occur. However, the new process will ensure that each candidate applying for state service meets the minimum qualifications developed for each occupational group and career level for which the candidate is applying. Under the new model, DAS establishes acceptable minimum qualification requirements.

In addition to the basic application, the program review committee recommends that each candidate applying for competitive jobs (as determined by DAS) be required to submit a biographical questionnaire/personal qualifications statement to the Personnel Division. The questionnaire should be designed to allow candidates to describe their experiences and skills, achievements in school, employment, and other activities in detail. The questionnaire should be devised to supplement the candidate's application, and should be in such a form that the answers can be electronically scored.

By requiring this supplemental information, the Personnel Division would be in a much better position to determine a person's qualifications and interests than with the initial employment application alone. Such questionnaires are used for federal government employment, and are based on research that showed high relationships between areas on the questionnaires and actual characteristics of successful people in different occupations. Questions are designed so that a person's interests can be narrowly and specifically defined. The committee believes that the state's biographical questionnaire should follow a similar format.

Information from the employment application and questionnaire should be used by DAS to determine if a candidate meets the acceptable minimum qualifications (i.e., passing score) for both the occupational group and career level for which the candidate is applying. After meeting these, candidates should be differentiated using such criteria as: the candidate's additional experience and training; education; academic, professional, or personal achievements; and veteran's credit. DAS will be responsible for determining these criteria. Final scores will then be entered into a candidate profile database, along with the other relevant information, and sent to agencies when they request candidate lists.

Since testing will be done on a much wider scale, and classifications will not be as narrow, candidates will be applying for specific broad occupational groups rather than positions or narrow classifications. Therefore, candidates will be screened based upon their overall qualifications and then slotted into categories and jobs that best fit these qualifications. Once this has been done, candidates should be informed about the career level and occupational group for which they qualify.

Undoubtedly, there will be instances when evaluation of a candidate's experience and training is not enough to determine if the applicant is qualified for employment. Then, a supplemental written or practical exam is required to make the determination. If DAS decides that additional testing is necessary to further assess a candidate's qualifications for particular jobs, this model allows it. For example, practical exams to test word processing skills will most likely need to be given. Also, candidates applying for the Accounting/Finance/ Business occupational group may need to tested on business or accounting principles.

When this is the case, the program review committee recommends that the initial application and/or biographical questionnaire should be used to determine if a candidate meets acceptable requirements to be admitted to take a supplemental exam. The exam should be designed to test candidates' basic skills and abilities as they relate to a particular career level and occupational group. As well, all exams should be in a form that can be electronically scored by DAS.

Under the model, DAS is responsible for determining which occupational areas require written or practical exams. Exams should give DAS a better understanding of a candidate's particular abilities not evident from reviewing either the employment application or biographical questionnaire. In addition, DAS has indicated that it has made progress in testing word processing skills, and that terminals have been set up at a central test site. Candidates are now able to take the exam and receive their score upon completion. The model does not propose any change in current procedure for special circumstances that warrant additional qualification or background checks, such as with state police.

Another part of the present screening process unchanged by the model is the candidate working test period. The working test period is partly designed to give agencies a sense of how well a newly hired employee is adapting to his or her responsibilities and can be used as a judgement for future performance. Candidates too, can use this time to determine if the job is best suited for them. The program review committee firmly believes this process is important for both agencies and new employees and it should continue under the proposed model.

<u>Supervisory and managerial screening</u>. During its review, the committee found that little attention is paid in the examination process to the general skills and abilities needed to be an effective supervisor or manager. Instead, exams for these positions concentrate more on functional or program knowledge of a given job classification. While the basic screening process for acceptable qualifications for supervisors and managers remains the same as for other positions under the new model, more emphasis needs to be placed on candidates' supervisory and managerial abilities.

Thus, the program review committee recommends that for supervisory and managerial positions, DAS assess candidates' general supervisory or managerial skills and abilities.

The committee believes that supervisory and managerial positions in state government require more than specific program or function knowledge. Managers and supervisors should also possess characteristics such as proper time management, communication, leadership and effective delegation skills, along with other organizational qualities. These characteristics become even more important with broader classifications, since supervisors and managers will need to be generalists rather than be narrowly focused on particular programs or functions.

Candidate Profile Database

As previously cited, the current level of automation within the personnel system is woefully inadequate. Any improvements to the system hinge upon better automation. Under this model, it is vital that the automation capabilities of the Personnel Division be upgraded. To fully implement the new selection model and have the system operate at maximum effectiveness, there needs to be a central database capable of storing, retrieving, and managing information on thousands of candidate and job profiles.

The program review committee, therefore, recommends that a central candidate profile database be created. The database should include all relevant information about candidates once they have been determined to meet the acceptable qualifications required by DAS for a given occupational group and career level. The database should also enable DAS to slot candidates into the most appropriate occupational group according to answers on their employment applications, biographical questionnaires, and other exams. Lastly, the central candidate profile database should allow DAS the ability to respond to agency requests for candidate lists in relatively short time.

This database is central to the proposed selection model. Without it, the system would have to rely on current manual administration and processing. A strong effort is needed by DAS and the legislature to fund, create, and maintain an automated system of this kind that can better service personnel functions including candidate selection.

The committee also recommends that candidate records remain active on the profile database for a maximum of two years, unless otherwise requested by an applicant. Candidates should be permitted to update their qualifications as their personal and professional circumstances warrant. Also, if a candidate revises his or her file, that file would automatically remain on the system for another two years. However, if candidates do not update their files during any two-year period, such files

would automatically be removed from the database. The responsibility of creating and maintaining this central database shall reside with DAS and be outlined in the personnel act.

The program review committee realizes that the size of the database will be extensive. At the present time, the Personnel Division is limited in its automated technology capabilities. However, during this study the division informed the program review committee that the computer technology necessary to create and maintain a database of this type exists in the marketplace. In fact, two states, Colorado and Tennessee, are either using or planning to use a similar profile database.

Once the automation factor is overcome, the committee firmly believes the benefits of the candidate profile database are considerable. By having candidates' qualifications and employment preferences on file, the Personnel Division can supply agencies with lists of qualified candidates within a very short time. Ideally, this should be done electronically, as some states do now. In turn, agencies will be able to fill vacancies faster than the current system allows, increasing productivity and providing the human resources necessary to carry out programs efficiently and effectively. The system will also help eliminate much of the unnecessary and cumbersome paperwork and manual processing now present in the personnel selection process. The committee further believes that by decreasing the time it now takes agencies to get candidate lists, the number of provisional appointments and employees temporarily serving in a higher class will undoubtedly decrease.

Also, the database will remain at a manageable size by removing inactive files from the system after the two-year period. By allowing candidates to update their files, the Personnel Division is further assured of having the most qualified candidates interested in state government employment.

<u>Selection process</u>. The analysis and findings contained in this report detail how fragmented the state's selection process has become. To help rectify this fragmentation, the proposed model standardizes the selection process for filling vacant positions, and will: 1) be easier to administer; 2) allow agencies the flexibility and human resources necessary to "get the job done"; and 3) provide a coherency that allows for a better understanding of how the system works, not only for state employees, but the general public as well.

Under the new model, the program review committee recommends that relevant sections of the personnel act and DAS regulations be amended to include a selection process designed in the following manner:

- **the central candidate profile database must be utilized whenever an agency has an approval to fill a vacancy;**

- **the process begins with an analysis of the vacant position by the hiring agency and the Personnel Division to determine the necessary characteristics successful candidates must possess, as well as a description of the job's key requirements;**

- **agencies shall then submit key job requirements to the Personnel Division as they pertain to the particular vacancy (such requirements should best relate to the division the main duties and responsibilities of the vacant position);**

- **after such key job requirements are submitted, the division shall enter the requirements into the candidate profile database in which an automatic match will then be made between the agency's requirements and the candidate profiles contained in the database; and**

- **the Personnel Division must then create a list of all candidates who best match the agency's requirements and forward the list to the agency.**

This system provides for a more efficient and effective selection process than the system currently in place for two main reasons. First, turnaround time for getting lists of qualified candidates to agencies should be significantly reduced since candidates will have already been screened and have their credentials on file. Second, the system is designed to match an agency's key job requirements with those candidates whose qualifications best fit the agency's specifications. Also, by having joint DAS and agency analysis of jobs and requirements, the duties, requirements, and responsibilities of the jobs will be better defined.

Transfers and the transfer list as presently known will also change under the new selection model. Since all vacancies in the classified service must be filled using candidates selected from the central profile database, any current state government employee wishing to "transfer" either within or across agency lines may do so by meeting the acceptable qualifications and being registered on the candidate profile database. Whenever a vacancy occurs, the employee's profile will be matched to the key job requirements similar to all other qualified candidates in the database.

Candidate lists. Currently, when an agency requests an employment list from the Personnel Division, a list of candidates scoring within the top five ranks on a particular exam is provided. Agencies then choose a candidate from within these ranks. The division uses a different process for continuous recruitment exams in that lists of all the candidates receiving passing scores on exams are sent to agencies. Continuous recruitment lists are unranked, but candidates' scores are sent to the agency as well. Also, with continuous recruitment lists, agencies have a much larger pool of candidates from which to choose.

In keeping with the theme of providing a better balance between standardization through central control and the flexibility sought by agencies, the committee believes that unranked, pass/fail lists are preferable to ranked lists because: 1) they allow for greater choice of candidates that *best* meet agencies' needs; and 2) all candidates on the list must still meet acceptable qualifications set by DAS, thus maintaining competitiveness and preserving merit.

Therefore, the legislative program review committee recommends that the personnel act be amended to provide that all certified candidate lists sent to agencies by the Personnel Division be on an unranked, pass/fail basis. The scores that DAS assigns to candidates shall also be present on the list.

This recommendation is based on the following factors:

- in the survey of agency personnel officers conducted by committee staff, almost one-half (18 of 38) of the agencies replying "disagreed" or "very much disagreed" that requiring selection from the top five ranks is the only way to protect merit system principles;

- DAS already uses unranked, pass/fail lists for continuous recruitment exams, which have been the most commonly used selection method (other than MPS) since FY 86;

- 74% (28 of 38) of the agencies responding to the survey replied that the quality of candidates selected using the continuous recruitment selection method was good;

- the opportunity to select protected class candidates is increased; and

- the merit system is safeguarded with unranked lists because the screening process will be strengthened through proper use of appropriate qualifications and key job requirements, as outlined in the model. Anyone who is on the list of candidates is deemed to be well-qualified through the use of stringent criteria.

The program review committee believes that the use of unranked lists retains and protects merit principles two reasons. First, the credentials for each candidate applying for classified, competitive employment must be screened by DAS. The screening process determines whether each candidate meets the acceptable minimum requirements established for the particular occupational group and career level for which he or she is applying. Thus, a candidate's background will ultimately determine what occupational group and career level he or she is most qualified for, and each candidate must have at least met the appropriate qualifications established for the particular group and career level.

Secondly, the process provides additional screening by arranging candidates' profiles in the database according to the best suited occupational area indicated by the individual's qualifications and preferences. Therefore, not only are candidates competing with other candidates within occupational groups and career levels, but their qualifications and backgrounds must ensure that they meet predetermined acceptable criteria as established jointly by DAS and line agencies.

Merit principles are maintained by requiring that candidates achieve a passing score and by having overall scores accompany candidates on each list. Moreover, agencies are given increased flexibility to choose from a list of *qualified* candidates. Veteran credit points required by current law will still be factored into a candidate's final score.

Unranked lists also create more opportunities for agencies to meet affirmative action goals, and provide a more efficient process in this area than under current practice. There are greater opportunities for agencies to select candidates from protected classes because lists will include all candidates meeting pre-established requirements, and agencies may select from anyone on the list. Currently, if agencies are unable to meet affirmative action hiring goals using the certified lists provided by DAS, a formal process must be followed in which DAS provides the agency with a list that includes protected class members. This additional work will not have to be done under the committee's model.

The new selection process also gives employees laid off from state service greater opportunity to be reemployed. Under current law, DAS is only required to use reemployment lists for vacancies filled by means other than promotions. As shown earlier, the vast majority of vacancies are filled through promotions. Under the committee's model, however, the candidate profile database must be used when filling *any* vacancy. For the positions filled through promotion, the candidate profile database must be used, requiring DAS to send candidate names on the reemployment list to agencies before all other names.

The proposed selection model is designed to provide agencies with lists quickly because candidates' profiles will already be in the database. However, the program review committee realizes that circumstances may occur when a candidate list cannot be provided because a sufficient number of names that match an agency's requirements are not present in the system. Under these circumstances, provisional appointments may need to be used.

The program review committee, therefore, recommends that provisional appointments be approved only if DAS cannot supply a list with a sufficient number of candidates to agencies within 60 days. A provisional appointment should be approved only after this time period. Further, the duration and conditions regarding provisional appointments shall remain the same as current law provides.

The committee believes the proposed selection model will allow for quick turnaround time whenever an agency needs to fill a vacancy--a factor that the Thomas Commission also found to be lacking in the present system. This recommendation ensures that agencies will be able to continue fulfilling their responsibilities with as little interruption as possible, while at the same time giving DAS enough time to recruit a sufficient number of candidates to create a list. Further, DAS should monitor the candidate profile database to determine if there is a lack of candidates in any particular area. If this proves to be the case, candidates should be actively recruited to ensure that a sufficient number are on the profile system.

Promotional Opportunities

Committee staff analysis shows that the merit promotion system has been used mainly to satisfy the requirement that employees, whose positions are reclassified to the next highest level within a career series, take a formal exam. Analysis also shows that prior to an exam even being given, 70 percent of reclassified positions are already filled by the employee whose position is being upgraded. DAS has indicated that it is very rare that employees whose positions are reclassified are not ultimately chosen to fill the new position.

The program review and investigations committee recommends that the relevant sections of the personnel act be amended to reflect the following changes to promotions:

- **All promotions up to the supervisory level shall be made through the reclassification process based on the following criteria: 1) the employee meets the acceptable qualifications established for the particular career level in which the reclassified position is classified; 2) reclassification is made only to the next higher position within a career series; 3) the employee has maintained an adequate performance record and his or her most recent two consecutive appraisals shall be "fully successful" or above; and 4) the employee has been in his or her current position for a minimum of six months.**

- **When the above four criteria are met, no examinations will be used whenever a position is reclassified. If the reclassification does not meet the criteria, the candidate profile database must be used to fill the position.**

- **All supervisory and managerial positions shall be filled on an open competitive basis using the candidate profile database. The screening process for these positions is the Personnel Division's responsibility, but should at least include an evaluation of candidates' supervisory or managerial abilities and a candidate's knowledge of the relevant program or function area.**

If agencies, using the criteria detailed in the above recommendation, are permitted to reclassify positions to the next highest level without examinations, the system will be far more efficient, and still maintain basic merit principles. Exams are used to predict a person's future job performance. If a person filling a position that is reclassified has been performing well, the committee believes exams are unnecessary for promotion. Not requiring examinations to be given for reclassified positions means the number of appeals filed due to someone not being admitted to take an exam or because someone is unsatisfied with their score, will not occur. Central personnel analysts also will have more time to focus on other tasks, such as human resource planning.

Appeals concerning position reclassifications should also be reduced under the new model. The model is designed under the premise that classifications are going to be fewer and broader, which, as previously mentioned, DAS is currently trying to accomplish. Also, not requiring exams for reclassified positions means the application screening and admission processes will no longer be necessary. Thus, the number of appeals, and the process delays they cause are reduced.

The committee believes that opening supervisory and managerial positions up to a competitive process for candidates both in and out of state government, will help ensure that the most qualified persons are selected for these upper-level positions. Many times smaller departments do not have the same, or as many, chances to promote employees. A totally open, competitive process means greater opportunity will exist for employees in *all* state departments to obtain supervisory or managerial positions available throughout state government, as long as the person in the candidate profile database is deemed qualified.

Lastly, the committee recommends that the candidate selection model outlined in this section be operational by July 1, 1993.

The program review committee believes that DAS should work with other entities that have, or are developing, similar selection models. As previously mentioned, Colorado, Tennessee, and the federal government are three public jurisdictions that have comparable systems, although at different stages and/or design. In addition, DAS should solicit input in this area from private sector companies. The committee is aware of one large insurance company, Ætna, which has a large profile database. If DAS can elicit ideas and technical expertise to develop and implement its system from outside sources, it will save time, effort, and undoubtedly cut down on costs.

At present, the Personnel Division's organization includes seven different sections. Each section has several subunits with unique duties and responsibilities. Moreover, as reported earlier, for FY 90 the Personnel Services Section had 125 employees and budget expenditures of $6.1 million. During the same fiscal year, the entire Personnel and Labor Relations Division had approximately 150 employees and expenditures of $9.8 million.

Connecticut's Personnel Resources: A Comparison

The major emphasis of this study was not examine whether the number of employees within the Personnel Division, or its budgetary resources, are appropriate. Nevertheless, the program review committee made several findings in these areas. First, preliminary results of a survey by the Council of State Governments (CSG) show that for FY 90, Connecticut ranks very high in the ratio of full-time, centralized personnel staff to employees in the classified service. Table V-3 compares Connecticut with other states responding to the survey. It should be noted that duties conducted by central personnel office staff vary among the states. This is reflected in the full-time staff figures in the table. Nonetheless, this is the most comprehensive and current national survey identified by the committee showing ratios of central personnel staff to classified service employees.

As illustrated in the table, Connecticut's ratio of central personnel staff to classified employees is 1:210, meaning there is one central personnel employee for every 210 classified employees served in the state. When compared to other states, this ratio is high. In fact, Connecticut ranks fourth highest--behind only New Jersey (1:157), Delaware (1:167), and Michigan (1:204)--for the number of central personnel staff per classified employees served.

Unlike Connecticut, several states have mainly decentralized personnel systems. The CSG survey accounts for this by also comparing states according to the ratio of total number of personnel staff (central and line agency) to classified employees.

Connecticut also ranks high in terms of this ratio. As the Table V-3 shows, for every one personnel employee in the state, 66 classified employees are served. Again, Connecticut ranks fourth highest among the states responding to the survey. Only Colorado (1:54), New Jersey (1:62), and Pennsylvania (1:64) rank higher than Connecticut.

Table V-3. Ratios of Full-Time Central Office Personnel Staff and Total Personnel Staff to Employees Served, 1990.

State	Central Personnel Staff	Total Personnel Staff
New Jersey	1:157	1:62
Delaware	1:167	1:78
Michigan	1:204	1:67
Connecticut	**1:210**	**1:66**
Iowa	1:222	1:161
Minnesota	1:233	1:175
Maryland	1:250	1:77
New York	1:253	N/A
Wyoming	1:254	1:173
Idaho	1:270	1:150
Kentucky	1:271	1:208
Nevada	1:275	1:170
Arizona	1:276	N/A
Utah	1:279	1:102
Alaska	1:281	N/A
Ohio	1:300	1:100
Pennsylvania	1:308	1:64
New Mexico	1:309	1:148
West Virginia	1:333	1:100
Montana	1:338	1:209
Tennessee	1:339	1:89
Alabama	1:347	N/A
Nebraska	1:350	1:75
Arkansas	1:353	1:110
Indiana	1:357	1:172
New Hampshire	1:400	1:167
South Dakota	1:401	1:170
Mississippi	1:411	1:175
Kansas	1:440	N/A
Louisiana	1:460	N/A
Illinois	1:486	1:110
North Carolina	1:498	1:84
Colorado	1:500	1:54
Maine	1:538	1:128
North Dakota	1:573	1:162
Georgia	1:591	N/A
Oregon	1:599	N/A
Missouri	1:631	1:152
South Carolina	1:724	1:146
Oklahoma	1:814	1:209
California	1:838	1:99
Virginia	1:836	1:67
Washington	1:905	1:182
Massachusetts	1:1309	N/A
Florida	1:2500	N/A

Source: Council of State Governments Preliminary Survey: "State Personnel Office: Roles and Functions", 1990.

In addition to staffing information, the committee also compared central personnel budget expenditures with the number of employees in classified service for selected states. Results are shown in Table V-4. The states were chosen because of their similarity to Connecticut with regard to number of employees. All New England states were also surveyed. Budget figures shown in the table were collected as part of a committee staff telephone survey of central personnel offices, while the amount shown for Connecticut is its actual expenditure figure for FY 90.

The budget figures in Table V-4 are not broken down by personnel function performed by the central office. Rather, they include the entire central personnel expenditures within each state. For example, the budget figure for Connecticut not only covers the areas within the scope of this report, but other functions within the Personnel Division (e.g., Labor Relations) not examined as part of this study. The figures only show central expenditures; personnel expenditures associated with line agencies are not included. As the table illustrates, Connecticut ranks third of the sixteen states surveyed in terms of central personnel budget expenditures per classified employee.

The committee believes it is highly likely that the lack of automation within the Connecticut's central personnel office is a prime contributor to its high ratios of central staff to employees served and central personnel expenditures to employees. As mentioned earlier, most of the functions performed by the division with respect to processing personnel transactions are done manually. As a result, a lot of paper forms are required by DAS and submitted by agencies. With such a highly paper-oriented, manual system, the committee believes the number of employees needed to process these forms is probably greater than if an automated existed.

Another reason for Connecticut's high ranking in these areas may be due to the internal organization within the Personnel Division. The division is structured into seven different sections, each highly specialized and having several subsections. In addition to the division's organization, the large number of job classifications and their narrow scopes, is also a contributing factor. Personnel analysts within the division are required to create, administer, and score many examinations for these classifications. As a result, a large part of analysts' duties are related to the very technical aspects of personnel management, which consumes a lot of time and resources.

In this period of "doing more with less," there is a need for the Personnel Division to re-examine how effective and efficient its current operation is, not only internally, but also in how well it services the state as a whole. The program review committee concluded that the division needs to redirect its focus, both in what services it is providing state agencies, and how it should be organized to deliver them.

Table V-4. Central Personnel Budget Expenditures Per Classified Employee.			
	CENTRAL BUDGET*	CLASSIF. EMP.	COST/EMP
New Jersey	$25.7	64,000	$402
Minnesota	$8.8	30,000	$293
Connecticut	$9.8**	39,000	$251
Washington	$12.5	50,000	$250
Rhode Island	$3.2	15,000	$213
Maryland	$12.7	60,000	$212
Georgia	$9.5	50,000	$190
Vermont	$1.2	6,800	$176
Oregon	$6.0	34,000	$176
Tennessee	$6.0	36,000	$167
Wisconsin	$6.2	39,000	$159
Maine	$1.2	12,250	$131
Colorado	$3.7	30,000	$123
Mass.	$3.4	30,000	$113
New Hamp.	$1.0	9,000	$111
Missouri	$2.6	30,000	$87

* In millions of dollars
** Includes expenditure for workers' compensation private administrator
Source: LPR&IC Staff Survey.

Personnel Division Focus

The recommendations set forth in this report necessitate a redirection in the Personnel Division's role and focus. The proposals are designed to ensure the division becomes less burdened with a highly manual, paper-oriented personnel system, and more instrumental in human resource planning, management, and consultation to agencies. Through increased automation, and changes to the present selection, testing, and promotion processes, the division's role in determining what the state's

human resources are, and ensuring that human resource needs are met in a timely manner, is strengthened.

Modifications to the division's internal organization will need to be made because of added responsibilities and duties highlighted in the report. For the division to effect the recommended changes, functions such as the merit promotion system, exam support services, employee list certification, paperwork review for transfers and appeals, and employment application processing for different examinations, will either have to be revised or eliminated. The program review committee envisions a much more streamlined central personnel operation, and more coordination among the units of the Personnel Division.

Further, increased automation capability means the amount of paperwork processed by the division should greatly diminish. In turn, although no immediate staff or budget reductions are anticipated, the committee believes increased automation, along with the other changes within the division, should mean a significant reduction in staff and budgetary resources in the future.

By decreasing numbers of paper transactions, and the time and effort necessary to manually process these transactions, the Personnel Division should be able to redirect its focus to examining personnel issues on a larger scale. Eliminating narrow, technical review of individual personnel transactions, should permit the division to concentrate on such areas as compensation, classification, and job specification planning at the macro level.

The program review committee also believes the division should designate specific staff resources to perform duties and services such as: conducting annual salary reviews and surveys; regularly reviewing classifications; advising and working with agencies regarding key job requirements and compensation issues; and assisting with agency reorganizations. Further, these staff should work closely with the Office of Labor Relations and the Objective Job Evaluation Unit to ensure proper planning and review occurs.

The committee believes that once Connecticut's system shifts from a manual, forms-oriented process to a modern automated management operation, the resource measures highlighted in the two previous tables should decrease. As the Personnel Division implements the recommendations contained in this report, specifically the new selection model, the committee also suggests that careful analysis be conducted to both monitor the division's progress, and determine future staffing and budgetary resources needed by the division. Such analysis can be accomplished through several mechanisms, including the normal state budgetary process and the program review committee's compliance reporting process. The program review committee also believes that once its recommendations are implemented and the division becomes more efficient, fewer resources will be required.

APPENDIX A
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APPENDIX B

AGENCY SURVEY

N = 42

1. How long have you been employed in state government personnel? _____years

2. How many years have you been with this agency? _____years

3. How many full-time equivalent staff perform personnel functions as part of their major responsibilities in your agency? _____

4. On a scale of **1=Excellent to 4=Poor**, please rate the following aspects of the Merit Promotion System (MPS).

	Excellent 1	2	3	Poor 4	Missing
A) The fairness of the method for selecting MPS exam panels.....	12	15	2	1	12
B) The process for screening qualifications for admission to the exam.....	5	20	4	1	12
C) The objectivity of the panels' examination process.....	11	16	1	0	14
D) Thoroughness of the selection process through MPS.....	7	14	6	1	14
E) Consideration of candidates' past work performance in the MPS exam process.....	6	8	9	6	13
F) MPS as a motivator for employees to do a good job.....	1	9	13	5	14
G) The perception of MPS in your agency.....	1	18	7	2	14
H) The process for selecting a mode of examination for MPS.....	5	16	7	2	12
I) The oversight of your agency's MPS process by DAS.....	22	7	1	1	11

5. Does your agency participate in the Merit Promotion System? 31 Yes 11 No

5a. If "No", why not?

_____

_____

_____

_____

6. On a scale of 1=Very Much agree to 4=Very Much Disagree, generally state how you feel about the following.

	Very Much Agree 1	2	3	Very Much Disagree 4	Missing
A) The quality of the candidates is compromised by the time it takes for the selection in open competitive exams	11	11	12	6	2
B) It is achievable to have both a quick, responsive selection process and maintain the objectives of the merit system	16	18	6	0	2
C) The current system for selection provides the best model, it just needs to be fine-tuned	4	20	9	5	4
D) The current system for selection works fine for your agency now	3	25	9	4	1
E) Examining candidates for specific job classes is the only way to evaluate their knowledge, skills, and abilities	2	11	15	11	3
F) Requiring that the selection be made from the top five ranks is the only way to protect the merit principles	4	14	13	7	4
G) The current system needs to be replaced by another model for selecting candidates	6	8	18	7	3
H) The current number of job classifications is not a problem in your agency	17	16	6	2	1
I) The current system encourages circumvention of personnel procedures by state agencies	6	11	12	11	2
J) The number and specificity of the state's job classes limits your agency's ability to get its job done efficiently	3	10	18	10	1
K) If the state adopted a more decentralized personnel system, there would be abuses	8	10	14	7	3
L) If there was a decentralized personnel system, there would have to be incentives for agencies to control costs	12	13	9	6	2
M) MPS is too decentralized	3	3	9	21	6
N) The Merit Promotion System is worth the added responsibilities that the hiring agency must assume	15	11	7	1	8
O) MPS, or a similar process, should be used for hiring all positions	3	7	12	15	5

7. On a scale of **1=Very prompt to 4=Very slow**, please rank the following aspects of the state's personnel process. If you believe that function isn't done at all, circle number 5.

	Very Prompt 1	2	Very Slow 3	4	Not Done 5	Missing
A) The advertising of an open competitive exam.....	1	8	19	12	1	1
B) The scheduling of an open competitive exam.....	0	2	20	19	0	1
C) The screening of qualified candidates to take an open competitive exam.....	1	7	23	10	0	1
D) The creation of a certified list from an open competitive exam.....	0	3	10	28	0	1
E) The agency selection of a candidate from the list.....	7	23	10	1	0	1
F) The process for approving new positions:						
by DAS.....	2	13	15	10	0	2
by OPM.....	0	6	9	26	0	1
G) The audit of agency personnel actions by DAS.....	1	17	14	7	1	2
H) The scheduling of non-MPS promotional exams.....	1	2	20	16	0	3
I) The creation of the certified list resulting from MPS exams.....	18	10	2	2	2	8

8. On a scale of 1= Very timely to 4= Not at all timely, please rate the following methods of selection in terms of their timeliness.

	Very Timely 1	2	3	Not At All Timely 4	Missing
A) Merit Promotion	20	11	0	4	10
B) Statewide Promotion	0	9	22	10	1
C) Continuous Recruitment	14	17	6	1	4
D) Open Competitive Exam	0	4	18	17	3
E) Non-competitive	26	10	2	1	3

9. On a scale of 1= Very fair to 4= Very unfair, please rate the **fairness** of the following methods of selection.

	Very Fair 1	2	3	Very Unfair 4	Missing
A) Merit Promotion	10	19	5	1	7
B) Statewide Promotion	1	20	7	0	1
C) Continuous Recruitment	15	14	9	1	3
D) Open Competitive Exam	15	17	9	0	1
E) Non-competitive	12	14	12	1	3

10. On a scale of **1=Excellent to 4=Poor**, please rate the following methods of selection in terms of the **quality of candidates** that result.

	Excellent 1	2	3	Poor 4	Missing
A) Merit Promotion System	12	17	3	0	10
B) Statewide Promotional	4	26	10	0	2
C) Open Competitive	6	23	9	2	2
D) Continuous Recruitment	4	24	10	0	4
E) Non-competitive	4	28	7	0	3

11. **On a scale of 1=Excellent to 4=Poor**, please rate the following exam instruments in terms of how well they **test candidates.**

	Excellent 1	2	3	Poor 4	Missing
A) Written Exam.....	4	18	3	3	4
B) Oral Exam.....	6	23	9	1	3
C) Whole Job Experience/Training..	4	21	10	4	3
D) Factored Experience/Training...	5	26	7	1	3

12. On a scale of 1= Very Fair to 4= Very Unfair, please rate the fairness of the following exam instruments.

	Very Fair 1	2	3	Very Unfair 4	Missing
A) Written Exam.....	6	22	10	2	2
B) Oral Exam.....	5	24	10	1	2
C) Whole Job Experience/Training.....	5	26	6	3	2
D) Factored Experience/Training.....	8	26	5	1	2

13. Does your agency have adequate input to DAS concerning personnel issues? 34 Yes 8 No

14. Does your agency have adequate input to OPM concerning personnel issues? 27 Yes 13 No

15. Does your agency monitor to ensure that performance evaluations are done at least annually for every employee?

39 Yes 2 No 1 Don't Know

16. In your opinion, is there a need for centralized personnel functions, and if so where should those be performed?

12 Yes, within DAS

0 Yes, within OPM

17 Yes, a separate Personnel Department

11 No, each agency should perform its own personnel functions

2 Missing

17. On a scale of **1=Excellent to 4=Poor**, please rate **DAS staff's performance** of the following functions. If you feel the function is not being performed at all, please circle number 5:

	Excellent 1	2	Poor 3	4	Not Done	Missing
A) Reviewing requests for new classifications	4	19	11	4	0	4
B) Determining the compensation for new classifications	3	21	12	3	0	3
C) Developing examination instruments that adequately test candidates' knowledge, skills and ability	3	22	12	3	1	1
D) Establishing an exam process that is responsive to the agency's hiring needs	3	18	10	9	1	1
E) Timely creation and updating of lists of certified candidates from which agencies can choose	0	10	17	13	1	1
F) Reviewing existing classifications periodically to update, consolidate and delete	3	8	12	14	3	2
G) Working with agencies on long-range personnel planning	1	17	7	7	10	
H) Communicating changes in personnel policy and/or procedures to agencies	4	21	10	7	0	

18. Please indicate the number of employees that were provisionally placed in positions in your agency during each of the following fiscal years.

_____ FY 88 _____ FY 89 _____ FY 90

19. How many of these employees were permanently placed in these positions?

_____ FY 88 _____ FY 89 _____ FY 90

20. Why was it necessary to hire provisional employees and/or place employees in positions provisionally?

_____

_____

_____

21. Please indicate the number of requests for new classifications, other than those resulting from Objective Job Evaluation, your agency submitted to DAS during the following fiscal years? If you did not submit any please put a zero for that fiscal year.

_____ FY 88 _____ FY 89 _____ FY 90

22. Please indicate the primary reason(s) your agency needed new classifications:

_____

_____

_____

23. How many dismissals did your agency initiate during the following fiscal years?

_____ FY 88 _____ FY 89 _____ FY 90

24. Were any of those dismissals reversed through the grievance procedure? 11 Yes 22 No 9 Missing

25. If "Yes" to Q. 24, how many of those were reversed? Please put the number with FY in which the dismissal occurred, even though the reversal may have occurred in a later fiscal year.

_____ FY 88 _____ FY 89 _____ FY 90

26. Do you use the CT State Employee Information System (CSEIS)? 37 Yes 5 No

27. If "No" to Q.26, skip to Q.32.

If "Yes" to Q.26, how often: 16 Regularly 14 Occasionally 5 Rarely

28. How accessible do you find CSEIS to be? (circle one number)

1	2	3	4	
Always Accessible			Never Accessible	Missing
4	19	12	1	6

29. How timely are the CSEIS-generated reports that you receive? (circle one number)

1	2	3	4	
Very Timely			Not At All Timely	Missing
7	14	13	3	5

30. How useful do you find the information from CSEIS to be? (circle one number)

1	2	3	4	
Very Useful			Not At All Useful	Missing
10	11	13	3	5

31. How reliable do you find the information that is on CSEIS? (circle one number)

1	2	3	4	
Very Reliable			Not at All Reliable	Missing
8	10	16	3	5

32. Does your agency have its own automated personnel information system? 17 Yes 22 No 3 Missing

32a. If "Yes" to Q.32, how long has your agency had this system? _____

32b. If "Yes" to Q.32, why was it necessary for your agency to develop its own system?

_____

_____

_____

33. Please describe how your agency plans for its personnel needs (e.g., new hires, promotions, and new classifications) for each fiscal year, and how those are incorporated into your agency's budget planning.

_____

_____

_____

_____

_____

34. In your opinion, what are the most inefficient or unnecessary areas of the state's current personnel system?

SEE ATTACHED

35. Are there any recommendations that you would make to improve the personnel system in state government?

SEE ATTACHED

Q.34

- Current labor relations complicates personnel - too many sets of rules - always must be interpreted.

- CSEIS system is inefficient - can't do retroactive changes, etc., data are inaccurate - must rely on other information, doesn't interface with other systems.

- Lack of coordination among agencies.

- Termination dates on system for federal positions is inefficient.

- Certification and Selection process is slow and bogged down in paperwork.

- Turnaround time for CSEIS is totally unacceptable.

- Continuous administration of examinations in view of agency practice and statutory requirement mandating state employees be hired first - makes it cost ineffective to administer and advertise exams to public.

- Establishing new job specifications/classifications.

- Exams don't reflect job needs.

- Administering exams and promulgating employment lists.

- Form 200's and 201's - to refill, establish and abolish positions - too lengthy and turnaround too slow.

- CSEIS System - redundant data entry now.

- [This agency] has unclassified personnel - we advertise our openings, review candidates' qualifications against stringent job specs, and have an excellent record at selecting outstanding incumbents in a timely, efficient manner.

- Believe central personnel is necessary and efficiently run.

- The administrative section - some work is needed to reduce log time on transactions.

- Excessive paperwork.

- Open competitive process is inadequate and too lengthy.

- Not enough agency interaction.

- No need to approve leaves of absences at central personnel.

- Individuals at State Personnel don't always have general personnel knowledge and information often conflicting; should have a primary agency liaison.

Q.35

- More formal planning on agency personnel and manpower needs with emphasis on changing pattern of work. (3)

- More formal communication process between DAS and OPM.

- State Personnel should view itself as a service agency not a regulatory one.

- No recommendations - but have been happy with the results of the Ct. Careers Trainee Program.

- Centralized listing of vacant positions - then prospective employees could contact agencies.

- Central personnel should be adequately funded. (3)

- Believe decentralized personnel would be a disaster.

- Reduce layers of bureaucracy and paperwork. [look (4) at decentralizing certain agency functions] (with post-audits). (6)

- Electronic system for transmitting employee information may be transmitted. (4)

- Consistent reporting needs should be identified to provide for appropriate management reporting and Personnel Procedure manual. (4)

- Financing of agency budgets creates major problems. OPM delays approvals, takes money mid year and makes it difficult for managers to plan. It doesn't make sense to request a dismissal of a marginal employee if you did not know whether you could replace that person. Give agencies a budget, monitor that they stay within that budget.

- Overhaul the merit system. (2)
- Pilot program with independent personnel system for elected officials' agencies.
- Distinguish between career and durational management with separate salary scales and benefits.
- Develop a management benefits package and program that's not tied to or based on gains in collective bargaining.
- Place control with agencies, where it belongs, not with DAS and OPM. (2)
- Make provisional appointments good for one year with one year extension.
- Consolidate compensation/benefit package into a master agreement including for part-time employees.
- Consolidate state agencies having like functions (personnel, labor relations, retirement, attendance, etc.).
- Consolidate state information systems into new system. (8)
- Better system is needed for mid-career changes.
- Keep merit system intact--best way to protect the rights of classified state employees.
- Consider a more liberal approach to determining class comparability for transfer purposes.
- Improve internal communication in DAS between office of Labor Relations and other operating units.
- CSEIS reports should be discontinued - they're so unreliable.
- Pass/Fail rather than ranked exams to broaden applicant pools and facilitate upward mobility.
- Make all promotions bond on experience and training.
- Use computer software for entry level clerical.

- Certification lists should be electronically sent to agencies.

- Broader classes and job specs are needed. (2)

- Maybe the state should have an undersecretary for Human Resources, more closely tied to the political process so lawmakers will be less likely to approve costly and ineffective programs such as the Retirement Incentive Program, binding arbitration.

- Training program needs more resources.

- Initial screening and testing at state personnel with added responsibility for final screening and testing at agency level. Maybe then, state personnel could spend more time in agencies.

- Do away with the MIP program - come up with a different rating system, the system still allows favoritism.

- Rely more on experience than on exam results, although exams may be "fair", may not be good predictors of job performance.

APPENDIX C

MERIT PROMOTION SYSTEM SURVEY

N = 145

1. Using the table below, please check the steps of the Merit Promotion System process that you completed for the exam title listed above:

STEP IN MPS PROCESS	CHECK IF COMPLETED	
	Yes	No or Missing
Admitted to take MPS exam	126	19
Took MPS exam	120	25
Passed MPS exam	121	24
Placed in top five ranks on promotion list	108	37
Hired by agency	39	106

2. On a scale of **1=Excellent to 4=Poor**, please rate the following aspects of the Merit Promotion System (MPS).

	Excellent 1	2	3	**Poor** 4	Missing
A) General information made available by your agency about MPS.....	28	57	40	17	3
B) Information made available to you after you became a candidate for MPS.....	24	45	36	34	6
C) The quality of information about MPS disseminated to employees	16	48	45	32	4
D) The posting of MPS exams	45	63	27	8	2
E) The fairness of the method for selecting MPS exam panels.....	17	41	27	26	34
F) The objectivity of the panels' examination process.....	17	41	29	31	27
G) MPS as a motivator for employees to do a good job.....	22	21	33	63	6
H) The process for selecting a mode of examination for MPS.....	13	39	40	30	23
I) The oversight of your agency's MPS process by DAS.....	8	41	33	27	36
J) Thoroughness of the selection process through MPS.....	13	35	30	49	18

3. On a scale of **1=Very Prompt to 4=Very Slow**, please rate the timeliness of the MPS process in terms of the following factors. If you believe that function isn't done at all, circle number 5.

	Very Prompt 1	2	3	Very Slow 4	Not Done	Missing
A) The posting of MPS exams	38	48	34	18	1	6
B) The scheduling of MPS exams	23	52	44	16	3	7
C) The screening of qualified candidates to take MPS exams	21	43	50	16	8	7
D) The creation of a certified list for MPS exams	16	33	49	20	12	15
E) The selection of a candidate by the agency from the list	27	16	35	32	17	18
F) Overall length of time to select someone through MPS	15	21	42	40	13	14

4. On a scale of **1=Very Fair to 4=Very Unfair**, please rate the fairness of the MPS process in terms of the following factors:

	Very Fair 1	2	3	Very Unfair 4	Missing
A) Establishing the minimum education, experience, and training necessary to be admitted to the MPS exam	50	42	23	25	5
B) Review of candidates' experience and training to be admitted to the MPS exam	29	52	24	32	8
C) Consideration of candidates' previous job performance in the exam process	26	34	26	49	10
D) Selecting from among the certified candidates	24	30	22	54	15

5. After having been through the MPS process, do you think it is an appropriate method to promote employees?

57 Yes 71 No 17 D/K

5a. If No to Q.5, what were the major problems with the MPS?

_____

_____

_____

5b. If No to Q.5, what would you recommend in place of MPS?

6. Would you compete in another MPS exam process? 115 Yes 20 No 10

7. Are there any recommendations that you would make to improve the Merit Promotion System?

APPENDIX D

Growth in Average Monthly Salaries
1980-1990
Noneducation State Employees

State	1980	Rank	1990	Rank	% Increase
Alabama	$1,210	(31)	$2,004	(32)	65.5%
Alaska	2,081	(1)	3,581	(1)	72.1
Arizona	1,318	(18)	2,122	(27)	61.0
Arkansas	1,023	(48)	1,787	(47)	74.7
California	1,850	(2)	3,068	(2)	65.8
Connecticut	1,131	(41)	2,951	(3)	160.9
Delaware	1,181	(24)	2,120	(29)	79.5
Florida	1,133	(40)	1,976	(35)	74.4
Georgia	1,110	(44)	1,875	(42)	68.9
Hawaii	1,264	(21)	2,160	(23)	70.9
Idaho	1,384	(12)	2,146	(25)	55.1
Illinois	1,347	(13)	2,458	(13)	82.5
Indiana	1,247	(22)	2,141	(26)	71.7
Iowa	1,234	(26)	2,848	(5)	130.8
Kansas	1,241	(24)	2,090	(30)	68.4
Kentucky	1,113	(43)	1,859	(44)	67.0
Louisiana	1,087	(46)	1,953	(38)	79.7
Maine	1,236	(25)	2,271	(19)	83.7
Maryland	1,307	(20)	2,431	(14)	85.5
Massachusetts	1,180	(35)	2,479	(11)	110
Michigan	1,613	(3)	2,840	(6)	76.1
Minnesota	1,442	(8)	2,746	(8)	90.4
Missouri	1,157	(38)	1,844	(45)	60.2
Montana	1,315	(19)	1,962	(36)	49.2
Nebraska	1,161	(37)	1,956	(37)	68.5
Nevada	1,476	(6)	2,428	(15)	64.5
New Hampshire	1,215	(30)	2,252	(20)	85.3
New Jersey	1,338	(14)	2,756	(7)	106.0
New Mexico	1,217	(29)	1,985	(33)	63.1
New York	1,423	(9)	2,942	(4)	107.0
North Carolina	1,230	(28)	2,150	(24)	75.0
North Dakota	1,242	(23)	1,875	(42)	51.0
Ohio	1,209	(32)	2,394	(16)	98.0

Growth in Average Monthly Salaries
1980-1990
Noneducation State Employees

State	1980	Rank	1990	Rank	% Increase
Oklahoma	1,097	(45)	1,916	(40)	74.7
Oregon	1,322	(15)	2,166	(22)	63.8
Pennsylvania	1,319	(16)	2,339	(18)	77.3
Rhode Island	1,319	(16)	2,538	(10)	92.4
South Carolina	1,138	(39)	1,811	(46)	59.1
South Dakota	1,187	(33)	1,787	(47)	50.5
Tennessee	1,082	(47)	1,886	(41)	74.3
Texas	1,175	(36)	1,984	(34)	68.9
Utah	1,450	(7)	2,121	(28)	46.3
Vermont	1,233	(27)	2,201	(21)	44.0
Virginia	1,119	(42)	2,066	(31)	85.0
Washington	1,423	(9)	2,387	(17)	67.7
W. Virginia	990	(49)	1,676	(50)	69.3
Wisconsin	1,506	(5)	2,459	(12)	63.3
Wyoming	1,398	(11)	1,947	(39)	39.3
National Average	1,305		2,359		80.8%

Source:
Connecticut Office of Legislative Research, Report 91-R-1081.
Analysis of Statistics from U.S. Bureau of the Census, Public Employment.