# Budget, Planning and Analysis Office

## 2LA Process Guide ~ Scenarios

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# Introduction/Considerations

*This guide is intended to be used as a reference for the various scenarios encountered within the 2$^{nd}$ Level Approval (2LA) Process for CSA positions budgeted on the General Fund 10/11 and Office of Advancement Fund 36, as well as a guide for the future use of the new, 2LA Approval Request SmartSheet form. The next meeting is scheduled on December 9$^{th}$ – please be prepared to complete the following scenarios during the meeting and come with questions, so we can test how the process will be working, as a group.*

**Things to consider within the new 2$^{nd}$ level (2LA) process:**

- **Confirmation of funding prior to beginning the process/submitting to 2LA form**

    o Any 2LA action requiring additional funding beyond what's currently shown in your budget to include new positions, increases/promotions, replacements, transfers and reclassifications should have budget confirmed before beginning the 2$^{nd}$ Level Approval process - *please ensure you're not creating new positions until you've confirmed funding for them.* As a reminder – the approved 2LA Approval Request must be attached to the NPP in HCM in the new process. Funding options include:

        ▪ Salary Savings
            • Sufficient balances
        ▪ Vacant Positions
            • Consideration should be given to future plans to back-fill the position, e.g., staffing needs, proposed salaries respective of the job level (classification) of replacement (up or down)
        Additional funding commitment from other sources

- **FORM ACCESS**

    o [2nd Level Approval Process (smartsheet.com)](smartsheet.com)

- **Split Funding**

        ▪ When positions require the budget to be split across more than one speedtype, please provide the applicable FTE percentage, along with the annual salary

- **Salary ranges on the new 2LA form**

        ▪ While the minimum and maximum salary amounts are included on the form (refers to the established range from Central HR), the Budget, Planning and Analysis Office will be providing approval for the proposed salary amount entered.

- **Use Types**

        ▪ New
        ▪ Replacement
        ▪ Promotion or Pay Increase

- **Actions**

        ▪ Search
        ▪ Update with Increase
        ▪ Appointment Type
        ▪ Promotion
        ▪ Resubmission
        ▪ Other-Comment Required

- **All HR salary actions for Central Services Administration areas (EVCAF, Chancellor, Chief Academic Officer, VCR and VCHA), funded in part or in whole by fund groups 10, 11, 36 follow the new second level budget approval process in Smartsheet. Any requests that circumvent the process should be redirected to Smartsheet (either directly, or by including the Budget team: Budget.Anschutz@cuanschutz.edu in the communication.)**

## 2LA Scenarios

**Special Note:** The use type refers to the action to be taken on the position for the applicable, active employee (not someone else's), e.g., an increase for John Doe on position 00123456, due to the resignation/retirement of Mary Jane on position 00789000 is a *promotion* for John, not a replacement of Mary. If/when someone is hired as a back-fill on Mary's vacant position 00789000, then that respective action will be a *replacement*.

Scenario Testing Instructions: *For each of the below Use Types, please initiate a new 2LA Approval Request for each of the below scenarios, ensuring you're making note to include the minimum and maximum salary amounts (established range), the proposed salary for which budget approval will be given, and providing applicable comments for the request and/or uploading attachments pertaining to funding distributions if there are changes or split funding will be needed going forward. If you need to submit an amendment to a previously-approved 2LA Approval Request, due to an increase to the position's budget respective to an offer for a new employee/replacement, please choose "Resubmission" and add the applicable comments/attachments.*

## New Hire ~ Search

**Scenario:** Conducting a search for a newly created position.

| SCENARIO | USE TYPE | ACTIONS | ILLUSTRATION (IF) | BUDGET IMPLICATIONS (THEN) |
|---|---|---|---|---|
| SEARCH *for* NEW HIRE | NEW | →*-or-* *EVCAF Carrothers* *VC for Research Dr. Flaig* | QUESTIONS | SURPLUS OR DEFICIT |
| Newly created position, added to the budget on the General Fund 10/11 or Office of Advancement, Fund 36 for a new employee. | New Position Number | Search | Will the new position be replacing an existing position and thereby utilizing that position's budget? If so, will there be a surplus or deficit between the two positions? | If the position will not be replacing an exisitng position, the new position must be funded with *new* budget by utilizing Salary Savings or budget from a vacant position on same speedtype / other Speedtypes within the department. |

*Additional "Action" options include: "Resubmission" and "Other-Comment Required," applicable to any of the above and below, Use Types/scenarios.*

## Replacement ~ Search *or* Transfer

**Scenario:** Conducting a search (internal or external) for a replacement on either a new or existing position number. If the position is currently occupied by the employee who is expected to resign at a future date and the termination record hasn't been entered in HCM as of the date the 2LA Approval Request is being submitted, please provide the expected resignation/retirement date for the employee being replaced. Includes lateral reclassifications of current employees into new or existing positions, due to a change in job level and subsequent change in job duties/increase in responsibilities, e.g., from Classified to University Staff, with no salary increase.

| SCENARIO | USE TYPE | ACTIONS | ILLUSTRATION (IF) | BUDGET IMPLICATIONS (THEN) |
|---|---|---|---|---|
| SEARCH *or* TRANSFER | REPLACEMENT | → *BPA Team* | QUESTIONS | SURPLUS OR DEFICIT |
| Search for a replacement or transfer in determined to be needed on a different job code/level, necessitating a new position number. | New Position Number | Search | Will the new position be replacing an existing, vacant position for this replacement? If so, the previous incumbent's position budget will be utilized for funding. | New position for the replacement may or may not need additional budget, depending on replacement's starting salary, utilizing Salary Savings or budget on a vacant position. |
| Search for a replacement or transfer in on the same position at the same or similar job class as the previous incumbent. This includes additional appointments for current university employees. | Existing Position Number | Search, Appointment Type | Do you expect the replacement's starting salary to require additional budget or be lower than the previous incumbent? | If higher, utilizing either Salary Savings or existing budget from a vacant position is an option; if lower, the surplus will be moved into Salary Savings within the position's speedtype or other Salary Savings line within the department to be used for upcoming hire and backfill needs. |
| Current employee is transferring into an existing, University Staff position from a Classified position within the department at the same salary (no salary increase). | Lateral Reclassification ~ Existing Position Number | Search, Appointment Type | Do you expect the reclassification into the existing position will require additional budget or be lower than the previous incumbent? Additionally, will the previous, Classified position have a potential back-fill at a higher or lower pay rate/salary? | If higher, utilizing either Salary Savings or existing budget from a vacant position is an option; if lower, the surplus will be moved into Salary Savings within the position's speedtype or other Salary Savings line within the department to be used for upcoming hire and backfill needs. |

# 2LA Scenarios
## Promotion *or* Pay/Salary Increase

**Scenario:** Updating a current employee's position, due to a promotion, retention/counteroffer or an equity increase, resulting from a compensation review from Central HR, necessitating an increase in salary. Includes reclassifications of current employees into either a new or existing position, due to a change in job level and subsequent change in job duties/increase in responsibilities, e.g., from Classified to University Staff, with a subsequent increase in salary.

| SCENARIO | USE TYPE | ACTIONS | ILLUSTRATION (IF) | BUDGET IMPLICATIONS (THEN) |
|---|---|---|---|---|
| SALARY INCREASE | PROMOTION *or* PAY INCREASE | EVCAF Carrothers -or- VC for Research Dr. Flaig | QUESTIONS | SURPLUS OR DEFICIT |
| Employee is being promoted into a newly created position with a new job title, due to a change in job code/level and increase in responsibilities.This includes internal promotions requiring a search. | New Position Number | Search, Promotion, Appointment Type | Will the promotion to the new position negate the need for the previous position or will it be back-filled, respective of future department needs? | If the new position number will be replacing the employee's previous position - that budget can be utilized; if the employee's previous position will be back-filled, the promotion will be funded from Salary Savings, another vacant position within the department/same speedtype or a combination. |
| Current employee is transferring into new position, from Classified to University Staff within the department - may be as a result of an open or internal search, or promotion of a specific employee. | Reclassification ~ New *or* Existing Position Number | Search, Promotion, Appointment Type | Due to the reclassification, will the previous (Classified) position be replaced with the employee's move to the University Staff position or will it be back-filled? | If the new position number will be replacing the employee's previous, Classified position - that budget can be utilized; if the Classified position will be back-filled, the reclassification to University Staff can be funded from Salary Savings, another vacant position within the department/same speedtype or a combination. |
| Employee is being promoted into an existing position at a higher rank/job code - may be as a result of an open or internal search, or promotion of a specific employee. | Existing, *but Different* Position Number | Search, Promotion, Appointment Type | Do you expect the promotion into the existing position to require additional budget or be lower than the previous incumbent? | If higher, utilizing either Salary Savings or existing budget from a vacant position is an option; if lower, the surplus will be moved into Salary Savings within the position's speedtype or other Salary Savings line within the department to be used for upcoming hire and backfill needs. |
| Employee's pay is increasing as a result of a retention/counteroffer or percentage increase, resulting from an equity increase/compensation review within the same position. | Same Position Number | Update with Increase, Promotion | By what amount will the update with an increase be - how much budget will be needed to fund? | Funding options include Salary Savings or existing budget on vacant position(s) within speedtype/department. |

*Additional "Action" options include: "Resubmission" and "Other-Comment Required," which can apply to any of the above Use Types/scenarios.*